

# APPENDIX TO FACULTY BYLAWS

## APPENDIX A

May 1986, January 2009

## POLICY ON SELECTION AND REVIEW OF ACADEMIC ADMINISTRATIVE OFFICERS

Pursuant to Article IX, B, Section 2, *Policies of the Board of Trustees*, and Article XX, Section 3C, *Faculty Bylaws*, the following procedures set forth the structure under which the faculty shall organize itself for consultation with the chief administrative officer of the College for the selection of the following academic officers: the Provost and Vice President for Academic Affairs, the academic deans, and others with similar responsibilities.

### I. Formation of the Search Committee

- A. Upon receipt of notice from the chief administrative officer that an academic administrative position is to be filled, the chair of the Faculty Assembly shall request the convening of a meeting of the faculty of the appropriate division or school for the purpose of electing a search committee. This meeting shall be convened within three weeks of receipt of notice from the chief administrative officer, including a minimum of one weeks notice to the faculty.
- B. The following conditions apply to all search committees described below:
  1. No academic department or group shall have more than one representative on a committee.
  2. The chief administrative officer shall select a representative to serve as a non-voting liaison officer to provide administrative input.
  3. Committee membership for faculty and staff is limited to those persons who have served at least one year at Oswego as full-time voting faculty members or full-time professional staff members.
  4. One student shall serve on these committees with full voting rights.
  5. The search committee will adhere to the principles and spirit of affirmative action.
- C. The search committee for the Dean of the College of Liberal Arts and Sciences shall consist of: (1) four voting faculty, one from each of the subdivisions detailed below (Humanities, Social and Behavioral Sciences, and Natural Sciences) and one at-large member; (2) one voting faculty member from either the School of Business or the School of Education or the School of Communication, Media and the Arts or the Library; (3) one member from the Professional Staff (NTP); and (4) one student member.

#### Humanities

English & Creative Writing  
Modern Languages & Literatures  
History  
Philosophy

#### Social and Behavioral Sciences

Anthropology  
Economics  
Political Science  
Psychology  
Public Justice  
Sociology

#### Natural Sciences

Biological Sciences  
Chemistry  
Computer Science  
Earth Science  
Mathematics  
Physics

The voting faculty of the College of Liberal Arts and Sciences shall elect the faculty and staff members, and the Student Association shall select the student member.

- D. The search committee for the Dean of the School of Business shall consist of: (1) two voting faculty from each department in the School of Business; (2) one voting faculty member from either the College of Liberal Arts and Sciences or the School of Education or the School of Communication, Media and the Arts or the Library; (3) one member from the Professional Staff (NTP); and (4) one student member. The voting faculty of the School of Business shall elect the faculty and staff members, and the Student Association shall select the student member.
- E. The search committee for the Dean of the School of Education shall consist of: (1) four voting faculty from the School of Education with no more than one member from any one department; (2) one voting faculty member from either the College of Liberal Arts and Sciences or School of Business or the School of Communication, Media and the Arts or the Library; (3) one member from the Professional Staff Group; and (4) one student member. The voting faculty of the School of Education shall elect the faculty and staff members, and the Student Association shall select the student member.
- F. The search committee for the Dean of the School of Communication, Media and the Arts shall consist of: (1) four voting faculty from the School of Communication, Media and the Arts with no more than one member from any one department; (2) one voting faculty member from either the College of Liberal Arts and Sciences or the School of Business or the School of Education or the Library; (3) one member from the Professional Staff (NTP); and (4) one student member. The voting faculty of the School of Communication, Media and the Arts shall elect the faculty and staff members, and the Student Association shall select the student member.
- G. The search committee for the Director of Libraries shall consist of: (1) four members from the Library full-time faculty and staff, at least three of whom are voting faculty; (2) one voting faculty member each from the College of Liberal Arts and Sciences, the School of Business, the School of Education, and the School of Communication, Media and the Arts; and (3) one student member. The voting faculty of the Library shall elect the faculty and staff members, and the Student Association shall select the student member.
- H. The search committee for an academic administrative officer whose responsibilities include the College of Liberal Arts and Sciences, the School of Business, the School of Education, the School of Communication, Media and the Arts, and the Library shall consist of: (1) three voting faculty from the College of Liberal Arts and Sciences or the Library, elected by the voting faculty of the College of Liberal Arts and Sciences and the Library, with no two members from the same subdivision\* and no more than one from the Library; (2) two voting faculty from the School of Education, elected by the School's voting faculty, with no two members from the same department; (3) one voting faculty from the School of Business, elected by the School's voting faculty; (4) one voting faculty from the School of Communication, Media and the Arts, elected by the School's voting faculty; (5) one member from the Professional Staff (NTP), elected by the membership of the Professional Staff Group; and (5) one student member. The voting faculty and professional staff of the university shall elect these individuals as described in the preceding sections, and the Student Association shall select the student member.

