

APPENDIX D

February 2018, January 2019, **November 2021**

PROMOTION

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 remain relatively stable and if any changes in interpretation are required, they shall be communicated to all parties in a clear and timely manner.
- E. For faculty with responsibilities in other departments or programs, the basis for promotion and discretionary salary increases must reflect well-documented expectations on shared responsibilities and scholarship across disciplines. These written expectations are developed by the faculty and respective department and program chairs, and approved at the dean's level and may require joint approval of more than one dean for shared appointments across schools.

II. Role of the Department

- A. There shall be a department committee to recommend candidates for promotion. 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 a 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. In the event that a department has too few eligible faculty to constitute a committee, the dean, in consultation with the department, will assign faculty from other departments to augment the committee.

* 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. 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.
- J. 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.

- K. 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. In addition to these data, the department will be guided by a written plan of evaluation approved at the dean level for any faculty member with shared responsibilities.
- L. 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.
- M. 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.
- N. The chair of the department shall forward to the next level lists of candidates numerically ranked in order of preference.
- O. 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 School- and College-Level Peer Review Committees

- A. The College of Liberal Arts and Sciences, the School of Business, the School of Communication, Media and the Arts, and the School of Education shall have peer review committees. (The Library will not have such a committee.) These committees shall prepare lists of candidates numerically ranked in order of preference selected from candidates recommended by the department committees. ~~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.~~
- 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:
- **Humanities:** English and Creative Writing; History; Modern Languages and Literature; Philosophy
 - **Social and Behavioral Sciences:** Anthropology; Economics; Human Development; Political Science; Psychology; Public Justice; Sociology
 - **Natural Sciences:** Atmospheric and Geological Sciences; Biological Sciences; Chemistry; Computer Science; Electrical and Computer Engineering; Mathematics; 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 Communication, Media and the arts, 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 Communication, Media and the Arts shall elect annually one representative to the committee.
- F. 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.
- G. 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.

- H. 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.
- I. Each peer review committee shall elect a chair from its own membership.
- J. Each peer review committee shall make known in writing its procedures to the faculty, the appropriate dean, and the provost.
- K. A peer review committee may request a department committee to provide more explicit descriptive material to assist the peer review committee in its deliberations.
- L. 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.
- M. 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.
- N. Recommendations of the department chair shall be considered by the peer review committee
- O. Recommendations shall not be initiated by the peer review committee or its individual members.
- P. 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.

- A. The vice-chair of faculty assembly shall convene, when it is deemed necessary, a meeting of the provost, the college faculty panel, the chairs of departments, program directors, the UUP president, and the chairs of department personnel committees. This meeting will be convened prior to the beginning of promotion deliberations in the Fall semester. The purpose of this meeting will be to discuss questions and concerns related to the promotion process.
- B. This panel or any individuals present at this meeting may forward to the president comments related to issues raised in the meeting with the administration.
- C. This panel shall be informed of the president's final action and shall report to the peer review committees.

V. Recommended Schedule

- 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

APPENDIX E

March 2015; May 2020; **November 2021**

DISCRETIONARY SALARY AWARDS (DSA) AND INCREASES (DSI)

I. Statement of Principles

- A. This appendix recognizes the rights and obligations faculty have to participate in the process for reviewing applications and making recommendations for discretionary salary awards and increases.
- B. This appendix recognizes the benefits to be gained by open discussion 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 distributing discretionary salary awards (DSA) and discretionary salary increases (DSI) remain relatively stable and if any changes in interpretation are required, they shall be communicated to all parties in a clear and timely manner.
- E. The salary adjustments described in this appendix are distributed on the basis of meritorious, or highly meritorious performance in academic or professional assignment, in alignment with the criteria specified in the ***Policy of the Board of Trustees***. In some instances, these adjustments may be made in an effort to eliminate salary inequities.

II. Application/Review Process – Full Time Faculty

This appendix maintains that the application process faculty members follow for both DSA and DSI be transparent and consistent. Criteria for each type of salary adjustment should align with the *Policies of the Board of Trustees*.

