

# Part Two: College Guidelines for Faculty



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#### 210.01 ANNUAL REPORT OF YEAR'S ACTIVITIES

May – Fourth week: Department chairs submit reports to school deans or supervisors

June – Second week: School deans and supervisors submit reports to vice presidents

July 1: Vice presidents submit reports to president

Sept. 1: President submits annual report to chancellor, board of trustees and College Council.

#### 210.02 BUDGET

The fiscal year for SUNY is from July 1 through June 30. The distributed state support, in combination with each campus's tuition and certain other revenue, comprise the campus's State Operations Fund. Other campus self-supporting funds, such as Income Fund Reimbursable (IFR), Dormitory Income Fund Reimbursable (DIFR) and State University Tuition Reimbursement Account (SUTRA), are accounted for separately.

Each campus has full discretion in the distribution and use of both State and campus-generated revenue within the State and University fiscal guidelines. At SUNY Cortland, State Operations Funds are fully distributed to the

appropriate campus officers and various campus-wide activities. Campus officers have authority to further distribute these funds within their area of responsibility in accordance with approved campus policies and priorities.

### **210.03 LEAVE OF ABSENCE**

#### **November**

First week – Faculty member makes application for February leave of absence to department chair.

Second week – Recommendation on February leave of absence department chair to school dean.

Third week – Recommendation on February leave of absence dean to provost.

Fourth week – Recommendation on February leave of absence provost to president.

#### **December**

First week – President notifies faculty member of decision regarding leave of absence.

#### **April**

First week – Faculty member makes application for September leave of absence to department chair.

Second week – Recommendation on September leave of absence – department chair to school dean.

Third week – Recommendation on September leave of absence – dean to provost.

Fourth week – Recommendation on September leave of absence – provost to president.

#### **May**

First week – President notifies faculty member of decision regarding leave of absence.

### **210.04 STUDENT REGISTRATION AND RECORD SERVICES CALENDAR**

#### **Week Prior to Start of Classes**

Students de-registered for non-payment of tuition – all classes are removed.

#### **First Day of Classes**

Class lists available on myRedDragon for all instructors and department personnel.

Drop/Add Period.

#### **Second Week of Classes**

Final class lists – following all drop/add activity – available on myRedDragon for instructors and department personnel.

Chairs and department personnel review – and update if necessary – the semester Course Schedule with current instructors, meeting times and rooms for SUNY System Administration Enrollment Reports. (Student Data Submission (SDS); Course Data Submission (CDS); Term and Section Data Submission (TSDS)).

Chairs meet with the executive director, student registration and records services, to schedule classes for next semester's courses.

#### **Fifth Week of Classes**

Chairs proofread next semester's course offerings prior to posting on website.

Final examination requests to faculty to identify department and special request examinations.

#### **Seventh Week of Classes**

First/Third Quarter grades are due; updated second or fourth-quarter class lists available on myRedDragon.

Chairs return final examination requests to dean for approval.

#### **Eighth/Ninth Weeks of Classes**

Deans return final examination requests to the executive director, student registration and records services. Course offerings available on the web Time-tickets and registration pin numbers are issued to students and are accessible on myRedDragon for faculty prior to registration of continuing students.

#### **Tenth/Eleventh Weeks of Classes**

Registration of seniors, juniors, sophomores and freshmen commences. Instructors notified of outstanding Incompletes which are scheduled to be converted to failing grade of E. Final Examination Schedule distributed electronically and posted on website.

#### **Last Three Weeks of Classes**

Students cannot withdraw from courses.

#### **Last Week of Classes**

No in-class examinations or quizzes – unless approved by dean. Make up of Incomplete grades due to Student Registration and Records Services.

#### **Final Examination Period**

All grades are due to Student Registration and Records Services within 72 hours after each final examination given. Holidays are excluded. Saturday and Sunday are counted as 24 hours.

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### **210.05 PROMOTION**

**February 1** - Faculty self-recommendations due to Department Personnel Committee.

Note: In the case of promotion from the rank of associate professor to full professor, external reviews are required for faculty hired after 2009.

**February 15** – Department Personnel Committee’s recommendations due to department chair.

**March 1** – Department chair’s recommendations due to School Personnel Committee (Lecturer Review Committee).

**April 1** - School Personnel Committee’s (Lecturer Review Committee’s) recommendations due to dean.

**April 15** - Dean’s recommendations due to provost.

**May 1** – Provost’s recommendations due to president.

**May 15** – Faculty notification letters from president; copies to provost, dean, chair of School Personnel Committee (Lecturer Review Committee), department chair, and chair of Department Personnel Committee.

**June 1** – Department decides promotions procedures for next year.

The promotion timeline allows for the following options:

- Applicants can choose to submit one portfolio to be considered for both reappointment/continuing appointment and promotion.

- Faculty are not required to apply for promotion at the time they are going up for continuing appointment.
- In their portfolios, candidates who are going up for reappointment or continuing appointment must be clear in identifying whether or not they want to be considered for promotion at the same time.
- Reviewers can review one portfolio and make recommendations for both reappointment or continuing appointment and promotion. The recommendations can be different. For example, a personnel committee can recommend a candidate for continuing appointment, but not recommend for promotion.

## **210.06 Employment Separation Policy**

### **Purpose**

The purpose of this policy is to define employee separation procedures when an employee leaves SUNY Cortland. This policy also serves to safeguard the interests of the College and the employee upon separation from employment.

### **Definition**

This policy includes all resigning full-time and part-time employees, excluding adjunct/contingent faculty. Adjunct staff will be included in a separate policy.

### **Notice Requirements**

All employees whose intent is to resign, including the intent to resign for retirement purposes, must provide written notice\* as follows:

- **Classified Staff** – provide at least a two-week notice addressed to Mary Saracene, Assistant Director for Benefits and Classified Employment, Human Resources, Miller Building, Room 301 and a copy to the immediate supervisor.  
If an employee resigns without giving a two-week written notice prior to the last day of work, it is within the discretion of the president or designee to withhold payment for accrued and unused vacation leave in accordance with Section 23.1 of the NYS Department of Civil Service Attendance and Leave Manual.
- **Unclassified Faculty and Staff** – provide a minimum of 30 days' written notice for resignations, including resignations for the purpose of retirement, addressed to Erik Bitterbaum, President, Miller Building, Room 408, and a copy to the immediate supervisor.  
If an employee resigns without giving the full 30 days' notice, it is within the discretion of the president or designee to withhold from such employee's final check an amount equal to the employee's daily rate of pay for each day less than the required 30 days.

All resignations from employment are irrevocable. Please be sure to carefully consider all relevant facts and dates surrounding your resignation prior to submitting your notice.

\* Hard copy written notice is preferred, but an email is also acceptable. Under certain situations a verbal resignation will be accepted and confirmed.

### **Work Obligation and Use of Accruals During Notice Period**

The College expects that a resigning employee will continue to work through their notice period to ensure a smooth transition out of their office/department and the College. In preparing for resignation, the employee should discuss any planned use of accruals prior to formally submitting the notice of resignation.

An employee may request to use accumulated accruals during their notice period; however, accruals should not be used to cover the full notice period or major fraction thereof, and the use of accruals is subject to prior approval by

management.

### **Lump-sum Payment of Accruals**

Upon separation from state service, employees may be reimbursed for up to a maximum of 30 days, or equivalent number of hours for classified staff, of unused accrued vacation credits and part-time employees have a pro-rated maximum amount that may be reimbursed. Unused sick leave, holidays and personal leave balances are forfeited upon separation but are re-instated if the employee returns to state employment within one year.

### **Liquidation of Accruals During Notice Period**

The College will not routinely approve the use of accrued leave credits during an employee's notice period, or to extend an employee's last day in pay status beyond the number of days/hours of leave accruals that would be forfeited if not used. Exceptions may be made under certain circumstances subject to the review and approval of human resources.

### **Example**

If an employee who is resigning has 35 days of vacation accruals, subject to operational need, the College will not routinely deny the request for use of the five days needed to get the balance down to 30, which will then be paid out upon separation.

### **Employee Responsibilities**

When an employee leaves the College, there will be much to address in concluding the employment relationship. This includes the employee's obligation to return all College and/ or grant-sponsored supplies/property assigned to them.

The Employee Separation Checklist will guide employees through the SUNY Cortland separation process. Upon completion, this form should be signed and forwarded accordingly. Items on the checklist may not apply to all employees.

Employees should keep a copy of all documents for their records.

The College is not responsible for personal belongings left behind by an employee who has separated from College employment.

### **Supervisor/Chair Responsibilities**

When an employee leaves employment with SUNY Cortland, it is the responsibility of the supervisor to help guide employee's leaving their office/department to ensure a smooth end-of-employment transition.

The Supervisor Employee Separation Checklist should be completed and will provide guidance to the supervisor for managing the employee's separation from employment with the College. Items on the checklist may not apply to all employees.

Employees should keep a copy of all documents for their records.

This policy serves as a comprehensive guide for employees separating from SUNY Cortland. An individual whose employment with the College ends, but who does not follow the employment separation process and/ or return

College or grant sponsored property in accordance with this policy may be subject to the following:

1. The College may discontinue retiree or emeritus privileges until any discrepancies have been resolved.
2. The College reserves the ability to cancel an employee's direct deposit and issue a check, with the purpose of communicating with the employee the obligation to return any outstanding College/grant sponsored property when the employee picks up their last paycheck.
3. The College has always reserved the right and will continue to commence the collection process in the event an employee who has left employment neglects to return assigned College/grant sponsored assets to their respective office/department that they are obligated to return.

## **210.07 SABBATICAL LEAVES**

### **October**

First week – Faculty member makes application for sabbatical leave to department chair.

Third week – Department chair makes recommendation to respective dean, along with explanation of how applicant's courses will be covered. If the courses will not be taught, the chair must state how students who need those courses will make timely progress toward the degree.

### **November**

Second week – Dean makes recommendation to provost.

### **December**

First week – Provost makes recommendation to president.

### **January**

First week – President notifies faculty member.

Article XIII, Title E, of the Policies of the Board of Trustees makes it clear that "The objective of [a sabbatical leave] is to increase an employee's value to the University and thereby improve and enrich its program. Such leave shall not be regarded as a reward for service nor as a vacation or rest period occurring automatically at stated intervals."

Article XIII, Title E also states that "the applicant will continue as a member of the professional staff for a minimum of one year upon return" from the sabbatical leave.

"It is important that chairs and other academic officers be convinced that the project proposed for a leave is of sufficient value to justify the investment which the institution makes. In my view, faculty and staff should be encouraged to seek outside funding for half salary which would then allow a full year's leave which is more beneficial than a half-year to the institution and to the individual. I note in passing that the impact on the department's workload and on the College budget is lessened, since a temporary replacement can usually be employed for the half salary remaining to the College."

(Approved by President Clark, Oct. 14, 1980)

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## **210.08 SUMMER/WINTER SESSION**

### **October**

Third week – [Summer Session](http://www2.cortland.edu/offices/summer-session/) (<http://www2.cortland.edu/offices/summer-session/>)/[Winter Session](http://www2.cortland.edu/offices/winter-session/) (<http://www2.cortland.edu/offices/winter-session/>) coordinator canvasses department chairs regarding suggested listing of summer session offerings. Request is also made regarding necessary staffing, including visiting instructors.

### 210.09 TERM AND CONTINUING APPOINTMENTS: STEPS

Steps	First-year appointment	Second-year appointment	Third-year appointment	Promotion
Portfolios due to Department Personal Committee	Nov. 1	Sept. 15	Feb. 1	Feb. 1
Department Personnel Committee to department chair	Nov. 15	Oct. 1	Feb. 15	Feb. 15
Department chair to School Personnel Committee	Dec. 1	Oct. 15	March 1	March 1
School Personnel Committee to school dean	Dec. 15	Nov. 1	April 1	April 1
School dean to provost	Jan. 15	Nov. 15	April 15	April 15
Provost to president	Feb. 15	Dec. 1	May 1	May 1
President to faculty member	March 1	Dec. 15	May 15	May 15
Reply to president	10 days	10 days	10 days	10 days

If a date falls on a Saturday or Sunday, the deadline will be the following Monday.

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## CHAPTER 220: Academic Personnel Procedures

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### 220.01 ACADEMIC FREEDOM

"It is the policy of the University to maintain and encourage full freedom, within the law, of inquiry, teaching and research. In the exercise of this freedom faculty members may, without limitation, discuss their own subject in the classroom; they may not however, claim as their right the privilege of discussing in the classroom controversial matter which has no relation to their subject. The principle of academic freedom shall be accompanied by a corresponding principle of responsibility. In their role as citizens, employees have the same freedoms as other citizens. However, in their extramural utterances employees have an obligation to indicate that they are not institutional spokespersons." Article XI, Title I, Policies, 2001.

The [AAUP] 1990 Statement of Principles asserts the right of faculty members to speak or write as citizens, free from institutional censorship or discipline. At the same time it calls attention to the special obligations of faculty members arising from their position in the community: to be accurate, to exercise appropriate restraint, to show respect for the opinions of others, and to make every effort to indicate that they are not speaking for the institution.

The Middle States Association states that: "A sound educational environment requires a secure framework of academic freedom. Academic freedom and job security are not synonymous and should not be contingent on each other. Regardless of whether faculty members hold probational initial appointments or are on extended contract or permanent tenure, the same principles of academic freedom must apply to all. Academic freedom protects the methods of inquiry and gives one the right and the obligation as a scholar to examine all data and to question any assumption. It debars one from preconceived conclusions. It obliges a teacher to present all information fairly because it asserts the student's right to know the facts. Academic freedom does not require neutrality on the part of either an individual or an institution. It is consistent with earnest and declared efforts to advance a particular point of view if it is insisted that complete access to the facts underlies the argument and that the argument can be plainly distinguished from the inquiry. To restrict the availability or limit the presentation of data or opinions is to deny academic freedom."

## **220.02 RESPONSIBILITY OF FACULTY**

During the first week of classes (preferably at the first class) a dated syllabus should be distributed by the instructor to all students. The syllabus should include the catalog course description, course designation requirements (e.g., GE, PRES, WI, etc.) a description of assignments and approximate dates on which they are due, the attendance policy, the assessment method and grading procedures for the course, the materials required for the course, the Cortland disability statement, a statement on academic integrity, how to contact the instructor and other information deemed necessary by the instructor.

For courses in certain accredited programs (eg. NRPA/AALR, CAAHEP) there are additional items that must be included on the syllabus, and faculty should consult the respective departmental guidelines. With regard to NCATE accreditation, specific courses in teacher preparation (eg. courses with the prefix AED, ECE, EDL, EDU, FSA, LIT, PED, SHH, SPE and other courses requiring special designation on the [Teacher Education Council \(/teacher-education/professional-education-unit/teacher-education-council/\)](http://www.teachereducation.org/) website also require additional items that must be included on the syllabus, and these are noted in the "Components for the Cortland Teacher Education Course Syllabus," also found on the TEC website. Faculty should consult [Section 410.12 Class Attendance for Students and Faculty \(/offices/publications/handbook/part-four/index.dot\)](http://www2.cortland.edu/offices/publications/handbook/part-four/index.dot) when preparing the syllabus.