## **II. Responsibilities**

- A. The chief administrative officer shall present to the appropriate committee a job description for the vacant position and shall review with the committee the qualifications for the position and the operating procedures of the committee.

- B. The committee shall receive and examine all supporting documents and shall interview the best qualified candidates.
- C. The committee shall recommend to the chief administrative officer at least two candidates in order of their priority. A list of final nominees, not in priority order, and their vitae shall also be reported to the faculty.

**III. Review of the Academic Administrative Officers**

- A. The positions of President, Provost and Vice President for Academic Affairs, Dean of the College of Arts and Sciences, Dean of the School of Business, Dean of the School of Education, Dean of Graduate Studies and Research, and Director of the Libraries shall be reviewed on a five year cycle. The review shall take place during the fifth year of the cycle, and shall begin in September of the fifth year.
- B. The president and provost shall be reviewed during the first academic year after the adoption of this section; the dean of Liberal Arts and Sciences, the dean of Education, the dean of Business and the dean of Communication, Media and the Arts shall be reviewed during the second year after its adoption; and the dean of Graduate Studies and Research and the director of Libraries shall be reviewed during the third year after adoption. Individuals shall not be reviewed if they are in their last year of service, or if they are serving in an interim capacity.
- C. The composition and election of the review committee for the president, provost, and the dean of Graduate Studies and Research shall be the same as in Section I, Paragraph H.
- D. The composition and election procedures of the review committee for the deans and director of Libraries shall be the same as the search committees for these individuals.
- E. A review committee shall be formed by October 15 of the academic year in which it is to serve and shall make its report by May 1 of the following calendar year.
- F. All reports shall be confidential. A report shall be given to the academic administrative officer concerned and:

For the President ..... to the Chancellor or the Chancellor’s designee  
 For the Provost ..... to the President  
 For a Dean ..... to the Provost and President  
 For the Director of Libraries ... to the Provost and President

## APPENDIX B

May 1977

## TERM AND CONTINUING APPOINTMENT

### I. Statement of Principles

- A. This Appendix recognizes the rights and obligations faculty have in peer evaluation to recommend term and continuing appointments.
- B. Each department has the obligation to make accurate, well-documented evaluations of its non-tenured members annually so as to provide them with an assessment of their progress toward reappointment or continuing appointment.
- C. The department committee has an obligation to conduct its evaluation so that individuals under review shall be made aware of their chances for a favorable or unfavorable departmental recommendation for reappointment or continuing appointment. Where deficiencies obtain, these individuals shall be counseled by the chairs of the committee and the department as to how these deficiencies may be overcome or they shall be advised that they will not be recommended for reappointment or continuing appointment. The chief administrative officer or designee has a similar responsibility to counsel individuals.
- D. The department has an obligation to support its recommendations.