Discretionary Salary Award (DSA)	Discretionary Salary Increase (DSI)
The faculty member completes an online activity report and submits a Letter of Justification to the Department Chair outlining achievements in the five <i>Board of Trustees</i> criteria.	The faculty member completes an online activity report and submits a Letter of Justification to the Department Chair outlining annual achievements in the five <i>Board of Trustees</i> criteria. They also submits an updated Resume which highlights new additions since the previous DSI adjustment. since the last online activity report, not to exceed two years.
The Department Chair reviews letters and makes a rank ordered recommendation (Yes/No) to the Dean.	The Department Chair reviews applications and makes a rank ordered recommendation (Yes/No with levels of award – 1 = Meritorious; 2 = Highly Meritorious) to the Peer Review Committee as outlined in Appendix D (GLAS, GMA, SOB, SOE or Library).
	The College or School Peer Review Committee reviews the Chairs' recommendations and faculty applications to make a rank ordered recommendation (Yes/No with levels of award – 1 = Meritorious; 2 = Highly Meritorious) to the Dean. The Peer Review Committee shares this information with Department Chairs.
The Dean reviews Chairs' recommendations and the faculty letters to make a rank ordered recommendation (Yes/No) to the Provost. The Dean shares this information with the Department Chairs.	The Dean reviews the Chairs' and Peer Review Committee's recommendations and the faculty applications to make a rank ordered recommendation (Yes/No with levels of award – 1 = Meritorious; 2 = Highly Meritorious) to the Provost. The Dean shares this information with the Department Chairs and the Peer Review Committee. ¹
The Provost reviews all faculty letters and recommendations to make a summative recommendation to the President. The Provost shares this information with the Deans.	The Provost reviews all faculty letters and recommendations to make a summative recommendation to the President. The Provost shares this information with the Deans.
The President distributes DSA monies to faculty.	The President distributes DSI monies to faculty. Awards are at two levels: Meritorious and Highly Meritorious.

¹Library faculty folders will go to the personnel evaluation committee, then to the library director, since the director serves as both chair and dean of the department.

III. Application/Review Process – Adjunct Faculty

This appendix maintains that the application process faculty members follow for both DSA and DSI be transparent and consistent. Criteria for each type of salary adjustment shall be based on exemplary service to the college.

Discretionary Salary Award (DSA)	Discretionary Salary Increase (DSI)
The faculty member submits a Letter of Justification to the Department Chair outlining achievements in the five <i>Board of Trustees</i> criteria.	The faculty member submits a Letter of Justification to the Department Chair outlining annual achievements in the five <i>Board of Trustees</i> criteria. They also submits an updated Resume which highlights new additions since the previous DSI adjustment. since the last online activity report, not to exceed two years.
The Department Chair reviews letters and makes a rank ordered recommendation (Yes/No) to the Dean.	The Department Chair reviews applications and makes a rank ordered recommendation (Yes/No with levels of award – 1 = Meritorious; 2 = Highly Meritorious) to the Peer Review Committee as outlined in Appendix D (GLAS, GMA, SOB, SOE or Library).
	The College or School Peer Review Committee reviews the Chairs' recommendations and faculty applications to make a rank ordered recommendation (Yes/No with levels of award – 1 = Meritorious; 2 = Highly Meritorious) to the Dean. The Peer Review Committee shares this information with Department Chairs.
The Dean reviews Chairs' recommendations and the faculty letters to make a rank ordered recommendation (Yes/No) to the Provost. The Dean shares this information with the Department Chairs.	The Dean reviews the Chairs' and Peer Review Committee's recommendations and the faculty applications to make a rank ordered recommendation (Yes/No with levels of award – 1 = Meritorious; 2 = Highly Meritorious) to the Provost. The Dean shares this information with the Department Chairs and the Peer Review Committee. ²
The Provost reviews all faculty letters and recommendations to make a summative recommendation to the President. The Provost shares this information with the Deans.	The Provost reviews all faculty letters and recommendations to make a summative recommendation to the President. The Provost shares this information with the Deans.
The President distributes DSA monies to faculty.	The President distributes DSI monies to faculty. Awards are at two levels: Meritorious and Highly Meritorious.

² Library faculty folders will go to the personnel evaluation committee, then to the library director, since the director serves as both chair and dean of the department.