(Approved by Provost Davis-Russell, July 2007)



**Criteria for Teacher Preparation Courses Requiring Special Designation:** Refers to courses that focus on assisting or understanding P-12 students in the teaching-learning process. Included among such courses would be:

- Courses on classroom methodology (AED 391)
- Courses that address P-12 student development (PSY 231 and 232)
- Courses specifically designed only for teacher education candidates (MAT 101, SCI 141 and 142)
- Courses that cover a combination of content and pedagogy (ENG 402)

### **Components for the Cortland Teacher Education Course Syllabus:**

The following checklist identifies required components for syllabi for teacher education courses. Syllabus format and the addition of other components are at faculty discretion and in compliance with any specific department or program guidelines.

#### **General Information**

- Name of the Institution (SUNY Cortland)
- Name of the Department
- Semester, Year of the Course

#### **Course Information**

- Course Prefix, Number, Title, and Credit Hours
- Required Course Materials (eg. Textbooks, journal articles, library and/or online resources)
- Course Description
- Instructor Course Description (optional)
- Course Objectives/Learning Outcomes
- Schedule and Activities
- Attendance Policy
- Evaluation of Student Performance
- Disability Statement
- Academic Integrity Statement
- Alignment of Syllabus Components with Conceptual Framework and Specialty Program Association Standards
  - Where most appropriate, assignments, and/or activities, and/or evaluations of student performance should be linked to:
    - a) the Specialty Program Association Standard that the task fulfills (eg. ACEI, Standard 4, NSTA, Standard 2), and
    - b) the Conceptual Framework area met (eg. CF-Knowledge Base).

#### **Instructor Information**

- Name of Instructor
- Office Hours, Location and Telephone Number
- Email Address

**Academic Integrity Statement:** Faculty should include in all syllabi a reference to upholding academic integrity and intolerance of academic dishonesty. Suggested wording might be the following: "Students will not cheat or plagiarize in this course. Plagiarism, a serious academic offense, is defined as expropriating the ideas of others and using them as one's own without due credit. Students who cheat in examinations or plagiarize in this course will be disciplined in accordance with university rules and regulations." (See College Handbook, [Chapter 340 \(/offices/publications/handbook/part-three/index.dot\)](#).)

**Disability Statement:** Faculty should include in all syllabi a reference to disabilities accommodations SUNY Cortland is committed to upholding and maintaining all aspects of the federal Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973. Suggested wording might be the following: "If you are a student with a disability and wish to request accommodations, please contact Disability Resources Office located in Van Hoesen Hall, Room B-1, or call 607-753-2066 for an appointment. Any information regarding your disability will remain confidential. Because many accommodations require early planning, requests for accommodations will be reviewed in a timely manner to determine their appropriateness to this setting."

Within the first two weeks of classes, faculty should post their office hours for students and submit them to their department chair who will send a copy to the dean of the school. Many faculty also list their office hours on course syllabi. As a part of its strong commitment to undergraduate teaching, Cortland prides itself on the availability of faculty to meet with students. To ensure this student access, faculty with a full teaching obligation should be available in their office for at least five hours per week to meet with students. Preferably, the hours should be spread through the week and at different times of the day. Those with part-time teaching assignments should hold proportionate office hours. Department chairs and deans will address any variations in these expectations.

Faculty members are required to meet their classes as scheduled in the Course Schedule unless permission to change meeting times has been approved by the dean of the school, after consultation with the department chair and with Student Registration and Records Services. Approving a request to change a course meeting time must meet the following criteria:

1. Students enrolled in the course have no conflicts with any other scheduled course including laboratory or performance type course
2. Students are not subjected to extreme inconvenience by the time change.

Faculty members are obligated to meet their classes during each scheduled class period, including those classes scheduled 48 hours before and after a vacation. With the approval of the department chair, an instructor may reschedule a particular class session for such purposes as testing, attendance at special programs, seminars, and field trips. In the event an instructor cannot meet this class for any reason including illness, absence from campus, or another professional obligation, s/he shall arrange for another qualified person to conduct the class during the absence unless, by mutual agreement between the chair and the instructor, other educational arrangements are warranted.

**Inclusive Learning Environment Statement:** SUNY Cortland is committed to a diverse, equitable and inclusive environment. The course instructor honors this commitment and respects and values differences. All students enrolled in this course are expected to be considerate of others, promote a collaborative and supportive educational environment, and demonstrate respect for individuals with regard to ability or disability, age, ethnicity, gender, gender identity/expression, race, religion, sex, sexual orientation, socio-economic status or other aspects of identity. In an environment that fosters inclusion, students have the opportunity to bring their various identities into conversation as they find helpful, but are not expected to represent or speak for an entire group of people who share aspects of an identity.

If you have any questions or concerns about this statement, contact the Institutional Equity and Inclusion Office at 607-753-2263.

**Title IX Statement:** Title IX, when combined with New York Human Rights Law and the New York Education Law 129-B, prohibits discrimination, harassment and violence based on sex, gender, gender identity/expression, and/or sexual orientation in the education setting. The federal Clery Act and NY Education Law 129-B provide certain rights and responsibilities after an incident of sexual or interpersonal violence. When a violation occurs, victims and survivors are eligible for campus and community resources. Where the College has jurisdiction, it may investigate and take action in accordance with College policy. If you or someone you know wishes to report discrimination based in sex, gender, gender identity/expression, and/or sexual orientation, or wishes to report sexual harassment, sexual violence, stalking or relationship violence, please contact the Title IX Coordinator at 607-753-4550, or visit [cortland.edu/titleix](http://cortland.edu/titleix) to learn about all reporting options and resources. *(Updated by SUNY Legal Feb. 1, 2018.)*

### **220.03 RECRUITMENT OF FACULTY (SELECTION AND APPOINTMENT)**

Positions, new or replacement, are assigned to departments by the president of the College on the recommendation of the provost.

1. Advertisements and recruitment contacts should be made for all anticipated vacancies new and/or replacements as early as possible each new academic year. A position description should be prepared and submitted to the school dean for review of responsibilities, salary range, if stated, and rank. Notices of vacancies must be submitted to the Affirmative Action Office.
2. Recruitment for actually assigned positions should begin as early as possible following the authorization of the new position by the provost and approval for advertising by the Affirmative Action Office.
3. When the department committee and the department chair have decided on their top candidate or candidates (up to three) a complete vita, including transcripts and letters of recommendation or reports of telephone recommendations for each candidate should be forwarded to the appropriate dean, to the provost and to the affirmative action officer. After these approvals, the chair should request from the dean and the affirmative action officer permission to invite the candidate to the campus. Whenever possible, the chair or other designated members of the department should actively interview candidates at national and regional professional meetings to screen the field before inviting serious candidates for on-campus interviews. On-campus interviews should be arranged, whenever possible, for the top candidate or candidates.
4. Candidates brought to the campus for positions at the professor or associate professor level should be interviewed by the provost in addition to other appropriate administrators. Candidates for assistant professor and instructor should be interviewed by the provost or his/her designee and the dean of the school in which the candidate may be appointed.
5. Transportation charges and room and board may be reimbursed in accordance with campus policy. All such charges must be verified with appropriate receipts. Candidates staying overnight during their visit should be housed in college facilities when possible, and will be fed at college expense. To expedite the reimbursement of the candidate's travel expenses, responsible persons should obtain the candidate's signature, home address, and social security number on the State of New York Standard Travel Voucher, which is form AC 132-REV, 4-75 while the candidate is on campus. ([See Guest Room Use Policy 380.08 \(/offices/publications/handbook/part-three/index.dot\)](#)).
6. Travel expenses incurred by the department chair or his/her designated representative for recruitment at regional or national or professional meetings may be paid by the provost or by the school dean subject to state travel regulations. Approval must be obtained from the provost or school dean in advance of such travel.
7. Rank and salary for each position must be cleared with the appropriate dean and the provost. Except in extraordinary cases, initial appointment to the College will not be made with continuing appointment.
8. The chair should discuss each appointment with the appropriate dean in advance of any oral or written statement to the candidate. Under no circumstances should the chair make an oral or written commitment to the candidate without the prior approval of the dean and the provost. It is the primary responsibility of the department chair to define for the candidate terms for employment.

9. The appointment form should indicate the line which is intended to be used for the appointment existing line numbers are provided on the Departmental Service Roster; new line numbers will be provided by the provost or the Business Office. The appointment form and accompanying documents should list the following:
  - A. Recommended salary
  - B. Recommended type and term of appointment
  - C. Number of years of previous full-time college teaching in accredited institutions which count toward the seven year probationary period.
  - D. Any contingency arrangement agreed to by the candidate, the department, the appropriate dean and the provost.
10. All recruitment efforts must conform to the campus Affirmative Action policies.

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### **220.04 IMMIGRATION AND VISA STATUS**

1. The Immigration and Naturalization Service does not permit employment of noncitizens holding certain types of visas. Employment of individuals who are not citizens or permanent residents requires the review and approval of the Human Resources Office.
2. The College provides legal support to tenure-track academic faculty for immigration petitions and applications filed on behalf of prospective and current employees. Legal services in connection with such petitions and applications shall be performed only by attorneys retained through the Office of University Counsel. Contact the Human Resources Office for additional information.
3. The Immigration Reform and Control Act of 1986 requires all employees hired after May 31, 1987 to complete the Employment Eligibility Verification (Form I-9). Forms and information are available in the Human Resources Office.

### **220.05 APPOINTMENT OF FACULTY**

1. Following consultation with the appropriate dean and vice president, the department chair should communicate to the candidate the conditions of employment as they will be recommended through channels to the president. These include:
  - A. salary
  - B. term (semester, 10-months, 12-months, years)
  - C. title or rank
  - D. in tenure-track or temporary
  - E. if full or part time
  - F. general responsibilities

Any communication must make clear that only the president can offer an appointment and that after the recommendation has been considered by reviewing authorities such as the dean, provost, business officer, and affirmative action officer, a formal offer will be sent from the President's Office. A formal letter will be sent from the President's Office. The appointment is not official until after the offer has been signed and returned to the President's Office.

2. Do not release publicity regarding any prospective appointment until the candidate has been officially offered appointment by the president of the College and the candidate has accepted the offer. The Institutional Advancement Office normally handles publicity for College appointments.
3. Generally, the doctorate (or terminal degree) is required for appointment except at the level of instructor or lecturer, where the master's degree is required. (February 1972)

### **220.06 COLLEGE POLICIES AND PROCEDURES OF THE ACADEMIC FACULTY FOR RENEWAL OF TERM APPOINTMENT, GRANTING OF CONTINUING APPOINTMENT AND PROMOTION**

#### **A. Preface**

The policies and procedures established herein seek to provide maximum departmental autonomy in the development of policies and criteria on personnel matters, while guaranteeing both that the standards established by the board of trustees are upheld and that candidates are treated fairly.

These policies and procedures are in accordance with the current Policies of the Board of Trustees, the current Agreement between the State of New York and UUP, and the current Compilation of Codes, Rules and Regulations, State of New York.

In accordance with the tradition of fair dealing and fair play, these policies and procedures guarantee the essential right of due process. The term, "right of due process," is used here to mean a system of clear, orderly, procedures in which the full disclosure of basic decisions and the specific reasons for those decisions are made at every stage of the process.

Decisions made by the Human Resources Office under the policies and procedures detailed herein are intended to serve the best interest of the University by providing the president with the maximum amount of information with which to make his/her decisions while at the same time protecting the basic rights of the individual faculty member by assuring her/him a fair hearing on those matters relating to her/his professional life.

It is essential that the faculty provide specific reasons why a colleague should be reappointed, given continuing appointment, or promoted rather than merely ask if reasons exist why s/he should not be reappointed, given continuing appointment, or promoted.

The success of any system of evaluation depends upon the willingness of both faculty and administrators to be candid, objective, and fair in the performance of their responsibilities. Only if this occurs can the best interest of the University be served.

Within the framework of the Trustees Policies and Agreement, the policies and procedures detailed herein shall supersede all other faculty policies and procedures dealing with renewal of term appointment, granting of continuing appointment and promotion, and where conflicts in the above mentioned documents occur, the Trustees Policies and Agreement takes precedence.

## **B. General Guidelines for Academic Due Process**

### 1. Definitions

- a. In this document the term "official file" shall refer to each faculty member's file maintained in the Provost's Office. (The official file shall be maintained in accordance with Art. 31 of the Agreement between UUP and the state of New York.) Copies of this file (except counseling memos, extra service forms etc.) are maintained in the Dean' Office and the faculty member's department. It is the faculty member's responsibility to ensure that the dean's and department's files are kept up to date.
- b. In this document "portfolio" shall refer to the portfolio of work compiled by the faculty member and used in the personnel process.
- c. In this document "policies" shall mean the rules governing the principles and structures of the decision-making process; procedures shall mean the process by which action is taken; and criteria shall mean the standards established for evaluating cases of renewal of term appointment, continuing appointment, or promotion.
- d. In this document "recommendation" shall refer to a written statement conveying (a) the recommender's decision or recommended decision concerning a personnel matter; (b) the evidence and other pertinent data supporting the decision or recommended decision. Recommendations shall provide specific reasons and

supporting evidence justifying why a colleague should be reappointed, given continuing appointment or promoted. For purposes of this section, "recommender" shall be defined as that person or committee obliged by these procedures to provide a personnel recommendation.

## 2. General Principles

- a. Recommendations on personnel matters, including continuing appointment, renewal of term appointment, and promotion shall be based on:
  - i. the overall record of the candidate's training, teaching, and other relevant experiences and achievement in his or her academic field and related areas. (Note: Activities that are consistent with the College's mission and strategic plan are legitimate activities within the scope of professional obligations. They should be evaluated and entered under whichever categories on the personnel action form are appropriate for the specific activities.)
  - ii. service to the College, the community and to the profession while at Cortland.
  - iii. and in the case of promotion, on criteria for rank-to-rank promotion approved by the Faculty Senate. The existing criteria for promotion shall be in effect until the Senate approves new criteria.
  - iv. Evidence of the candidate's record will be submitted as part of a portfolio and will be used at all levels of review. This portfolio is distinct from the official personnel file maintained in the Provost's Office, as well as the copies of the personnel file maintained in the dean's and departmental offices. The contents of the official files may include confidential materials (such as recommendations from previous reviews) not necessarily contained in the portfolio, and they will be used for review only at the levels of the dean, provost and president.
- b. A personnel committee operates under a rule of secrecy and committee members, except for the chair, shall not discuss outside of a committee meeting, a candidate or his/her case with anyone not serving on the committee, until the committee has voted on the candidate. During committee deliberations the committee chair may discuss outside of a committee meeting a candidate's case with persons not on the committee, but, when the chair does so, s/he does so at the specific direction of the committee and in accordance with these policies and procedures.
- c. Once a committee has voted on a candidate, committee members may testify about a candidate and his/her case before the Academic Faculty Affairs Committee, and they may discuss a candidate or his/her case with a department chair, an administrator, or a grievance official. However, they shall not discuss a candidate or his/her case with anyone not involved in the personnel process.
- d. Department chairs and members of all personnel committees shall function as independent evaluators. They shall make their decisions in accordance with the highest professional and academic principles, free from departmental, personal, or administrative pressures.
- e. A candidate for reappointment, continuing appointment, or promotion shall have free access to departmental and school files at all times. Copies of materials placed in his/her official file shall also be included in his/her department (to be maintained by the department) and school files (to be maintained by the dean's office). Each academic faculty member shall be responsible for seeing to it that materials placed in his/her official file are also included in his/her department file and in his/her school file.
- f. Department chairs and members of personnel committees shall make no use of private, secret files in the personnel process.
- g. A recommendation against continuing appointment, renewal of term appointment, or promotion shall be based mainly on grounds that bear on the candidate's service to the College during his or her time at Cortland.