### II. Role of the Department

- A. There shall be a department committee (elected by September 30 of each academic year) to evaluate faculty for continuing and term appointments. The committee shall be elected by secret ballot by a majority vote of the department's voting faculty as defined in Article X, Section 3 of the *Policies*. It shall serve from the beginning of the fall semester to the beginning of the fall semester of the following year. Members may serve two-year staggered terms at the discretion of the department. If vacancies occur on the departmental committee, they shall be filled in accordance with the procedures enumerated hereunder.
- B. The department shall determine the size of the committee and the eligibility for membership, except that the department chair shall not be a member of the committee but may, at the option of the committee, attend meetings as a resource person. A majority of the department committee shall have continuing appointment, provided there are at least three members of the department, excluding the chair, on continuing appointment. In addition, every member of the committee must have two semesters of full-time service as voting faculty at Oswego prior to the beginning of the member's term on the committee. Representation of the ranks shall be encouraged. No faculty member who is to be considered for continuing appointment may serve on the committee.
- C. Before September 30 of each academic year, the appropriate dean shall submit to the department chair a list of all individuals in the department to be considered for term or continuing appointment. (Eligibility for continuing appointment is defined in the *Policies of the Board of Trustees*, Article XI, Title B).
- D. The department committee shall determine by secret ballot whether or not it shall make its determinations by secret ballot. A unanimous vote shall be necessary in order for a department committee to operate other than by secret ballot.
- E. The department committee shall submit its evaluation procedures in writing to the department for its approval. Except for the provisions of D above, the voting faculty of the department, meeting

in concert, may determine for the committee the procedures to be used. After departmental approval, a copy of these procedures shall be sent to the appropriate dean by the committee.

- F. In its deliberations, the department committee shall be guided principally by Article XII, Title A, of the *Policies of the Board of Trustees*. The interpretation and application of this article shall be consistent from year to year as is practicable. Interpretation may change slowly, but may not be radically altered. In the case of a continuing appointment decision, all previous evaluations, conducted for purposes of reappointment or continuing appointment, must be taken into account.
- G. Prior to arriving at its recommendations the department committee shall notify in writing all department members that such review will take place. Such notification shall be made at least ten (10) working days in advance of the review.
- H. The department committee shall issue a written invitation to all members of the department or program requesting written or oral commentary, clearly related to the criteria established by the *Policies of the Board of Trustees*, concerning the members under review. The committee shall require of these individuals under review that they submit written information on their own behalf by at least five (5) working days prior to the review so that it can receive fair consideration by the committee. Either the members under the review or the department committee may solicit information from outside the department or program.
- I. The department chair shall meet with the department committee before the committee submits its recommendations. The purpose of this meeting is to enable the committee and the chair to discuss the relative strengths and weaknesses of individuals under consideration, to define areas of agreement and to articulate differences.
- J. All material concerning individuals received by the committee shall be maintained in departmental file under the supervision of the department chair. A final report shall be compiled on each individual under review and shall include a summary of material considered by the committee. Each department member under review shall have access to that individual's own final report. Identifying language shall be deleted from confidential material. After completion of the committee's work, there shall be at least ten (10) working days before the report is to be forwarded to the next level. If the individual reviewed wishes to respond to the final report, that individual may give a response to the committee at least five (5) working days before the report is to be forwarded to the next level. This response shall be attached to the departmental report along with any committee comments. These comments, except for confidential materials, shall be made available to the department member under review.
- K. Annually, after evaluation, individuals under review shall meet jointly with the chair of the department and the chair of the department committee to discuss their strengths and weaknesses as they relate to the criteria in the *Policies*, and to determine their progress toward achieving continuing appointment. A record of such meetings shall be summarized in writing and maintained in the department file pursuant to Section I of this Appendix.

## APPENDIX C

September 1980

# REVIEW, REAPPOINTMENT AND/OR RECRUITMENT AND SELECTION OF DEPARTMENT CHAIRPERSONS

### I. Initiation of Review Procedure

The provost, acting on behalf of the chief administrative officer, shall notify in writing the appropriate division dean and each member of the department of the nature and terms of the incumbent chair's appointment at the beginning of each academic year.