## 3. Candidates for Continuing Appointment, Renewal of Term Appointment, and Promotion

- a. The candidate shall be responsible for adding to her/his portfolio any material s/he wishes to have considered in the decision-making process. In listing activities and scholarly accomplishments in his/her portfolio, the candidate shall adhere to the Code of Ethics ([Section 220.10](#)) and give credit where it is due.
- b. The candidate shall be notified in writing, at least five working days before his/her qualifications are to be reviewed by any faculty committee and given an opportunity to appear before the committee or send a

- campus colleague to speak for him/her.
- c. The candidate shall be provided with a copy of all recommendations and decisions at each formal stage of the decision-making process.
  - d. Candidates shall refrain from exerting pressure on department chairs and personnel committee members. Similarly, faculty members shall not exert pressure on department chairs and personnel committee members on behalf of colleagues.
  - e. Any faculty member having questions regarding the review process or problems deriving from it shall take them to the appropriate department chair and or personnel committee chair for resolution. Should those questions or problems remain unresolved, the faculty member may request assistance from the Academic Faculty Affairs Committee. The Committee shall in accordance with the UUP Agreement and after consultation with the UUP Grievance Chair either attempt to resolve the faculty member's perceived problem under the faculty bylaws or refer him/her to some administrative or faculty agency which can resolve it.

(Approved by the Senate, Feb. 21, 1984, and by President Clark, April 11, 1984)

### **C. Departmental Policies, Procedures and Criteria on Renewal of Term Appointment, Continuing Appointment, and Promotion**

#### 1. Formulation of Policy

- a. Each department shall develop personnel policies, procedures and criteria on personnel matters consistent with the policies of the Board of Trustees, with the Agreement, and with the policies, procedures and criteria adopted by the faculty. It shall be the responsibility of the department chair to submit such policies, procedures and criteria and any revisions thereof to the Academic Faculty Affairs Committee for that committee's determination that said policies, procedures and criteria are in conformity with Board of Trustees and College Handbook procedures and criteria. This determination shall be by majority vote of the Academic Faculty Affairs Committee. The chair of the Academic Faculty Affairs Committee shall inform the department chair of the committee's decision and shall keep on file all records pertaining to the matter.
- b. If the Academic Faculty Affairs Committee finds a department's personnel policies, procedures and criteria to be in violation of the College Handbook, the Policies of the Board of Trustees, or the Agreement between the State and the bargaining agent, the Academic Faculty Affairs Committee shall indicate the specific points of violation after which the department shall revise its personnel policies, procedures and criteria and resubmit them to the Academic Faculty Affairs Committee for approval.
- c. Department policies, procedures, and criteria should be on file in the office of the appropriate dean and of the provost.

#### 2. Alternate Departmental Promotion Criteria

- a. If in the judgment of the department the criteria adopted by the Faculty Senate for rank-to-rank promotion (see [Section 230.04](#)) do not meet the unique needs of the department, the department may follow this procedure:
  1. Submit its own set of criteria to the Academic Faculty Affairs Committee as an exception to the faculty criteria, taking care to provide documentation and justification warranting the granting of an exception.
  2. The Academic Faculty Affairs Committee shall consider the criteria as an exception to the faculty criteria ([Section 230.04](#)) and shall submit the alternate criteria to the Senate for consideration.
  3. By majority vote the Senate may recommend that the president consider accepting the department's criteria as a necessary and comparable substitute for the faculty criteria for rank-to-rank promotion.
  4. The president will meet with representatives of the department in question (as well as with as s/he deems necessary) and discuss the reasons for the alternate criteria. If the president should decide to accept the department's alternate criteria for promotion, s/he should so inform the Senate and these would become the

basis for all recommendations on rank-to-rank promotions for that department, by the department committee, department chair, school or committee, school dean and provost.

### 3. Departmental Policies and Procedures

- a. Departmental policies and procedures shall be clear as to the basic procedures the department plans to observe in making personnel decisions, and shall observe all the procedures for due process established in the College Handbook to protect the rights of individual faculty members.
- b. The specific criteria developed by the department shall include some definition of those matters which the department principally considers in making its recommendations.
- c. The policies, procedures and criteria shall reflect due regard for the character and needs of the College and department and shall be offered as indicative and descriptive rather than narrowly binding.
- d. These policies, procedures and criteria shall be approved by the respective department through secret ballot and majority vote of the voting members of the department as defined by the Board of Trustees Policies and College Handbook.
- e. These policies, procedures, and criteria shall be reaffirmed or revised at least once every three years by the department approved voting procedures. After revision of the policies, procedures, and criteria, the department chair shall submit such revisions to the Faculty Affairs Committee for its approval.
- f. All departments shall include, within their personnel policies, provisions concerning eligibility to vote, in all departmental actions provided for in their department personnel policies and procedures, by members of the department who are on leave of absence, sabbatical leave, or other recognized forms of leave. Each department shall forward to the Faculty Affairs Committee said provisions.  
(Approved by the Faculty Senate, Nov. 28, 1995 and by President Taylor, Dec. 4, 1995)
- g. Copies of these policies, procedures, and criteria when reaffirmed or revised, shall be issued to all members of the department, the school personnel committee, the dean, the provost and the president.

## D. Departmental Recommendations

### 1. Personnel Committee

- a. By Sept. 15 each department shall establish a standing personnel committee on renewal of term appointment, continuing appointment, and promotion. By vote of the department, a department with seven or fewer full-time members has the option of operating as a personnel committee consisting of all the members of the department, with or without the department chair. When a department chooses to act in this manner, those departmental members may serve on divisional personnel committees. By unanimous vote of the full-time members of the department with unqualified academic rank, a larger department has the option of operating as a personnel committee consisting of all the full-time faculty members with unqualified academic rank. This vote shall be taken annually in September for departments with more than seven full-time members. In this case, neither the department chair nor the departmental representative to the school personnel committee shall have a vote on the committee of the whole. In departments with eight or more faculty members, the chair will not serve on the departmental personnel committee.
- b. Membership on departmental personnel committees shall be limited to full-time academic faculty members with unqualified academic rank.
- c. Eligibility for membership and term of membership on the personnel committee shall be determined every three years by a majority of the voting members of the department as expressed by secret ballot. Each department shall establish in its policies the procedures for selecting a chair of its personnel committee.

### 2. General Procedures

- a. The chair of the departmental committee and the chair of the department, or in the library, the director of libraries, shall apprise the candidate for continuing appointment, renewal of term contract or promotion of the impending deliberations and need for decisions at least two weeks before the deliberations, in writing, to assure that the candidate has an opportunity to update his/her files and/or otherwise further his/her own



interests appropriately.

- b. Members of the departmental personnel committee and the department chair will limit their evaluation to the materials included in the portfolio submitted by the candidate and will use no other materials in their evaluation of the candidate. Hence, each academic department is encouraged to include a list of recommended materials to be included in a candidate's portfolio, enabling the candidate the opportunity to submit materials that would be expected by the departmental committee.
- c. Committee decisions on recommendations shall be made by secret ballot and majority vote with a reasonable interval of at least one day but not to exceed one week allowed between the close of committee discussion and the deadline for balloting to permit each committee member judicious consideration of all factors pertinent to her/his decision.
- d. In the event that the candidate is a member of the committee, s/he shall abstain from deliberation and voting in his/her own case.
- e. Following committee action, the chair of the committee shall prepare a written statement that states the recommendation, the specific reasons for it, the voting procedures and the record of the vote. Copies of this statement shall be submitted to the candidate and to the department chair, or in the library, to the director of libraries.
- f. If a candidate adds to her/his portfolio at any time once the portfolio has been submitted, the addition must be documented in a dated memo with reasons given for the addition. Once submitted, no documents can be taken from the portfolio.

### 3. Procedures for Continuing Appointment and Renewal of Term Appointment

- a. In matters of continuing appointment and renewal of term appointment the recommendation of the department committee shall be submitted in writing to the candidate and to the chair of the department. In the library, the recommendation of the Library Personnel Committee shall be submitted in writing to the candidate and to the director of libraries.
- b. The chair of the department shall submit the recommendation of the department personnel committee and his/her recommendation on continuing appointment or renewal of term appointment and the specific reasons for it in writing to the chair of the school personnel committee. At the same time he/she shall submit copies of his/her recommendation and the specific reasons for it to the candidate and the chair of the department personnel committee. In the library, the director of libraries shall affix his/her recommendation and his/her specific reasons for it to the recommendation of the Library Personnel Committee and submit these to the associate provost for information resources who shall affix his/her recommendation and submit these to the provost. At the same time s/he shall submit copies of his/her recommendation and the specific reasons for it to the candidate and the chair of the Library Personnel Committee.

### 4. Procedures for Promotion

- a. Faculty members who wish to be considered for promotion compile and submit a portfolio of work and submit the same to the department personnel committee by the appropriate deadline.
- b. Once the department personnel committee has reviewed the portfolio, it shall forward its recommendations and specific reasons for them to the chair of the department. A copy of the committee's recommendation, along with the specific reasons for the recommendation, shall be sent to the candidate for promotion. In the library, once the Library Personnel Committee has completed its deliberations on promotion, it shall forward its recommendations and specific reasons for the recommendation, accompanied by supporting documents and evidence, to the director of libraries.

- c. The chair of the department shall submit the recommendation of the department personnel committee and her/his recommendation on promotion and the specific reasons for it in writing to the chair of the school personnel committee. At the same time s/he shall submit copies of her/his recommendation and the specific reasons for it to the candidate and the chair of the department personnel committee. In the library, the director of libraries shall affix her/his recommendation and her/his specific reasons for it to the recommendation of the Library Personnel Committee and submit these to the associate provost for information resources who shall affix his/her recommendation and submit these to the provost. At the same time s/he shall submit copies of her/his recommendation and the specific reasons for it to the candidate and the chair of the Library Personnel Committee.

#### **E. School Review**

##### 1. Membership of the School Personnel Committee

- a. Members of the school personnel committees shall serve as representatives of the interest of their departments, schools, and the College as a whole.
- b. The professional studies School Personnel Committee shall consist of one representative from each department within the school.
- c. The education school personnel committee shall consist of one representative from each department within the school.
- d. The subschool personnel committees of the arts and sciences (grouped according to department alignment in [150.03 \(/offices/publications/handbook/part-one/index.dot\)](http://www2.cortland.edu/offices/publications/handbook/part-one/index.dot), Article VI, Section A, No. 2, a., b., and c. and No. 3, a. and b.) shall consist of one member from each department. For each vacancy for a department representative the respective department shall nominate at least two candidates and shall elect one by secret ballot. Election for all vacancies shall be by majority vote by secret ballot of the members of the department voting. The departments shall elect alternates in the same manner. However, should only one candidate be available for departmental representative and should two-thirds of the voting members of the department indicate by secret ballot that the candidate is acceptable to them, s/he shall be the departmental representative.
- e. Membership on school personnel committees shall be limited to full-time, tenured, academic faculty members with unqualified academic rank.
- f. School and subschool committee members shall take office by Oct. 15.
- g. Members of the school and subschool personnel committees shall serve staggered two-year terms and may not serve two consecutive terms.
- h. Department chairs, acting department chairs, deans, assistant deans, and associate deans shall not be eligible for election or appointment to the school or subschool personnel committees. In departments of eight or more members, department personnel committee members shall not be eligible for election or appointment to the school or subschool personnel committees.

##### 2. School Review

- a. In the matter of promotion the school committee shall weigh the evidence in the candidate's portfolio and make its own independent recommendation accordingly.
- b. In the matter of continuing appointment and reappointment, the school committee shall review the evidence contained in the candidate's recommendation and portfolio, along with any supplemental materials that the candidate may submit to it and make its recommendation accordingly. However, should the school committee question the professional qualifications of the candidate or the procedures used by the department in evaluation of him/her, it shall consult, at least, with the candidate's departmental personnel committee before making an independent recommendation on the candidate.
- c. The school personnel committee will use the letters of recommendation from the departmental personnel committee and chair, and material contained in the portfolio only, along with any supplemental materials that the candidate may submit to it, for the purposes of evaluation. This committee will make use of no other materials during its evaluation.

- d. Decisions on recommendations shall be made finally by secret ballot and majority vote with a reasonable interval of at least one day but not to exceed one week allowed between the close of committee discussion and the deadline for balloting to permit each committee member judicious consideration of all factors pertinent to his/her own decision.
- e. In the event that the candidate is a member of the committee s/he shall be replaced by his/her alternate.
- f. The chair of the school committee shall affix to the candidate's portfolio the committee's recommendation, the specific reasons for the recommendation, the voting procedures, and the record of the vote and forward the material to the dean. At the same time, the chair of the committee shall send copies of the recommendation, the specific reasons for it, the voting procedures, and the record of the vote to the candidate, the department chair, and the chair of the departmental personnel committee.
- g. On personnel matters referred to the dean from the school committee, the dean shall make a recommendation and provide reasons for the recommendation. In matters of promotion s/he will transmit the candidate's materials, her/his recommendation and reasons for it to the provost. In matters of renewal of term appointment and continuing appointment, s/he will transmit the candidate's materials, his/her recommendation and reasons for it to the provost. In all cases the dean shall send copies of his/her recommendation and the reasons for it to the candidate, the department chair, the chair of the department personnel committee, and the chair of the school personnel committee.
- h. Should the school dean or director of libraries make use of a solicited document, not used at a previous level of evaluation, in evaluating a candidate s/he shall, when feasible, inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it, before making a recommendation on her/him. The school dean shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.
- i. Should the school dean or director of libraries make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, s/he shall fully disclose the information contained in that document to the candidate and allow the candidate a reasonable time to respond to it, before making a recommendation on her/him. The dean shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.

#### **F. Policies and Procedures of Managerial Faculty**

##### Policies and Procedures

- a. The deans, the director of libraries, the associate provost for information resources, the provost and the president shall make all personnel decisions in accordance with the principles of "due process."
- b. Should the associate provost for information resources make use of a solicited document, not used at a previous level of evaluation, in evaluating a new candidate, s/he shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it (within the time constraints of [Section 210.05](#)), before making a recommendation on him/her. The associate provost for information resources shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.
  - i. Should the associate provost for information resources make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, s/he shall fully disclose the information contained in that document to the candidate and allow the candidate reasonable time to reply to it (within the time constraints of [Section 210.05](#)) before making a recommendation on her/him. The associate provost for information resources shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.
  - ii. Except in recommendations for or against a renewal of term appointment the associate provost for information resources shall provide reasons for his/her recommendation on the candidate. S/he shall send copies of his/her recommendation to the candidate, the director of libraries and the chair of the department committee.
- c. Should the provost make use of a solicited document, not used at a previous level of evaluation, in evaluating

a new candidate, s/he shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it (within the time constraints of [Section 210.05](#)) before making a recommendation on her/him. The provost shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.

i. Should the provost make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, he/she shall fully disclose the information contained in that document to the candidate and allow the candidate reasonable time to reply to it (within the time constraints of [Section 210.05](#)) before making a decision on her/him. The provost shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.

ii. Except in recommendations for or against a renewal of term appointment, the provost shall provide reasons for his/her recommendation on the candidate. He/she shall send copies of his/her recommendation to the candidate, department chair, the chair of the department committee, chair of the school personnel committee and the appropriate dean. In the Library, copies shall be sent to the candidate, the chair of the department committee, the director of libraries and the associate provost for information resources.

d. Should the president make use of a solicited document, not used at a previous level of evaluation, in evaluating a candidate, s/he shall inform the candidate of any new information contained in that document and allow the candidate reasonable time to reply to it (within the time constraints of [Section 210.05](#)) before making a decision on her/him. The president shall in all cases act in accordance with Art. 31 of the Agreement between UUP and the State of New York. Candidates are encouraged to familiarize themselves with this article.

i. Should the president make use of an unsolicited document, not used at a previous level of evaluation, in evaluating a candidate, he/she shall fully disclose the information contained in that document to the candidate and allow the candidate reasonable time to reply to it (within the time constraints of [Section 210.05](#)) before making a decision on her/him. The president shall decide whether it is appropriate to reveal the name of the author of the document to the candidate.

ii. Except in decisions for or against a renewal of term appointment the president shall provide reasons for his/her decision on the candidate. He/she shall send copies of his/her decision to the candidate, department chair or director of libraries, the chair of the department personnel committee, the chair of the school personnel committee, and the appropriate dean. In the Library, copies shall be sent to the candidate, the chair of the department committee, the director of libraries and the associate provost for information resources.

#### **6. Enabling Provision**

The original document was ratified by a referendum of the academic faculty in December 1976 (Senate Minutes of Jan. 25, 1977). The amendments to the document were approved by the Faculty Senate on April 8, 1980 and on Sept. 22, 1981; and approved by President Clark on May 6, 1980 and on Oct. 8, 1981.

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### **220.07 PERSONNEL POLICIES AND PROCEDURES FOR FULL-TIME LECTURERS**

#### **A. Evaluation of Full-time Lecturers**

The following is a *Memorandum of Understanding, Evaluation of Full-time Lecturers*, dated July 6, 2001, and revised July 29, 2004, between the College and UUP.

#### 1. Criteria

1. The necessary and sufficient criterion is instruction (teaching, student-teacher supervision, clinical supervision) suitable to discipline.

2. Scholarship is not expected. It may be considered for reappointment only at the lecturer's request and as a form of faculty development appropriate to instruction and/or performance in the subject area.
3. Committee work/service outside the department is not expected. It may be considered for reappointment only at the lecturer's request and as a form of faculty development appropriate to instruction and/or performance in the subject area. An instance of this is the work of the Lecturer Review Committee.
4. Committee work/service within the department may be expected and may be considered for reappointment when it is consistent with departmental personnel policies.

## 2. Process

1. Evaluation of full-time lecturers follows the same cycle as the evaluation of tenure-track faculty, on the schedule published by the provost.
2. A lecturer who is eligible for reappointment applies to the department personnel committee.
3. The department chair joins the standing personnel committee without a vote to explain the criteria as described above. The personnel committee makes an independent recommendation on the lecturer's application and forwards it, along with the application, to the department chair.
4. The department chair makes an independent recommendation on the lecturer's application and forwards it, along with the application and the department personnel committee's recommendation, to the school's dean.
5. At the level of the dean and subsequently, the process follows the same steps as with tenure-track faculty.
6. With the same rights of due process as other full-time faculty, the lecturer shall be provided with a copy of every recommendation and decision at each stage of this review. The lecturer's chair shall also be provided with such copies.

The criteria and process are to be re-evaluated by the parties to this memorandum, with assistance from the Lecturer Review Committee, every two years.

### **B. Advancement of Full-Time Lecturers**

(Based on the Memorandum of Understanding, 220.07, A)

#### 1. Introduction

To support full-time lectureships, the College has established opportunities for promotion and a corresponding set of salary increases:

1. the rank of lecturer 1
2. the rank of lecturer 2, with a \$1,000 increase in salary from lecturer 1
3. the rank of lecturer 3, with a \$1,200 increase in salary from lecturer 2
4. and the rank of lecturer 4, with a \$1,400 increase in salary from lecturer 3.

The College has provided that a candidate is eligible for promotion one rank at a time.

A Lecturer Review Committee has developed criteria for these promotions and a process for awarding them. It oversees the process, and it has a role in making recommendations. The full-time lecturers elect the members of the committee to terms of three years. Places are allocated per school, and they are to be reviewed by the College and by United University Professions (UUP), with assistance from the committee, as numbers change within schools.

#### 2. General Principles

1. The criteria for advancement are based on the quality of instruction and on activities related to instruction.
2. The process is nonquantifiable. It does not require a minimum or a maximum number of activities or accomplishments. Lecturer A may apply for promotion on the basis of three, and lecturer B may apply for promotion on the basis of one.

3. The process is continuing. The criteria for promotion are identical at every level, as standards of teaching excellence. Lecturers who continue to meet these standards will continue to advance professionally.
4. The process is noncompetitive. Each application represents work unique to the lecturer, work that will be judged on its own merit and not in comparison with, or in contrast to, the work of other lecturers.
5. The process is collegial. In meetings with the Lecturer Review Committee and in roundtable discussions under its sponsorship, lecturers may help one another to generate, develop, implement and assess proposals for the advancement of teaching. The Lecturer Review Committee represents this mutual commitment across the College.
6. The criteria for promotion describe teaching. Lecturers demonstrate their abilities as teachers on the basis of discipline-appropriate work. As the memorandum on reappointment states, the main responsibility of full-time lecturers is "instruction ... suitable to discipline," which includes teaching in the classroom, student teacher supervision and clinical supervision. Lecturers in some departments are expected to participate in certain committees and to serve other departmental functions, and such work may also be evaluated for advancement provided that the applicant demonstrates its relevance to teaching.  
The memorandum also stipulates that scholarship and "committee work/service outside the department ... is not expected" and that "it may be considered for reappointment only at the lecturer's request and as a form of faculty development appropriate to instruction and/or performance in the subject area." In keeping with the memorandum, the process described below allows the applicant to demonstrate the relevance of any faculty development activities that have contributed to advancements in teaching, even if that work might otherwise be considered outside the criteria for evaluating full-time lecturers.
7. The process is nonprescriptive. It does not establish a set of conventions for lecturers to observe in demonstrating their effectiveness, because success in teaching often involves innovation and nontraditional forms.
8. The process is inclusive. Lecturers may include in their first application any relevant work within a three-year limit, whether they were teaching at SUNY Cortland part-time or full-time. Under special circumstances, to be negotiated with the department by the Lecturer Review Committee, an applicant may include exceptional work performed between four and five years previously.
9. The process is distinct from DSI. A lecturer who applies for promotion may also apply for DSI.

### **C. Application Process and Criteria**

A lecturer may apply for promotion during his/her current contract period, in accordance with the schedule for applications that the provost shall publish every year.

1. A lecturer who wishes to apply for promotion self-recommends to the department personnel committee. An application has three parts:
  - a. A brief cover letter summarizes a) the lecturer's current status, b) the courses taught since the previous application, and c) the principal reason that promotion is now appropriate.
  - b. A reflective essay, one or two pages long, explores the lecturer's accomplishments as a teacher. It draws specifically on the semesters under review, and it focuses on the quality of the lecturer's engagement with students and vice versa. Any activities that define excellent teaching, in or out of the classroom, are relevant here provided that the lecturer demonstrates their significance for students. Such activities may include one or more of the following, but are not limited to them: a) accessibility, b) collaboration, c) contribution to professional organizations, d) curriculum development, e) expertise or scholarship, f) innovative teaching strategies, g) mentoring or supervision, h) promotion of diversity, i) uses of technology.
  - c. The lecturer presents documentation that he or she finds relevant to the application, either as evidence of continued excellence in teaching or as evidence of a significant innovation: for example, a) abstracts of presentations or articles, b) assignments, c) classroom observations, d) course-teacher evaluations, e) diskettes that show computer-mediated communications, such as PowerPoint presentations or exchanges on the internet, f) lesson plans, g) recordings, audiotape and/or videotape, h) references by colleagues, i) reviews of publications or displays, j) special recognitions or honors, k) student work, with or without the lecturer's comments, l) syllabi, m) unsolicited letters or notes from students. A reviewer may request additional

materials but not of a specific type.

2. The department personnel committee makes a recommendation on the lecturer's application and forwards it, along with the application, to the department chair.

The department chair serves on the department personnel committee without a vote, to represent to voting members that lectureships are dedicated to teaching and that applications for promotion are to be evaluated solely on this basis.

3. The department chair makes an independent recommendation on the lecturer's application and forwards it, along with the application and the department personnel committee's recommendation, to the Lecturer Review Committee.

4. The Lecturer Review Committee makes an independent recommendation on the lecturer's application and forwards it, along with the application and the preceding recommendations, to the appropriate dean.

Since the Lecturer Review Committee is charged with helping to develop the institution of full-time lectureships, it has a particular interest in activities that demonstrate a commitment to professional growth. A Lecturer Review Committee member from the lecturer's school presents the specific merits of the application to the committee. Having completed its review, the Lecturer Review Committee votes to support or not to support an application. In the event of a tie vote, an application is not supported. The committee's decision, not the vote by which it was established, is reported to the appropriate dean.

A Lecturer Review Committee member who is also a member of the personnel committee in the lecturer's department and who has voted at the department level of the promotion process is recused from the Lecturer Review Committee's vote.

5. The dean makes an independent recommendation on the lecturer's application and forwards it, along with the application and all preceding recommendations, to the provost.
6. The provost makes an independent recommendation on the lecturer's application and forwards it, along with the application and all preceding recommendations, to the president.
7. The president decides on the lecturer's application for promotion and notifies the lecturer that the application has been approved or declined, with copies to the department personnel committee, the department chair, the Lecturer Review Committee, the dean, and the provost.
8. With the same rights of due process as other full-time faculty, the lecturer shall be provided with a copy of every recommendation and decision at each stage of this review. The lecturer's chair shall also be provided with such copies.

(Approved by President Bitterbaum Aug. 12, 2004)

## **220.08 RESIGNATION FROM A COLLEGE POSITION**

Faculty members are expected to abide by the following policy:

1. Negotiations for the possible reappointment for the following fall of faculty members in active service or on leave-of-absence and not on terminal appointment should be begun and completed as early as possible in the academic year. A faculty member who has been approached with regard to another position should inform the appropriate officers of his/her institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to his/her present employer.
2. The College's Employment Separation Policy is outlined in [Chapter 210.06](#).
3. Should a faculty member fail to follow the policy stated above, the administration of the College may be expected to express its concern in appropriate ways both to the hiring institution and to the faculty member involved.

## **220.09 EMERITUS FACULTY AND PROFESSIONAL STAFF**

Members of the University faculty who retire in good standing in accordance with the provisions of Title B or C of this Article, and upon review and approval of the president, shall be designated emeritus or emerita. This term will be appended to the title of their academic or administrative post after the time of retirement (Policies of the Board of

Trustees, 2006, XV, Title D).

### **A. Titles**

Academic titles will be written as follows: Professor Emeritus of English, Lecturer IV Emerita of Economics.

Administrative titles will be written as follows: Vice President for Student Affairs Emeritus, Director of Facilities Emerita.

The title should be capitalized when written before the person's name, lowercased when written after the name or by itself.

An employee's current title will be used when they are going through phased retirement and then the emeritus title once they have completed their service to the College.

For employees who have retired and then return to the College for service in the same position, the emeritus title will be used.

### **B. Privileges for Retirees**

Upon retiring, all retirees, including faculty, professionals and classified staff continue to enjoy the following benefits and privileges:

1. Priority for teaching on a part-time basis for emeriti faculty depending on departmental needs and academic preparation;
2. Participation in emeriti social functions hosted by the president;
3. Participation in Commencement, Honors Convocation, Transformations, the College's Opening Meeting, and other special events;
4. Continued use of the SUNY ID card;
5. Access to all facilities that are free to full-time employees;
6. Access to campus email, myRedDragon and the library;
7. Membership in fee-based facilities (e.g., fitness centers), for the same amount paid by full-time employees;
8. Purchase of a campus parking permit for the same fee paid by full-time employees;
9. Participation in special travel programs available to the College;
10. Campus work space for emeriti faculty in an office, laboratory, or the library, as available;
11. Eligibility to apply for research grants;
12. Participation in computer and technology workshops as well as other faculty development workshops, on a space-available basis; and,
13. Eligibility to audit courses at the College.

### **220.10 CODE OF ETHICS**

1. The faculty member recognizes the special responsibilities which derive from a commitment to the advancement of knowledge and realizes that one's primary responsibility is to seek and state the truth as one sees it. To this end the faculty member devotes the energy to develop and improve scholarly competence and accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. The faculty member practices intellectual honesty and works for an environment conducive to intellectual honesty. Although the faculty member may follow subsidiary interests, these interests must never hamper or compromise freedom of inquiry.
2. As a teacher, the faculty member encourages students to pursue learning freely, holding before them the best scholarly standards of the discipline. The faculty member demonstrates respect for the student as an individual and adheres to the proper role as intellectual guide and counselor. The faculty member makes every



reasonable effort to foster honest academic conduct and to evaluate students' performance fairly and equitably. The faculty member respects the nature of the relationship between educator and student. One avoids exploiting students for private advantage and freely acknowledges assistance from them. The faculty member works to promote and to protect the academic freedom of students.

3. As a colleague, the faculty member has obligations that derive from common membership in the community of scholars and educators. One respects and defends the free inquiry of those associates and works for an environment which stimulates free inquiry. In the exchange of criticism and ideas the faculty member shows due respect for the opinions of others, acknowledging academic debts and striving to be just in the professional judgment of colleagues. One accepts responsibility for the governance of the College.
4. As a member of the College faculty, the faculty member seeks above all to be an effective teacher and scholar. One works to make the College a community of learning. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the faculty member works to promote conditions of free inquiry and to further public understanding of academic freedom.  
(Approved by President Clark, Sept. 30, 1981)
5. Family relationships and relationships of a romantic and/or sexual nature between a faculty member and a student can present conflict of interest in violation of the New York Public Officers Law. As there may be a perception of favoritism and as such relationships can undermine the trust upon which the educational process depends, ethical principles preclude individuals from evaluating the work or academic performance of those with whom they have these relationships. Since a conflict of interest may exist in such a relationship, the faculty member should notify his or her immediate supervisor so that arrangements can be made to eliminate the conflict.
6. Family relationships and relationships of a romantic and/or sexual nature between members of the College community other than students can also present a conflict of interest in violation of the New York Public Officers Law whenever one party has any position of power over, or professional responsibility for, the other. As there may be a perception of favoritism and as such relationships can undermine the trust upon which professional relationships are built, ethical principles preclude individuals from evaluating the work of those with whom they have these relationships. The party with the power or status advantage may not officially approve or recommend, or vote on such approval or recommendation of, the appointment, reappointment, promotion, or salary adjustment of the other, nor may that party evaluate the performance of the other.  
(Paragraphs 5 and 6 approved by President Clark, April 1, 1994)

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## **220.11 PUBLIC OFFICERS LAW, CONFLICT OF INTEREST**

An officer or employee of a state agency, member of the legislature or legislative employee should not by his conduct give reasonable basis for the impression that any person can improperly influence him or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position or influence of any party or person.

(Public Officers Law, Section 74, 3g)

## **220.12 GIFTS**

### **A. Gifts to Individuals**

No state officer or employee shall, directly or indirectly, solicit, accept or receive any gift having a value of \$75 or more whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence, or could reasonably be expected to influence the employee, in the performance of official duties or was intended as a reward

for any official action. No person shall, directly or indirectly, offer or make any such gift. . . .

(NYS Ethics Commission Opinion, August 1994)

### **B. Gifts to the College**

Gifts to the College valued at up to \$25,000 will be reviewed by the Office of the Vice Chancellor for Finance and Business, State University Plaza, Albany, NY 12246. The office of University Counsel will notify the campus when the gift acceptance has been approved. Acceptance of gifts in excess of \$25,000 require Board of Trustees approval and will be processed at the next available Board of Trustees' meeting. (Anslow memorandum, Feb. 15, 1994).