### II. Review and Reappointment of the Department Chair

- A. During the first 15 calendar days of the final academic year of the chair's term, an incumbent chair shall inform the appropriate dean and the department of the chair's intent to stand for reappointment. All other candidates for the chair of the department shall declare their candidacies by October 1.
- B. An incumbent chair who informs the dean and department that he or she will not be a candidate shall not be reviewed. However, when an incumbent chair agrees to stand for reappointment, review by the department of the incumbent shall be completed by November 1 of the academic year in which the incumbent chair's term of office expires. Review here shall be interpreted to mean evaluation against criteria established by the department in consultation with the appropriate dean.
- C. After the review of the incumbent is complete, the department must evaluate the other declared candidates. At the option of the department, the department may evaluate other candidates for the chair. Evaluation here shall mean evaluation against criteria established by the department in consultation with the appropriate dean. The evaluation shall be completed by December 1.
- D. No incumbent chair or candidate shall participate in a review of himself or herself.
- E. The department shall specify how the review or evaluations are conducted subject to the following:
  1. There shall be a committee to gather relevant data for the review or evaluations. These data must be made available to all members of the department.
  2. All members of the department must have an opportunity for comment regarding the candidate(s) for the department chair.
  3. Only members of the department having voting faculty status may vote on the candidate(s) for department chair after the review or evaluations are completed. The term voting faculty is defined in the *Policies of the Board of Trustees*, Article X, Section 3.
- F. The recommendation(s) of the department, including the review of the incumbent, shall be forwarded no later than December 15 to the dean with a copy to the provost and the incumbent chair.
- G. The chief administrative officer shall notify in writing the dean, the department and the incumbent chair of the chief administrative officer's decision regarding the department's chair no later than January 15 of the current academic year.

### **III. Recruitment and Selection of the Department Chair**

- A. Within 30 days after a vacancy exists the provost, acting on behalf of the chief administrative officer, shall notify the dean of the appropriate division or school and each member of the department.
- B. Prior to the search for a chair, the voting faculty members of the department, in consultation with the dean, shall recommend to the provost the characteristics of the position to be filled and the procedures to be followed.
- C. After the search is complete, the recommendation(s) of the voting faculty members of the department shall be forwarded to the dean with a copy to the provost.
- D. If an acceptable candidate has not been found by a date previously agreed upon by the dean and the department, the provost, acting on behalf of the chief administrative officer, may appoint, in consultation with the department, an acting chair for a period not to exceed one year.

## APPENDIX D

March 2007

## PROMOTION AND DISCRETIONARY SALARY INCREASES

### I. Statement of Principles

- A. This appendix recognizes the rights and obligations faculty have to recommend faculty promotions and discretionary salary increases.
- B. This appendix recognizes the benefits to be gained by open discussion among faculty committees and between the faculty and administration in a prevailing spirit of collegiality and confidentiality.
- C. This appendix recognizes the responsibilities of the faculty and the administration to uphold the principles and spirit of affirmative action.
- D. This appendix maintains that the bases for promotion and discretionary salary increases remain relatively stable and if any changes in interpretation are required, they shall be communicated to all parties in a clear and timely manner.

### II. Role of the Department

- A. There shall be a department committee to recommend candidates for promotion and discretionary salary increases. Only those candidates who request or allow their names to be submitted shall be considered for promotion or discretionary salary increases.
- B. A department with three or fewer members does not have to form a committee.
- C. The committee shall be elected by secret ballot by a majority vote of the department's voting faculty as defined in Article X, Section 3 of the *Policies*. It shall serve from the beginning of the fall semester of a given year until the beginning of the fall semester of the following year. Members may serve two-year staggered terms at the discretion of the department. If vacancies occur on the departmental committee, they shall be filled in accordance with the procedures enumerated hereunder.
- D. Each department shall determine the size of its committee. Eligibility for membership is limited to the ranks of professor, associate professor, assistant professor and instructor. The department committee shall have representation from each of the following ranks: \* professor, associate professor, and assistant professor. However, if any rank has three or fewer members, representation of that rank shall be at the discretion of the department. A department may elect instructors (assistant librarians) to its committee. In addition, all members of the committee must have two semesters of full-time service as voting faculty members at Oswego prior to the beginning of their terms on the committee. No faculty member who is candidate for promotion may serve on the committee unless the departmental bylaws explicitly permit such service. The department chair shall not be a member of the committee, but may, at the option of the committee, attend meetings as a resource person.  
  