## **220.13 PLAN FOR DISCRETIONARY PERFORMANCE-BASED ADJUSTMENTS TO BASIC ANNUAL SALARY OF ACADEMIC FACULTY**

Nothing in this document shall conflict with the current Policies of the Board of Trustees, the current Agreement between the State of New York and UUP, the current Compilation of Codes, Rules, and Regulations of the State of New York, and current SUNY System guidelines and regulations.

### **I. GENERAL STATEMENT OF PHILOSOPHY**

#### **A. The Employee**

The basic premise of this document is that monetary recognition shall be awarded in the form of adjustments to the basic annual salary of academic faculty members consistent with an appropriate and objective appraisal of the extent and direction in which each academic employee has met his/her professional obligation as evaluated primarily by academic administration.

#### **B. The College**

The administration of SUNY Cortland shall take the opportunity to exercise its leadership through the rewarding of monetary recognition in the form of Discretionary Salary Increases (DSI) to the basic annual salary of academic faculty members in a manner that will reflect both their individual professional accomplishments and their contributions toward fulfilling the stated educational mission of SUNY Cortland.

### **II. ASSUMPTIONS**

#### **A. Regarding Responsibility for DSI Decisions**

1. Given the fact that the DSI plan is a management discretionary instrument, the task of decision making should rest primarily with those having administrative responsibility and accountability.
2. The initial DSI evaluation responsibility will rest with academic department chairs recommending to academic deans.

#### **B. Regarding Criteria for DSI Decisions**

1. Criteria to be employed as the foundation for DSI recommendations College-wide must be stated as precisely as possible by the president.
2. Elaborations of criteria to receive special attention in other administrators' yearly evaluations should be known by concerned faculty.
3. The distribution scheme should not assume that professional excellence is equally distributed among departments at all times.
4. The scheme should not discriminate between smaller and larger departments, nor among departments with varying average faculty salaries.
5. DSI awards should not necessarily discriminate against long-term meritorious service in favor of yearlong activity, nor vice versa. Ordinarily, DSI nominations and recommendations for an individual should be based upon professional service in the last year (June 1-May 31). The date of eligibility for DSI shall not be determined by the date of any other discretionary salary increase such as inequity, disparity, or that which might accompany promotion.

#### **C. Regarding Procedures**

1. DSI is a form of evaluation and should be subject to Article XII of the Policies of the Board of Trustees and

to the relevant provisions of the Agreement.

2. The president will initiate the process for determining discretionary salary assignments sufficiently early so that adequate time is given at each level for deliberations.
3. Recommendations and principal reasons offered for them by chairs and deans shall be made available to the individual faculty member in a timely manner.
4. All discretionary money will be held in the President's Office pending final recommendations.
5. The president should inform the faculty of any prior allocation of funds from the pool of discretionary monies for inequity correction, affirmative action, or other special purpose.
6. Deans and the provost will recommend DSI awards with minimum attention to departmental quotas.
7. At the time the discretionary salary adjustment process is initiated, the president shall announce the categories to be used to classify candidates for different levels of DSI. These categories shall be used for ratings at each stage in the evaluation process.
8. Any elaborations of the weighing of criteria to receive special attention by administrators other than the president in yearly DSI evaluations will be published to concerned faculty a year in advance of the DSI decision process. The criteria that will be used in the forthcoming year shall be distributed by the department chair or director of libraries at the beginning of each academic year.

### **III. CRITERIA**

In conducting an evaluation pursuant to DSI salary adjustment, evaluators shall consider, but shall not be limited to, the following criteria:

- A. Mastery of Subject Matter – as demonstrated by such things as advanced degrees, licenses, honors, awards, and reputation in the subject matter field.
- B. Effectiveness in Teaching or Librarianship – as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses, including materials and courses promoting pluralism and increasing sensitivity toward under-represented groups, and student reaction, as determined from surveys, interviews and classroom observation data from departmental course teacher evaluations (CTE's) and course dossier evaluations (CDE's).
- C. Scholarly Ability – as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications and reputation among colleagues.
- D. Effectiveness of University Service – as demonstrated by such things as college and university committee work, administrative work, quality contributions in the promotion of ethnic and gender issues and work with students or community in addition to formal teacher-student relationships.
- E. Continuing Growth – as demonstrated by such things as reading, research or other activities to keep abreast of current developments in his/her fields and being able to handle successfully increased responsibility.
- F. Academic Aid – as demonstrated by such things as the quality of advisement in assisting students in their development of educational, personal, and career goals, with appropriate course scheduling and post graduate directions and, increasing student awareness with regard to ethnic and gender issues.

### **IV. PROCEDURES**

- A. Persons who wish to be considered for DSI shall nominate themselves, providing appropriate supporting materials to their department chair. These materials may not exceed two typed pages. Librarians shall nominate themselves to the director of the college library. Faculty members whose responsibilities extend beyond the departmental or school level shall submit appropriate supporting material to, and receive due consideration at, the lowest administrative review level which encompasses both levels of their responsibilities.
- B. Chairs, following consultation as agreed within their departments, will rate nominees according to the categories announced by the president. They will then forward all application materials and ratings to their dean together with a summary recommendation not exceeding one page for each nominee. The director of the college library, shall follow analogous procedures, submitting application materials, ratings, and summary

recommendations to the associate provost for information resources. The summary recommendation shall include specific reference(s) to the candidate's performance that is deemed meritorious. Chairs and the director of the college library will forward a copy of the summary recommendation and rating to the candidate at the same time they submit these materials to the dean or to the associate provost for information resources.

- C. Chairs who wish to be considered for DSI shall nominate themselves, providing appropriate supporting materials, to their school dean.
  - D. Each dean, following consultation with the Provost's Cabinet, prepares recommendations of faculty (including chairs) across the school using the categories announced by the president, and submits these recommendations to the provost. A copy of the dean's decision will be forwarded in writing to the candidate and chairs at the same time it is submitted to the provost. The associate provost for information resources does likewise for library faculty.
  - E. The faculty member shall have the opportunity to appeal the decision made by the dean or the associate provost for information resources. This appeal must be made in writing to the provost during the ten calendar days following receipt of the dean or associate provost for information resources' notification. Following this time period, the provost notifies each candidate for DSI in writing of the tentative DSI decision.
  - F. The president designates final DSI award recipients and amounts.
  - G. The president shall publish names of all academic faculty members who have received a DSI salary adjustment through these procedures, distinguishing between those who receive performance-based DSI and those who receive increases based on other factors (e.g., inequity corrections).
- (Approved by President Taylor, May 26, 1998)

#### **VI. INITIATION AND REVIEW OF PLAN**

##### A. Initiation

These procedures shall become effective upon approval by the president. The procedures shall remain in effect until reviewed and revised as described immediately below.

##### B. Review

During the 2004-05 academic year, the Cortland Faculty Senate shall establish an ad hoc committee to evaluate the effectiveness of the adopted plan and to recommend necessary modifications or termination.

The procedures shall remain in effect until reviewed and revised.

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### **220.14 PLAN FOR DISCRETIONARY PERFORMANCE-BASED ADJUSTMENTS TO BASIC ANNUAL SALARY OF PROFESSIONAL STAFF MEMBERS**

Nothing in this document shall conflict with the current Policies of the Board of Trustees, the current Agreement between the State of New York and UUP, the current Compilation of Codes, Rules and Regulations of the state of New York, and current SUNY System guidelines and regulations.

#### **I. GENERAL STATEMENT OF PHILOSOPHY**

##### A. The Employee

The premise of this document is that monetary recognition shall be awarded in the form of adjustments to the basic annual salary of professional staff members. This should be consistent with an appropriate and objective appraisal of the extent and direction in which each professional employee has met his/her professional obligation.

##### B. The College

The administration shall take the opportunity to exercise its leadership by rewarding monetary recognition in the form of Discretionary Salary Increases (DSI) to the basic annual salary of professional staff members. DSI

funding is designed to promote excellence in professional service by recognizing and rewarding exceptional performance in individuals who have performed at the highest level within their identified duties and who have gone above and beyond those duties. It is understood that there is an institutional expectation that all employees will demonstrate excellence in the daily performance of their duties and responsibilities.

## **II. ASSUMPTIONS**

### A. Regarding Responsibility for DSI Decisions

1. Given the fact that the DSI plan is a management discretionary instrument, the task of decision making should rest primarily with those having administrative responsibility and accountability.
2. The initial DSI evaluation responsibility will rest with direct supervisors recommending to the next level of supervision up through the appropriate vice president.

### B. Regarding Criteria for DSI Decisions

1. Criteria to be employed as the foundation for DSI recommendations is the performance of duties weighted by the immediate supervisor on the individual's performance program to account for the relative importance that the College places on these responsibilities.
2. Individual vice presidents will be able to determine the number and monetary amount of awards granted for their division.
3. The plan will not assume that professional excellence is equally distributed among centers, departments or divisions. Additionally, the plan should neither discriminate between smaller and larger professional units, nor among professional units with varying average salaries.
4. Nominations and recommendations for an individual shall be based upon professional service from July 1 to June 30 of the designated year. The date of eligibility shall not be determined by the date of any other discretionary salary increase such as inequity, disparity, or one that may accompany promotion. Adjustments may favor both annual and long-term activity.

### C. Regarding Procedures

1. DSI is a form of evaluation and shall be subject to Article XII of the Policies of the Board of Trustees and to the relevant provisions of the Agreement with the United University Professions.
2. The president will initiate and announce the process and timetable for determining DSI in a timely fashion so that adequate time is available at each level for deliberations.
3. All discretionary funds will be held in the President's Office pending final recommendations.
4. The president will inform the professional staff of any prior allocation of funds from the pool of discretionary funds for inequity correction, affirmative action, or other special purpose.
5. At the time the DSI process is initiated, the president shall reiterate the criteria that will be used to rate candidates for DSI.

## **III. CRITERIA**

In conducting an evaluation pursuant to DSI salary adjustment, evaluators shall consider, but shall not be limited to the following criteria:

- A. Effectiveness in Performance - As demonstrated by success in carrying out assigned duties and responsibilities, efficiency, productivity, and relationship with colleagues.
- B. Professional Ability - As demonstrated by invention or innovation in professional, scientific, administrative, or technical areas.
- C. Effectiveness in University Service and Continuing Growth – As demonstrated by such things as successful committee work, participation in local campus and university governance, and involvement in campus or university-related student or community activities, continuing education, participation in professional organizations, enrollment in training programs, and research. Also as demonstrated by degrees, licenses, honors, awards, and reputation in professional field.

**IV. WEIGHTING OF CRITERIA**

- A. Each criterion shall be weighted by the immediate supervisor consistent with the mission of the College and the individual’s job.
- B. The most important criterion and primary purpose for any professional is “effectiveness in performance” which should receive the greatest weight.
- C. The remaining two areas will vary greatly per individual based on their daily responsibilities.
- D. The criterion shall be weighted consistent with the following weighting guidelines. This weighting should ultimately be agreed upon by the supervisor and professional employee at the time his/her performance program is developed annually:

Effectiveness in Performance	less than or equal to 60 percent
Professional Ability	less than 20 percent
Effectiveness in University Service and Continuing Growth	less than 20 percent
Total:	100 percent

The weighting of the criteria suggests that it would be highly unlikely that an employee would receive DSI unless they were rated very strongly in the “effectiveness in performance.” With a weighting of at least three times the other two categories, it is believed that the completion of a strong performance of ones’ position responsibilities is essential for DSI, however, it is also recognized that in order to distinguish between outstanding employees, to further the goals of the institution, and to complete the required work of the College, the other criteria are important as well. It is the development of the correct balance of effort which is the true challenge for every professional and for the consideration of DSI.

**V. PROCEDURES**

- A. The employee performance program and corresponding performance evaluation should be tied to the DSI process as much as possible. That is, when one is evaluated, the strength of the evaluation should, in part, determine the employee’s eligibility for DSI. It is recognized that due to timing constraints of evaluations, there might be a significant gap in time from the period of the last completed evaluation to the awarding of DSI.
- B. All UUP professional employees will be required to prepare an individual annual report (IAR) of their specific accomplishments and contributions to their department, division, and to the College. This IAR shall not exceed two pages.
- C. IAR’s due date will be announced on an annual basis but shall typically be due by June 1.
- D. The supervisor will then submit the employee’s most recent evaluation, performance program and IAR with an addendum/clarification from the supervisor that will serve as an overall recommendation from the supervisor for DSI of his/her employee. Once an employee obtains permanent appointment and his/her evaluation cycle moves to July 1 through June 30, the addendum/clarification will no longer be required because the evaluation dates will coincide with the professional DSI award dates that are typically July 1.
- E. Individual vice presidents determine the awards granted for their division. Vice presidents will involve members of the management staff (associate vice presidents, etc.) in their divisions in any way they determine appropriate, given the organizational structure of the respective divisions.
- F. The President designates final DSI award recipients and amounts.
- G. Decisions of the vice presidents are final and not subject to any appeal.
- H. The president shall publish names of all professional staff members who have received a DSI salary adjustment through these procedures, distinguishing between those who receive performance-based DSI and those who receive increases based on other factors, such as inequity corrections.

**V. INITIATION AND REVIEW OF PLAN**

- A. Initiation

These procedures shall become effective upon approval by the president.

#### B. Review

The procedures shall remain in effect until reviewed and revised.

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## **CHAPTER 230: Criteria for Promotion of Academic Faculty**

- [230.01 College Guidelines for Promotion](#)
- [230.02 Educational Qualifications for Promotion](#)
- [230.03 Promotion Criteria](#)
- [230.04 Application of Promotion Criteria](#)
- [230.05 External Review Promotion Process](#)

### **230.01 COLLEGE GUIDELINES FOR PROMOTION**

Promotion to any rank above that of instructor serves as a form of recognition of individual merit and thereby strengthens individual departments, the College and the University. With respect to individual merit, promotion should be regarded both as recognition that an individual has achieved and maintained a level and quality of professional excellence appropriate to the rank sought and as a judgment that the individual is capable of maintaining and improving that level of work in the future. Recommendations for promotion should, therefore, provide specific reasons why a colleague should be promoted rather than merely ask if reasons exist why s/he should not be promoted. In light of these considerations, not all faculty members should expect to receive promotion to senior ranks during the course of their career at the College.

### **230.02 EDUCATIONAL QUALIFICATIONS FOR PROMOTION**

A. A faculty member must possess the doctoral degree or its equivalent as defined in section B, below, in order to be eligible for promotion beyond the rank of instructor, except as provided in Section C, below..

B. As used in this document, the term "appropriate degree" shall refer to:

- the conventionally defined Ph.D., Ed.D., D.P.E., or similar academic degree,
- foreign degrees ruled equivalent by the appropriate SUNY agency.
- degrees widely recognized as terminal in a given profession (e.g. J.D., M.F.A., M.L.S., M.B.A.)
- degrees or other educational qualifications defined by the Academic Faculty Affairs Committee suitable for the purpose of rank-to-rank promotion.

Degree granting institutions should be recognized by the appropriate accrediting bodies or a SUNY agency.

C. Under exceptional circumstances a faculty member lacking an appropriate degree may offer an equivalent body of independent scholarship or creative work in order to demonstrate a mastery of subject matter sufficient to be considered for promotion. Such a body of scholarship would ordinarily include a published monographic work or a series of articles or papers in scholarly journals. A faculty member in the performing or fine arts, or in a comparable discipline, may offer a body of creative work that has received independent College Guidelines for Faculty professional recognition. In all cases, the burden of proof that the body of work is truly equivalent rests with the faculty member and with the recommending department.

The educational qualifications set forth in paragraphs 3, 4 and 5 of [section 230.03 \(/offices/publications/handbook/part-two/index.dot\)](#) may be waived only for those faculty members who satisfy the requirements set forth in [section 230.03 \(/offices/publications/handbook/part-two/index.dot\)](#), paragraph 8.

### **230.03 PROMOTION CRITERIA**

As used in this document, the term criteria shall mean the standards established for evaluating candidates for promotion.

Any instructor, assistant professor, or associate professor who meets the educational qualifications set forth above and who satisfies the criteria for the next higher rank shall be eligible for promotion.

Criteria for rank of assistant professor shall include:

- a. A demonstrated ability (i) to organize and carry out courses of instruction in a manner that is intellectually sound and effective in terms of student learning, and (ii) to assume a broad range of professional responsibilities for the educational development of students.
- b. A demonstrated ability to undertake a potentially productive program of intellectual inquiry, research, or creative work. (The completion of the appropriate degree will normally satisfy this criterion.)
- c. A demonstrated willingness to accept and discharge service responsibilities within the department or the College or to the community.

Criteria for the rank of associate professor shall include:

- a. A demonstrated and continuing ability (i) to develop areas of instruction in a manner that is intellectually sound and effective in terms of students learning, and (ii) to discharge in an effective manner a broad range of professional responsibilities for the development of students.
- b. A demonstrated ability to undertake and successfully carry out a productive program of intellectual inquiry, research or creative work and to do so with a degree of intellectual or creative excellence.
- c. A demonstrated and continuing service to the department and the College, the University or community in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.

Criteria for the rank of professor shall include:

- a. A demonstrated and continuing ability (i) to develop areas of instruction in a manner that is intellectually excellent and significantly effective in terms of student learning, and (ii) to make a substantial contribution to the educational development of students.
- b. A demonstrated and continuing ability to undertake and successfully carry out a serious and productive program of intellectual inquiry, research or creative work and to do so in a way that makes a contribution to the intellectual, scholarly or artistic community.
- c. A demonstrated and continuing service to the department and the College, the University or the community in a manner that makes a significant contribution to the overall excellence of the institution and to the community of which it is a part.

The criteria contained in paragraphs 3-5 should not be interpreted to exclude any meritorious service not mentioned that contributes to the achievement or excellence in the areas of scholarly activity, teaching and university service.



For disciplines to whose activities the above criteria cannot be reasonably adapted, equivalent criteria shall be determined by the discipline or department in question and approved by a properly designated faculty body. In all cases, the burden of proof that the criteria are equivalent shall rest with the discipline or department in question.

A person who does not meet the criteria described above may be eligible for promotion if exceptional circumstances are judged to warrant advancement. Such circumstances could include an exceptional record of achievement in the areas of teaching and service, combined with evidence of a satisfactory record of scholarly activity. The burden of proof that such achievements are of truly exceptional quality rests with the faculty member and with the recommending department.

### **230.04 APPLICATION OF PROMOTION CRITERIA**

In this document the term recommendation shall refer to a written statement conveying (a) the recommender's decision or recommended decision concerning a personnel matter; (b) the specific reasons for the recommended decision or decisions; (c) the evidence and other pertinent data supporting the decision or recommended decision. Recommendations shall provide specific reasons and supporting evidence justifying why a colleague should be promoted. For purposes of this section "recommender" shall be defined as that person or committee obliged by the College policies and procedures to provide a personnel decision or recommendations.

Evidence of accomplishments in scholarship, teaching and service, since the time of initial appointment or since the last promotion, whichever is more recent, shall be given primary consideration in all recommendations.

Recommenders shall take into consideration all supporting evidence presented by the candidate or by the recommending department. Examples of the types of evidence ordinarily considered appropriate in each area are listed below. (Note: activities that are consistent with the College's mission and strategic plan are legitimate activities within the scope of professional obligations. They should be evaluated and entered under whichever categories on the personnel action form are appropriate for the specific activities.);

These lists should not be taken to exclude any evidence of meritorious accomplishment not specifically mentioned. While some types of evidence may be more important than others, it is the function of the recommender to judge the weight and quality of each item of evidence.

#### **a. Teaching**

student evaluations of courses and field work
student recommendations
colleague observations
recognition by colleagues
independent student scholarship
curriculum development
off-campus recognition
academic advisement and counseling
contribution to institutional change
interdisciplinary instruction
honors and awards for teaching
course development
work with student organizations
developing instructional materials

postgraduate student performance
course outlines
internationalization and globalization
outdoor and environmental education
development of service-learning courses, and in the integration of teaching with service
integration of undergraduate research, including community-based research
participation in learning communities
multiculturalism, diversity and inclusion
civic education
sustainability

**b. Scholarly, Intellectual and Creative Achievements**

books, monographs, edited books
presentations of papers and research reports
completion of unpublished work
encyclopedia entries
artistic achievements as demonstrated by recitals, shows, performances and exhibitions
editorial service for scholarly journals
community-based research
reviews of manuscripts and books in the discipline
grant awards and fellowships
reputation among colleagues as demonstrated by letters, citations, reviews and other honors
participation in proceedings or learned societies
consultative work or institutional research enhancing one's scholarship
speeches, workshops, presentations
service to professional and learned societies
scholarly work that involves developing students as scholars
research and publications on pedagogy
research and publications pertaining to curricular development
scholarship that integrates teaching and/or service

**c. Service to the Department, College and University**

administrative work
faculty governance
service to off-campus populations
contribution to institutional change
institutional research
work with the community, including community-based research
external reviews
integration of service with scholarship and/or teaching

4. Using the criteria set forth above, all recommendations shall be based upon qualitative as well as quantitative considerations in the areas of scholarly activity, teaching, and university service. Primary but not exclusive weight shall be given to the areas of scholarly activity and teaching, except as provided in paragraph 230.03 (8). In evaluating a candidate's work to determine whether a favorable recommendation is warranted, all recommenders

shall consider and all recommendations shall explicitly address the following questions and provide supporting evidence with respect to scholarly activity, teaching, and university service, unless promotion is sought under the exception established in paragraph 230.03 (8):

Has the candidate's past work achieved a level and quality of excellence appropriate to the rank sought?

Does the candidate demonstrate promise of continuing growth and continuing excellence in the future?

(Approved by President Jones, Feb. 6, 1978)

### **230.05 EXTERNAL REVIEW PROMOTION PROCESS**

#### 1. Definitions and Statement of General Philosophy

As used herein, External Review will refer to the solicitation of an evaluation of the scholarly, intellectual and creative achievement as outlined in [Section 230.04](#) by qualified professionals from outside SUNY Cortland. Unless otherwise indicated, the term professor or librarian will refer to the rank beyond associate professor or associate librarian, that is, the rank of full professor or full librarian.

The External Review Promotion Process applies only to those individuals who have begun their tenure-track academic appointment at SUNY Cortland after Aug. 15, 2009, and are applying for promotion from associate professor or associate librarian to professor or librarian. This external review process will be evaluated by the Faculty Senate within six years of its first application.

Individuals in the review process are expected to bear in mind the broad mission of SUNY Cortland, the definition of professional obligation contained in the Policies of the Board of Trustees, the diversity of disciplines and of departmental practices, and the weight significance of past practices when including external review in their processes. Recommending bodies (i.e., departmental personnel committees, school personnel committees) and individuals (i.e., chairs of departments, the director of libraries, deans, provost and president) shall take care that undue weight is not given to letters from external reviewers. They shall not be regarded as determinative, but as providing additional data for the candidate's promotion application. The goal of the External Review Promotion Process is to provide another perspective on the candidate's promotion application for the benefit of the candidate, personnel review committees, and recommending individuals at the College.

#### 2. External Review Promotion Process Requirements

Each department is required to develop its own external review policies to include in their personnel policies. The department policies will conform to these parameters:

The external review policies are required only for individuals applying for promotion from associate professor or associate librarian to professor or librarian.

The candidate will have the responsibility for selecting the reviewers and soliciting and receiving the external letter(s) of review, ability to review those letter(s), and responsibility for including them with the promotion application.

To provide context for their review, external evaluators shall be provided with a copy of Chapter 230: Criteria for Promotion of Academic Faculty (inclusive of sections 230.01-230.05).

No more than three letters shall be required under the provisions of this External Review policy. Departments may stipulate as few as one letter be required in their promotion policies.

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## **CHAPTER 235: Guidelines for Promotion of Professional Employees**

- [235.01 Promotion Defined](#)
- [235.02 Procedures](#)
- [235.03 College Review Panel](#)
- [235.04 Appeals to the College Review Panel](#)

### **235.01 PROMOTION DEFINED**

"Promotion" shall mean an increase in a professional employee's basic annual salary with a change in title and movement to a higher salary rank, resulting from a permanent significant increase or change in his or her duties and responsibilities as a consequence of movement from one position to another of greater scope and complexity of function at the same or different college." ([Policies of the Board of Trustees \(http://www.suny.edu/Board\\_of\\_Trustees/PDF/Policies.pdf\)](http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf), Article XII, Title C 2.a.)

### **235.02 PROCEDURES**

The systems for promotion and for certain salary increases for professional employees are outlined in the Memoranda of Understanding (MOU), between State University of New York and UUP, Revised 1989.

### **235.03 COLLEGE REVIEW PANEL**

"Each college president shall continue the procedure by which the professional employees shall elect a College Review Panel. Such panel shall consist of not less than five (5) nor more than seven (7) members elected at large by all professional employees in the negotiating unit." (MOU, 1989)

### **235.04 APPEALS TO THE COLLEGE REVIEW PANEL**

An employee who has met the criteria for promotion as defined in the MOU "provided that the employee first has requested a recommendation for such a promotion from the employee's immediate supervisor and the request has been denied at an organizational level below that of the college president" may appeal to the College Review Panel in accord with the procedure outlined in the MOU, Section III.

## **Chapter 236: Permanent Appointment Process for UUP Professional Employees**

- [236.01 Eligibility for Initial Permanent Appointment](#)
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The Policies of the Board of Trustees of the State University of New York offer to professional employees, eligibility for permanent appointment (*see Policies of the Board of Trustees, Article XI, Title C*). A professional employee who has completed seven consecutive years of full-time service as a professional employee at the college, where the last two years of employment have been in that professional title, must be on the basis of permanent appointment. Such

appointment shall not be effective until made so by the Chancellor.

### **236.01 ELIGIBILITY FOR INITIAL PERMANENT APPOINTMENT**

- Seven consecutive years of full-time service in an eligible professional title.
- Last two years must be in same eligible professional title.
- Leave of absence at full salary counts toward years of eligibility.
- Consecutive full-time time service in temporary and probationary appointments are included unless the position title has been designated "special."
- Leave of absence at less than full salary does not count but is not considered an interruption of consecutive services.
- Part-time service does not count but is not considered an interruption of consecutive services.
- Time served in academic title does not count toward years of eligibility.
- Appendix A, B and C titles are not eligible for permanent appointment.
- Prior service credit up to a maximum of three years of service in a professional title at any one college of SUNY can be requested to be included. (A statement of the employee's right to request prior service credit and a request form is provided to the employee by human resources when they start employment; prior service credit must be requested within the first six (6) months of employment.)

### **236.02 PROCEDURE FOR RENEWAL AND INITIAL PERMANENT APPOINTMENT**

- Recommendations for renewal accompany a supervisor's written evaluation of the employee.
- Evaluations of UUP professional employees occur at least annually based on each individual's appointment dates and consistent with the notice of non-renewal requirements contained under Article XI, Title D, Section 5 (a)(b)(c)(d)(e) of the Policies of the Board of Trustees.
- The supervisor upon recommending renewal at the professional employee's sixth-year evaluation cycle will prepare a recommendation for permanency. A recommendation memo template is available on the human resources website. This recommendation should be sent to the next-level supervisor for review and approval up through to the president.
- A Form UP-3 will be prepared by human resources and sent to the Chancellor's Office at SUNY System Administration requesting permanent appointment. The Chancellor grants permanent appointment in a letter directly to the employee with a copy to Human Resources.
- An employee will only become a permanent employee once a letter from the Chancellor confirming that permanency has been granted has been received. *Policies of the Board of Trustees, Article XI, Title C, Section 4(a)(1) and (2).*

### **236.03 CONSIDERATION FOR EARLIER PERMANENT APPOINTMENT**

A professional employee does have the right to request consideration for early permanent appointment consistent with the subsections below. If an employee is interested in seeking early consideration, it is highly recommended that the employee consult with human resources and the UUP chapter president or vice president for professionals prior to making such request to assist the employee in making a fully informed decision and to assist in the process of making such a request.

- Upon completion of three consecutive years of full-time service as a professional employee at that college, the last year of which has been in that professional title, a professional employee in a title eligible for permanent appointment may initiate early consideration for permanent appointment through notification to the chief administrative officer of the college. To be effective, such notification must be in writing and received by the chief administrative officer of the college no later than nine months prior to the date upon which such employee would otherwise receive written notice that a term appointment is not to be renewed upon expiration. In the event the chief administrative officer of the college grants the employee's request for such early consideration, any further employment of that employee after completion of five consecutive years of

full-time service as a professional employee at that college, the last two years of which have been in that professional title, must be on the basis of permanent appointment; provided, however, that such appointment shall not be effective until made so by the Chancellor *Policies of the Board of Trustees, Article XI, Title C, Section 4(1)(a)*.

- Upon completion of four consecutive years of full-time service as a professional employee at that college, the last year of which has been in that professional title, a professional employee in a title eligible for permanent appointment may initiate early consideration for permanent appointment through notification to the chief administrative officer of the college. To be effective, such notification must be in writing and received by the chief administrative officer of the college no later than nine months prior to the date upon which such employee would otherwise receive written notice that a term appointment is not to be renewed upon expiration. In the event the chief administrative officer of the college grants the employee's request for such early consideration, any further employment of that employee after completion of six consecutive years of full-time service as a professional employee at that college, the last two years of which have been in that professional title, must be on the basis of permanent appointment; provided, however, that such appointment shall not be effective until made so by the Chancellor. *Policies of the Board of Trustees, Article XI, Title C, Section 4(1)(b)*.

#### **236.04 PROCEDURE FOR SUBSEQUENT PERMANENT APPOINTMENT FOLLOWING A CHANGE IN PROFESSIONAL TITLE**

- A professional employee holding a permanent appointment in a professional title who is appointed to a different professional title at the same college, e.g. a promotion or change in jobs across the college, shall be given a one year probationary appointment in the new title.
- At the successful completion of the probationary appointment, a new Form UP-3 will be prepared by human resources and sent to the Chancellor's Office at SUNY System Administration requesting permanent appointment. The Chancellor grants permanent appointment in a letter directly to the employee with a copy to Human Resources.
- An employee will only become a permanent in the new professional title once a letter from the Chancellor confirming that permanency has been granted has been received. *Policies of the Board of Trustees, Article XI, Title C, Section 4(a)(1) and (2)*.