\* Equivalent ranks for librarians: librarian, associate librarian, and senior assistant librarian.
- E. The department may use this committee for its term and continuing appointment committee. However, the composition of the department committee must also satisfy the relevant stipulations in the Appendix on Term and Continuing Appointment if it is to perform both functions.
- F. The department committee shall determine by secret ballot whether or not it shall make its determinations by secret ballot. A unanimous vote shall be necessary in order for a department committee to operate other than by secret ballot.

- G. The department committee shall submit its procedures in writing to the department for its approval. Except for the provisions of F above, the department, meeting in concert, may determine for the committee the procedures to be used. After departmental approval, a copy of these procedures shall be sent to the appropriate divisional dean by the committee.
- H. In its deliberations, the department committee shall be guided principally by Article XII, Title B of the *Policies of the Board of Trustees*. The interpretation and application of this article shall be as consistent from year to year as is practicable.
- I. When department members are under consideration for a discretionary salary increase, they shall be judged on the basis of their performance since each individual's last discretionary salary increase or the previous three-year period, whichever is shorter, unless otherwise stipulated by the *Agreement*.
- J. Prior to arriving at its recommendations the department committee shall notify in writing all department members that deliberations will take place. Such notification shall be made at least ten (10) working days in advance of the deliberations.
- K. The department committee shall issue a written request to all members of the department or program for written commentary, clearly related to the criteria established by the *Policies of the Board of Trustees*, concerning the candidates. The committee shall require that candidates wishing to submit written information on their own behalf do so at least five (5) working days prior to the deliberations so that such information can receive fair consideration by the committee. Either the candidates or the department committee may solicit information from outside the department or program.
- L. In the case of a faculty member who is performing professional duties (e.g., teaching, advisement) in another department or program, the candidate's department must solicit written evaluative data from said department or program.
- M. The department committee and the department chair shall meet before the committee submits its recommendations. The purpose of this meeting is to enable the committee and the department chair to discuss the relative strengths and weaknesses of individuals under consideration, to define areas of agreement, and to articulate differences.
- N. All material contained in the evaluation file concerning candidates received by the committee shall be maintained in the department under the supervision of the department chair. A written evaluative report based on the criteria established in Article XII of the *Policies of the Board of Trustees* shall be prepared by the committee. This report shall be prepared for each candidate whether or not the candidate is recommended by the committee. Any identifying language shall be deleted from confidential material used in this report. The report shall be made available to the candidate. After the report has been made available to the candidate, there shall be at least ten (10) working days before the recommendation is to be forwarded to the next level. A candidate wishing to respond to the report must provide a response to the committee at least five (5) working days before the recommendation is to be forwarded to the next level. The candidate's response shall be attached to the report, as well as any committee comments on the candidate's response. These committee comments shall be made available to the candidate. The committee shall then forward its final report to the next level. The final report shall be accompanied by lists of candidates numerically ranked in order of preference; two such lists shall be forwarded, one for promotions and one for discretionary salary increases.
- O. The chair of the department shall forward to the next level lists of candidates numerically ranked in order of preference. Two such lists shall be forwarded, one for promotions and one for discretionary salary increases.
- P. After the recommendations are forwarded to the next level, each candidate for promotion shall meet jointly with the chair of the department and the chair of the department committee to discuss

individual strengths and weaknesses as they relate to the criteria in the *Policies*, and to determine progress toward achieving advancement in rank, A record of such meetings shall be summarized in writing and maintained in the department file pursuant to Section II, part N of this *Appendix*.