*(Approved by President Bitterbaum Sept. 6, 2018.)*

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### **CHAPTER 240: Faculty Consultation for Filling Administrative Positions**

- [240.01 Policies Statement](#)
- [240.02 Structure of Consultative Committees](#)
- [240.03 Process for Election and General Duties and Operating Procedures of Consultative Committees](#)
- [240.04 Department Chairs](#)
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#### **240.01 POLICIES STATEMENT**

The 2001 edition of the Policies of the Board of Trustees (see Article IX) specifies the following:

(a) "There shall be a chief administrative officer of each state-operated institution of the university who shall be designated president. Presidents shall be appointed by the board of trustees after receipt of recommendations of the campus councils (or of the trustees of the College of Environmental Science and Forestry) and of the chancellor and shall serve at the pleasure of the board of trustees. Before making its recommendations the campus council shall consult with a presidential search committee designated for such purposes by the chair of the council and comprised of members of the various campus constituencies, including faculty, students, professional employees,

administration, alumni and members of the council. Reflecting the significance of the role that faculty are expected to play in academic governance, the faculty should predominate among the non-council constituencies on the search committee. The chancellor, or designated representative, before making recommendations to the trustees, shall consult with the chair or other designated representative of the College Council."

(b) "At any time during the period of appointment, the board of trustees and the chancellor may evaluate the services of the chief administrative officer."

(c) "A chief administrative officer, upon appointment, shall be appointed by the chancellor to the faculty of the University in a position of academic rank with continuing appointment."

The faculty of SUNY Cortland believe that they should play a significant role in the selection of those filling administrative positions. Below are the guidelines for faculty consultation in this very important area.

## **240.02 STRUCTURE OF CONSULTATIVE COMMITTEES**

### **A. For the President of the College**

#### Legal Authority for Nomination and for Appointment

The legal authority to appoint the president or chief administrative officer of a State-operated institution of the State University is vested in the University Board of Trustees by Section 355(2)(g) and Section 6004(c) of the Education Law. The council of each such institution is given responsibility for recommending a candidate or candidates to the Board by Section 356(3)(a). The board of trustees may also appoint a president in the event that no council recommendation is made, or where a council recommendation fails to comply with the trustees' standards and procedures.

#### Procedures for Search and Nomination

The procedures below are intended to assist the councils of State-operated campuses in the search for, and nomination of, individuals to fill the position of president.

As soon as is practical after it is known that a presidential vacancy will occur, the council chair shall consult with the chancellor for advice in planning for the search and instructions in planning the search and the criteria to be used in the selection of a new president.

Unless otherwise agreed upon in advance by the chancellor and the council chair, the search committee shall consist of four members of the council (including the chair), six members of the full-time teaching faculty of the campus, one student, one alumni representative, one campus related foundation representative, one academic dean and one professional or support staff member.

The council chair shall appoint a chair of the search committee. Generally, the council chair also serves as the chair of the search committee. If the council chair is unwilling or unable to serve as chair of the search committee, the council chair shall appoint another member of the council to serve as chair of the search committee.

Taking care to assure that faculty representation on the search committee speaks for a broad spectrum of faculty opinion, the faculty shall elect their representatives to the search committee by secret ballot. The council chair shall invite the appropriate campus and community groups to submit recommendations for all other positions on the

search committee and shall make the appointments to the remaining positions on the search committee from the recommendations submitted.

The chancellor shall designate a liaison representative to serve as a nonvoting member of the presidential search committee. That representative shall have full access to files of the committee and shall be responsible for reporting at regular intervals to the chancellor and the trustees regarding the progress of the search and the work of the search committee.

The council chair and the chancellor, or the chancellor's representative, shall agree on an expected timetable for the search and nomination process.

The chancellor's office shall provide a list of nationally recognized organizations with established expertise in academic recruitment and screening from which the council shall select one to assist in their search.

A campus staff liaison shall be appointed to assist the search committee and to coordinate the clerical work of the committee. A budget for the search should be determined in conjunction with the chief financial officer of the campus and arrangements made for a search office and support staff. The budget should be sufficient to cover the cost of hiring a professional search consultant, advertising the position, travel of candidates to interviews as well as the usual telephone, postage and duplicating expenses associated with a search.

At the first search committee meeting, the search chair, along with the chancellor's representative, should acquaint the committee members with the search procedures in general and with any specific instructions from the council, the chancellor and the trustees. The search committee should be advised that the council is required to send a list of no fewer than three names of acceptable candidates to the chancellor for consideration, and that the council may submit its opinion on the relative strengths and weaknesses of each candidate whose name is forwarded for consideration by the chancellor. The timetable for the search should be presented to the committee members and a commitment obtained from each member to attend all meetings and all interview.

At the first search committee meeting the importance of confidentiality shall be discussed. All members of the committee must agree to preserve the confidentiality of the search and the names of all candidates. If any time throughout the search, there is evidence that a member of the committee has breached the confidentiality of the search, that member may be dismissed from the committee by a majority vote of the committee. The decision of whether or not to replace the dismissed member shall be in the sole discretion of the committee.

In consultation with the chancellor's representative and the search consultant, the committee should assess the needs of the institution and the type and style of leadership desired in a new president. Combining the results of this assessment and the required criteria set forth by the chancellor, the search committee shall develop, and submit to the chancellor (or the chancellor's representative) for approval, the material to be used in the advertisement of the vacancy and the recruitment of candidates for the position.

The vacancy shall be advertised nationally. The search consultant shall assist the search committee in recruiting and evaluating candidates.

The members of the search committee shall review all applications and nominations for the position. Rejection letters should be sent to those who do not meet the minimum qualifications for the position.



From the remaining pool of candidates, the committee shall select a group of approximately 20 names that the members feel on preliminary review, appear to be the strongest applicants. Reference checks shall be conducted on this group of candidates by the committee members. It is recommended that these reference checks be done by telephone. At this stage, only references named by the candidates shall be contacted so that the candidate's confidentiality can be preserved.

When reference checking has been completed, the committee shall meet to review the applications of all candidates and to discuss the information obtained during the reference calls. The committee will then select a group of approximately 12 candidates to be interviewed at a site convenient to the committee and to the candidates. The site selected for the interviews must be designed to assure that the confidentiality of the names of the candidates to be interviewed will be maintained. Prior to the interviews, the search consultant should conduct a thorough review of each candidate's credentials and provide the search committee with the results of that review.

All members of the search committee should attend the personal interviews. The chancellor's representative will also attend these interviews. The interview will last from between 60 and 90 minutes. The search consultant, in consultation with the chancellor's representative, will assist the search committee in developing a list of questions to be asked of all candidates. Time should also be allotted during this interview to allow each candidate to ask questions of the committee.

Following these interviews, the committee should meet to discuss and review the qualifications of the candidates interviewed. A group of approximately five candidates should then be selected to visit the campus. Where appropriate, the candidate's spouse, or other family members or associates, may also be invited to visit the campus. At this stage, candidates will be asked to allow the search committee to check references, other than those names provided by the candidates. Unsuccessful candidates should be notified prior to the release to the public of the names of candidates to be invited to the campus.

Up to this point in the search process, the names of the candidates have been kept strictly confidential by the committee. When the finalists are scheduled to visit campus, their names are released to the public, along with general information about their background and qualifications. Their names and curriculum vitae shall also be forwarded to the SUNY Board of Trustees at this stage, although trustees and the chancellor may - in strictest confidence - request access to search committee documents, including candidates' curriculum vitae, at any point in the process. However, all information regarding the reference checks, committee discussion and voting on the various applicants is still strictly confidential and may not be divulged at any time.

Campus visits are designed to allow a large number of campus and community members to meet and hear from each candidate. In planning these visits, the committee should remember that at this stage of the process they are recruiting the candidates as well as evaluating them.

All members of the council should actively participate in the interviews of the candidates who visit the campus.

The chancellor shall be given an opportunity to meet with and interview candidates, either at the semifinalist interview stage or at the campus visit stage. The timing of such interviews shall be at the discretion of the chancellor. The chancellor may, at this time, also require that the candidates be interviewed by the university provost or other members of the chancellor's senior staff.

Prior to any final vote being taken by the search committee or the council, the members of the State University Board of Trustees shall also be given an opportunity to meet with and interview all finalists.

The search committee meets and deliberates the merits of each candidate who visited the campus. It is recommended that all council members be invited to join the search committee at this meeting to hear the search committee's discussions regarding the relative merits of each candidate. The committee is strongly urged to forward as many acceptable names as possible to the council for consideration.

The committee shall forward to the council the list of all acceptable candidates, along with a short (one page) synopsis of the relative strengths and weaknesses of each candidate.

The council then meets and deliberates the relative merits of each of the candidates whose names have been forwarded to them by the search committee. While the recommendation of candidates to the chancellor and the State University Trustees is the prerogative of the council alone, consensus between the council and the search committee should be sought and encouraged. Serious disagreement about the final candidates recommended by the council, particularly any disagreement that clearly follows major constituency lines, suggests a potentially serious problem with the search process.

The council shall recommend three acceptable candidates to the chancellor for consideration. The council may submit its opinion on the relative strengths and weaknesses of each candidate whose name is forwarded for consideration by the chancellor.

The chancellor, in compliance with statute, shall provide to the Board of Trustees a copy of the recommendations made by the College Council. The chancellor shall then recommend a candidate to the board of trustees for its consideration. It is anticipated that the trustees, or a committee of the board, will meet with the candidate in executive session before a final presentation and vote. The board of trustees, by law, reserves the right to direct that the council reopen the search if no recommendation is made by the chancellor, or if such recommendation is made but does not comply with the rules and standards established by the board of trustees, then to make such appointment as is by them deemed necessary.

Should the chancellor or the board of trustees decide that the circumstances warrant the reopening of a search, it is within their discretion to require that the council chair appoint, in accordance with these guidelines, an entirely new search committee.

Should anyone from inside the campus wish to apply for the presidency, that individual must do so by way of a formal application prior to the closing date for the receipt of nominations. Any internal candidate who does not formally apply for the position and participate in the entire search process will not be considered for the position. Interim or acting presidents may not be candidates for the presidency unless they have received the written permission of the chancellor to participate in the search process.

(Approved by the State University of New York Board of Trustees, Sept. 23, 1997)

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**B. For the Provost**

The eight-member consultative committee shall be composed as follows:

- a. Three members of the academic faculty, one member each elected by and from each of the three schools
- b. One member elected by and from the library
- c. One member elected by and from the professional staff reporting within the area of academic affairs
- d. One member elected by and from management/confidential
- e. One member elected by and from the classified staff reporting within the area of academic affairs
- f. One student member.

The Committee on Committees shall conduct all faculty elections.

**C. For the Vice President for Student Affairs**

The seven-member consultative committee shall be composed as follows:

- a. Two members elected by and from the professional staff reporting within the area of student affairs
- b. Two members elected by and from the academic faculty, including librarians
- c. One member elected by and from management/confidential
- d. One member elected by and from the classified staff reporting within the area student affairs
- e. One student member.

The Committee on Committees shall conduct all faculty elections.

**D. For the Vice President for Finance and Management**

The eight-member consultative committee shall be composed as follows:

- a. Two members elected by and from the professional staff reporting within the area of finance and management
- b. Two members elected by and from the academic faculty, including librarians
- c. One member elected by and from management/confidential
- d. Two members elected by and from the classified staff reporting within the area of finance and management
- e. One student member.

The Committee on Committees shall conduct all faculty elections.

**E. For the Vice President for Institutional Advancement**

The eight-member consultative committee shall be composed as follows:

- a. One member elected by and from the professional staff reporting within the area of institutional advancement
- b. Two members elected by and from the academic faculty, including librarians
- c. One member elected by and from management/confidential
- d. One member elected by and from the classified staff reporting within the area of institutional advancement
- e. One member selected by and from the Alumni Association
- f. One member selected by and from the Cortland College Foundation
- g. One student member.

The Committee on Committees shall conduct all faculty elections.

**F. For the Deans of Schools**

The eight-member committee shall be composed as follows:

- a. Four members elected by and from the academic faculty within the school

- b. One member elected by and from the academic faculty outside the school, including librarians
- c. One member elected by and from the professional staff reporting within the area of academic affairs
- d. One member elected by and from the classified staff reporting within the area of academic affairs
- e. One student member of the school.

The Committee on Committees shall conduct all faculty elections

#### **G. For the Director of Libraries**

The eight-member committee shall be composed as follows:

- a. Two members elected by and from the librarians
- b. One professional member elected from the library professionals
- c. Three members elected by and from the academic faculty (schools)
- d. One member elected by and from the classified staff reporting within the library
- e. One student member.

The Committee on Committees shall conduct all faculty elections.

#### **H. For the Associate Provost for Information Resources**

The seven-member committee shall be composed as follows:

- a. Two members elected by and from the academic faculty (schools)
- b. One member elected by and from the librarians
- c. Two members elected by and from the professional staff reporting within the area
- d. One member elected by and from the classified staff reporting within the area
- e. One student member.

The Committee on Committees shall conduct all faculty elections.

#### **I. For Associate and Assistant Vice Presidents, Associate Provosts, Deans (other than deans of schools) and Directors**

The six-member committee shall be composed as follows:

- a. Four members elected by and from the faculty/professional staff (any combination of academic faculty including librarians, and/or professional staff including management/confidential)
- b. One member elected by and from the classified staff reporting within the area
- c. One student member
- d. In addition, the Senate shall appoint two additional members, with special consideration of the areas with a direct reporting relationship. The appointments are recommended to the Senate by the appropriate vice president.

The Committee on Committees may conduct all faculty elections.

#### **J. For Associate Deans**

The six-member committee shall be composed as follows:

- a. Three members elected by and from the faculty within the school
- b. One member elected by and from the professional staff reporting within the area of academic affairs and/or librarians
- c. One member elected by and from the classified staff reporting within the area of academic affairs
- d. One student member.

The Committee on Committees shall conduct all faculty elections.

#### **K. Additional Membership to all Consultative Committees**

The campus president shall have the prerogative to appoint one or two members to the consultative committee in order to satisfy affirmative action goals.

The campus president shall appoint a human resources representative to search committees as he or she deems appropriate.

Such action shall be reported to the Faculty Senate.

(Structures for B-K were approved by the Faculty Senate and President Bitterbaum on Feb. 14, 2006.)

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### **240.03 PROCESS FOR ELECTION AND GENERAL DUTIES AND OPERATING PROCEDURES OF CONSULTATIVE COMMITTEES**

The following material integrates processes approved by the Faculty Senate on Feb. 14, 2006, and President Bitterbaum on Feb. 14, 2006.

The president or appropriate vice president will notify the Faculty Senate that a search is beginning for a director-level or above vacancy. This notification will be directed to the Faculty Senate chair, or vice chair in his/her absence. It is presumed that the Faculty Senate will participate.

The Committee on Committees will issue an electronic call for nominations to the voting academic and professional faculty.

The call will include the position title, the composition of the committee, and a deadline by which nominees must respond. The call will also include the following statements: "Those seeking and accepting membership on a search committee must make the search committee a top priority and agree to an aggressive time line. The process must move forward expeditiously, and not be limited to times when classes are in session." The deadline for response will be three work days.

The Committee on Committees will send out ballots for any contested seats as soon as possible after the nomination deadline. The ballot deadline will be seven work days. A tie will be broken by random selection.

In the event there are insufficient nominees received by the published deadline, individuals will be appointed by the president or the appropriate vice president (or his/her designee) to fill the vacancies in accordance with the established committee composition.

The Committee on Committees will announce electronically to the campus the full slate of nominees, election results and any appointments that were made.

A consultative committee shall elect its own chair from among its members.