**III. Role of the College of Arts and Sciences, the School of Business, the School of Communication, Media and the Arts, or the School of Education**

- A. There shall be peer review committees to prepare lists of candidates numerically ranked in order of preference selected from candidates recommended by the department committees. Also, the peer review committees shall consider appeals from those faculty who were not recommended by their department committees. Two (2) such lists shall be prepared; one for promotions and one for discretionary salary increases.
- B. For the College of Liberal Arts and Sciences, there shall be three (3) peer review committees. Each of these peer review committees shall serve from October 30 of a given year until October 30 of the following year. Each department in the groupings identified in paragraph D below shall annually elect one representative to its peer review committee.
- C. A department in the College of Liberal Arts and Sciences with three or fewer members is not obligated to elect a member to the appropriate peer review committee.
- D. The College of Liberal Arts and Sciences division peer review committees are:

<u>Humanities</u>	<u>Social and Behavioral Sciences</u>	<u>Natural Sciences</u>
English & Creative Writing	Anthropology	Biological Sciences
Modern Languages & Literatures	Economics	Chemistry
History	Political Science	Computer Science
Philosophy	Psychology	Earth Science
	Public Justice	Mathematics
	Sociology	Physics

Departments may be added to or deleted from the above lists upon a recommendation of the Academic Policies Council and by a two-thirds (2/3) majority of the Faculty Assembly.

- E. For the School of Education, there shall be one committee. This committee shall serve from October 30 of a given year until October 30 of the following year. Each department in the School of Education shall elect annually one representative to the committee.
- F. For the School of Business, there shall be one committee. This committee shall serve from October 30 of a given year to October 30 of the following year. Each department in the School of Business shall elect annually two representatives to this committee. At least one representative from each department must not have served in the current year on the departmental committee.
- G. Members of the peer review committees may be re-elected, but may not serve more than two years consecutively. No faculty member who is a candidate for promotion may serve on a peer review committee.
- H. Each peer review committee shall elect a chair from its own membership.
- I. Each peer review committee shall make known in writing its procedures to the faculty, the appropriate dean, and the provost
- J. A peer review committee may request a department committee to provide more explicit descriptive material to assist the peer review committee in its deliberations.

- K. The peer review committee shall report the following items to the department committee: (1) changes in the department committee's priority listings; and (2) those department committee candidates not recommended. This report shall be made at least ten (10) working days before the peer review committee's recommendations are reported to the next level. Any response of the department committee shall be appended to the recommendations of the peer review committee. The peer review committee may comment on the department committee's response. These comments shall also be appended to the peer review committee's report and a copy forwarded to the department committee. The recommendations of the peer review committee and all appended items shall be forwarded to the next level.
- L. All reports and supporting documents for individuals shall be sent to the next level whether or not they were recommended, unless they request that their candidacies be withdrawn.
- M. Recommendations of the department chair shall be considered by the peer review committee
- N. Recommendations shall not be initiated by the peer review committee or its individual members.
- O. In its deliberations, the peer review committee shall be guided principally by Article XII, Title B of the *Policies of the Board of Trustees*. The interpretation and application of this article shall be as consistent from year to year as is practicable.

#### **IV. Role of the College Faculty Panel**

- A. There shall be a College Faculty panel composed of the chairs of the peer review committees.
- B. Before the College Faculty Panel, the chairs of departments, and the chairs of department personnel committees begin their deliberations, they shall meet with the administration to define areas of agreement and to articulate differences. Any of these individuals may forward to the president comments related to issues raised in the meeting with the administration.
- C. This panel may forward to the president comments related to issues raised in the meeting with the administration.
- D. This panel shall be informed of the president's final action and shall report to the peer review committees.

#### **VI. Recommended Schedule**

*NOTE: Schedule is currently being revised by Personnel Policies Council. See schedule approved by Faculty Assembly (May 3, 2010) and distributed by the Provost.*

- A. September 15 – Department committee elected
- B. September 30 – Peer review committees elected
- C. October 15 – Department committee's procedures submitted to department  
– First meeting between College Faculty Panel, chairs of departments, chair of department personnel committees, and administrators
- D. November 15 – Department committee's recommendations submitted to appropriate peer review committee  
– Peer review committees procedures submitted to appropriate faculty, the appropriate dean, and the provost
- E. February 15 – Peer review committee's recommendations submitted to the administration
- F. April 1 – College Faculty panel meets with administration for the second time