The search committee shall review and conform to the *Search Committee Procedures Manual*. In accordance with the College's commitment to creating a more diversified campus, search committees, and the supervisors to whom they report, should take into consideration the added value candidates from a protected class bring to a position by

contributing to intellectual and cultural diversity. Both faculty and students benefit from the richness inherent in difference. Specific questions of definition of protected classes and about hiring practices should be referred to the affirmative action officer, who is an ex officio member of all search committees.

Minutes of all meetings should be kept. Discussion of a candidate's file, however, is confidential and should not be reported in the minutes. The affirmative action officer will provide information on what the minutes should contain.

At the first meeting of the search committee, the affirmative action officer shall advise all committee members that confidentiality is to be maintained throughout the search process.

Committee chairs shall regularly report back to their constituencies on their committee's activities.

The supervisor is responsible for preparing the vacancy announcement and a carefully detailed job description and for sending the advertisement to all pertinent publications and other job outlets. The supervisor's final charge to the search committee will expand on the job description by outlining in more detail that can be provided in the advertisement or job description a set of criteria and expectations.

The chair of the search committee shall maintain a record of member attendance.

The committee shall conduct a thorough search and shall receive and screen all candidates. The committee shall present all candidates who visit this campus to appropriate faculty and student groups.

Supervisors may request progress reports from the search committee chair and may also meet with the committee to provide or seek information. Once the committee has identified candidates for telephone or on-campus interviews, supervisors have the option of contacting identified candidates, in consultation with the search committee chair and the affirmative action officer. Supervisors must give permission for the candidates to be invited to campus. Supervisors may, at that time, with rationale, veto one or more candidates and ask that the committee review the pool and present a modified slate. (The affirmative action officer's review at this point of invitation is for the purpose of verifying that the qualifications of the candidates are consistent with those that were advertised.) Supervisors should not expect to participate in search committee meetings except for the instances noted above. Supervisors may choose to meet with search committees at the end of the process for a final debriefing. (Approved by President Bitterbaum, Spring 2004.)

The committee should only formulate recommendations when a quorum is present. Candidates shall be deemed acceptable by the committee by majority vote. The committee may, if it chooses, vote by secret ballot (by majority vote). The balloting method shall be determined early in the committee deliberations process and before any voting begins. The recommendation is submitted to the affirmative action officer. Upon approval by the affirmative action officer, the committee forwards the recommendation to the hiring manager. The committee should normally present the supervisor with two or three names. Candidates may be presented in the order in which they were interviewed or in alphabetical order. The recommendation should indicate whether or not each candidate is acceptable and outline the candidates' strengths and weaknesses. The committee should also include additional pertinent information about its deliberations or other explanations of its actions. Such statements shall be reviewed and approved by the committee before they are forwarded. The committee may meet with the supervisor at its request if it so decides. (Approved by President Bitterbaum Fall 2005.)

All members of the campus community are urged to provide as receptive and cordial a welcome as possible to candidates interviewing for positions at the College.

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## **240.04 DEPARTMENT CHAIRS**

The department and the school dean shall meet well in advance of appointment or reappointment of a chair to discuss the department's needs and problems.

All full-time members of a department shall participate in the establishment of procedures for the selection of chair. Final procedures shall be consistent with the Policies of the Board of Trustees and shall be adopted by a majority vote of all full-time members. All departments shall obtain administrative approval of their procedures. Copies of such procedures shall be placed on file in the administrative offices concerned.

A department may consider candidates from outside the College as well as candidates within the College. The possibility of a candidate from outside the College is dependent upon the availability of a line.

The members of the department shall be kept informed of important stages in decision making and shall be involved in interviews with candidates.

A recommendation shall list all acceptable candidates and the department's preferences in priority order.

The recommendation of the department should be a major factor in the final decision. If there is disagreement between the department and members of the administration over the final decision, department members and members of the administration shall meet together and resolve their differences. At the time the candidate for department chair is officially offered the position, there should be substantial agreement between the administration and the department that the candidate is acceptable to both. When the department officially makes its recommendation known to the school dean, the dean will forward it with his or her recommendation for or against to the provost, who will forward it with his or her recommendation for or against to the president.

Candidates shall be informed of the statement in Article IX, Title C: Paragraph 2, Term, of the Policies of the Board of Trustees:

"Chairs of departments or divisions of colleges shall be designated and redesignated by the college chief administrative officer after consultation with appropriate faculty including the department or division concerned. Such designation shall be for any period up to three years and renewable; provided, however, that the college chief administrative officer may relieve a designee of duties as chair at any time."

(Endorsed by Faculty Senate, April 3, 1979; approved by Acting President Gordon, April 24, 1979)

## **240.05 GUIDELINES FOR THE EVALUATION OF CAMPUS PRESIDENTS**

### **Purposes of Presidential Evaluation**

The basic purpose of presidential evaluations is to strengthen the role of the president and to offer to each president a more flexible approach to his or her duties, while emphasizing accountability in the leadership role. The presidents are responsible primarily to the chancellor and the trustees. Therefore, a continuing review process, as provided for in Article IX, Title A, Section 1b, of the Policies of the Trustees requires the full involvement of the chancellor who

has responsibility for the review and evaluation of campus presidents. The process shall include two parts: (1) a short annual review of each president; and, (2) a full-scale formal evaluation on a periodic basis.

Because it is difficult to separate an assessment of a president from an assessment of his/her campus, each review conducted under these guidelines will look both at the overall health of the institution and the quality of the president's stewardship. Usually, the annual review will focus on issues and concerns earlier established by the president and the chancellor. Thus, each annual review format will reflect factors unique to a particular president and campus. The more formal periodic evaluation will focus on the performance of the president in advancing the mission of the campus within the framework established by the State University. The reviews will be performed throughout the year. Formal evaluations will be conducted according to a schedule that will be developed and announced in advance. All yearly reviews and periodic formal evaluations will be conducted as personnel matters and will be confidential.

#### **Procedures for a Presidential Evaluation - Annual Review**

Every year each president of a state-operated campus shall send a short (three to five pages) report to the chancellor, with a copy to the chair of the local College Council for distribution to the Council assessing:

- a. The overall academic quality of the institution;
- b. The financial health of the institution;
- c. Progress made in achieving previously set goals;
- d. Any institutional or personal problems the president has encountered during the year; and,
- e. The president's goals for the coming year.

The chancellor shall review the president's report and he/she, or a senior staff member designated by the chancellor, shall consult with the College Council Chair, College Council, vice chancellors, or other sources as appropriate.

The president will meet with the chancellor to review his/her report and other relevant information regarding the president or the campus. The chancellor and the president will discuss the overall health of the campus and set appropriate goals for the institution and the president for the coming year.

The chancellor will report, in executive session, to the board of trustees on the overall health of the institution and on the progress the president has made in achieving institutional goals.

The yearly review will conclude with a short confidential letter from the chancellor to the president, outlining the chancellor's assessment of progress in achieving prior goals and reiterating the goals set for the coming year. A copy of this letter will be given only to the board of trustees and the chair of the College Council for distribution to the council.

#### **Procedures for a Presidential Evaluation - Formal Review**

Each president of a state-operated campus will be formally evaluated at regular intervals during his/her service. New presidents will be evaluated during their third year of service. It is anticipated that continuing presidents will be formally evaluated every five years, although the chancellor may institute such an evaluation at a different interval if circumstances deem it appropriate. The purpose of this periodic evaluation will be to assess the president's performance. A broad range of individuals who work closely with the president both on and off campus will be invited by the chancellor to participate in this evaluation.



The president shall submit a self-evaluation report to the chancellor assessing the state of the institution and his/her stewardship thereof. This report should address the following issues:

- a. The overall academic quality of the institution
- b. The financial health of the institution
- c. The institution's record of service to its local area and to the state
- d. The president's record representing the institution and articulating its goals to a variety of external constituencies and to internal constituencies
- e. The president's record of service to SUNY, the community in which the campus is located, and to regional and/or national educational associations
- f. The condition of the physical plant and plans for future building and/or renovations
- g. Special challenges that the institution or the president have faced since the last performance review
- h. Overall campus morale

The chancellor will appoint a team to conduct the formal evaluation and to make a confidential assessment of the president's performance. This team will consist of one external peer evaluator (a current or former president of a non-SUNY institution of similar size and character, or another recognized leader in public higher education), and may also include a senior academic administrator or senior faculty member, and a senior member of the System Administration. In appointing the team, the chancellor will consult with the president about potential evaluators in order to avoid any bias or conflicts of interest.

The chancellor will invite members of the College Council, the College Foundation Board, faculty governance leaders, student government leaders, as well as representatives of the alumni association and the professional and support staffs to submit written comments on the quality of the President's stewardship. These comments shall be considered confidential.

The chancellor may request comment from other interested parties, including the public, concerning the institution and their knowledge of matters concerning the institution.

After reviewing the president's report, background information about the institution and the written comments solicited from the individuals and groups described above, the evaluation team will visit the campus to meet the president. The team may also meet with representatives of appropriate constituency groups, including members of the College Council, the campus Foundation, senior administrators, faculty, students and staff. At the end of their visit, the team will meet privately with the president to share their views on the overall health of the institution and the quality of the president's leadership.

After visiting the campus, the team will consult with the chancellor regarding its findings and prepare and submit a written report on the quality of the president's stewardship. The report may include suggested future goals for the president. This report is considered to be intra agency material, non-final and prepared to assist the chancellor and the board of trustees in its deliberative process of evaluating the job performance of the president. The report is considered a confidential, personnel matter, to be shared only with the board of trustees in executive session.

After consulting with the president regarding the contents of the report, the chancellor will report, in executive session, to the board of trustees on the conclusions of the evaluation team and offer his own assessment of the president's performance.

The evaluation will conclude with a short confidential letter of report from the chancellor to the president outlining the chancellor's assessment of the president's performance. A copy will be shared with the board of trustees and the College Council chair for distribution to the council.

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## **CHAPTER 250: Course and Curricular Change Policy**

- [250.01 Change Policy](#)
- [250.02 College Curriculum Review Committee](#)
- [250.03 Levels of Curricular Change](#)
- [250.04 Changes in the Mission of the Department or College](#)
- [250.05 Course Retirement Policy](#)

### **250.01 CHANGE POLICY**

Procedures have been established for the development and approval of courses and curricula and the appropriate notification of all offices concerned. All changes, additions and deletions in courses and curricula should follow the prescribed pattern. Such changes, once approved, become effective with the new catalog or as directed. The changes are processed throughout the academic year, and everyone concerned should be informed as they occur.

Courses that have not been offered over the last five years (full academic-year period) will be reviewed by each department on an annual basis. The department will then respond with a decision to: 1) maintain the course(s) in the course inventory with justification; or 2) retire and remove the course(s) from the active curriculum and College catalogs.

(Approved by President Bitterbaum on Nov. 20, 2006)

### **250.02 COLLEGE CURRICULUM REVIEW COMMITTEE**

Duties: It is the responsibility of the Curriculum Review Committee and the Graduate Faculty Executive Committee to consider curriculum changes that affect all schools of the College and to make recommendations to the provost in a timely and efficient manner. This committee also will make recommendations to the Educational Policy Committee on policy changes that may be necessary.

### **250.03 LEVELS OF CURRICULAR CHANGE**

#### **Level I Curricular Change**

This is a curricular change at the department level, that does not affect a named requirement or an elective in another department or program. Level I changes do not require approval by the School Curriculum Committee, the College Curriculum Review Committee (CCRC), or the Graduate Faculty Executive Committee (GFEC) unless submitted as part of a Level II change (e.g. altering an existing program), in which case the path for change for the entire packet shall be that of Level II.

Examples of Level I change include:

- change to frequency code of course that is not part of a program (major, minor, concentration) from another department

- change to a course description that clarifies, but does not change the primary content of the course
- change in course title
- deletion of course prerequisite that does not affect another department
- adding or deleting an existing course to a group of acceptable elective courses within a program that does not affect another department
- change in course number at the same number level (e.g. 425 to 432)\*

\* The proposed course number cannot be an already existing number or a number used in the past. The executive director, student registration and records services, should be contacted for course/number history.

Note: Errors of an editorial nature that appear in the College catalogs do not need to be corrected through the curricular process. However, documentation that the errors are, indeed, editorial in nature is necessary. To correct the error, a department chair or coordinator only has to inform the appropriate associate dean. All proposal forms must be signed by a department chair, unless the program is outside the purview of an academic department, in which case all forms must be signed by the identified program coordinator. Examples of documentation are:

a previous catalog showing the correct statement, or

a copy of the provost-approved course or program.

### **Level II Curricular Change**

This is a substantial curricular change that impacts the originating department or area, and/or affects other programs, but does not require off-campus approval. Level II changes will be any curricular change that is not described in a Level I or Level III change.

Examples of Level II change include:

#### 1. Alterations to the catalog listing of a course

- change that includes and affects named requirements or electives in other departments or programs
- change in course prefix
- change in course number to a different level,\* e.g., number with different level (100 to 200, 400 to 300), from graduate to undergraduate, or vice versa
- change in frequency code of course that is part of a program (major, minor, concentration) from another department. This change requires a memo from the department chair or coordinator whose program is affected.
- change in course description that alters the primary content of the course
- change in course prerequisite, or corequisite beyond a Level I change
- change in course restriction statement
- change in course grade mode
- change in course credit hours
- new course proposal initiating "shared resources" courses
- new course proposal not related to teacher education

#### 2. New courses – use Form 1

#### 3. Deletion of an existing course – use Form 3

#### 4. Alterations to an existing program (major, minor, concentration) – use Form 5

- adding courses to or deleting courses from a program
- adding or deleting an existing course to a group of acceptable elective courses within a program that does

- affect another department
- developing a new minor or concentration

#### 5. Approval of Changes to Academic Standards in Academic Programs

A proposed change to the academic standards of a program is a Level 2 curricular change and requires review of the department chair, school curricular committee, dean, College Curriculum Committee and the provost.

These changes include, but are not limited to, minimum overall or major GPA for good standing in a major, continued process and entrance into upper division course work, fieldwork, internship or student teaching.

\* The proposed course number cannot be a previously used number. The executive director, student registration and records services, should be contacted for course and number history.

#### **Level III Curricular Change**

This is comprised of alterations that will require off-campus approval. To ensure timely consideration, these changes should follow the timelines established for Level II Curricular Change. External review and approval from SUNY and NYSED may generally take anywhere from three months to a year for confirmation.

Examples of Level III change include:

- change of more than 15 hours of core courses in an existing major
- new majors
- new degree programs

(Approved by President Bitterbaum Oct. 21, 2009)

### **250.04 CHANGES IN THE MISSION OF THE DEPARTMENT OR COLLEGE**

Where a "letter of intent" is required, proposals should be carefully reviewed by school committees and the Deans' Leadership Group whose recommendations will be forwarded to the provost for consideration. The provost prepares a recommendation to the president before the "letter of intent" is submitted to Albany.

When a "letter of intent" is approved in Albany, proposed changes should be submitted by the school to the Educational Policy Committee which will then submit its recommendations to the Faculty Senate. The Faculty Senate forwards its recommendations to the provost who will discuss the proposal with the Provost's Cabinet and forward their recommendation along with his or hers to the president for transmission to the appropriate authorities in Albany.

The following excerpt from Section 52.1, subsection a, of the Regulations of the Commissioner of Education is pertinent: "New programs must be registered and major changes in existing programs must be approved by the department before being offered."

### **250.05 COURSE RETIREMENT POLICY**

Courses that have not been offered over the last five full academic-year periods will be reviewed by each department on an annual basis. The department will then respond with a decision to: 1) maintain the course(s) in the course inventory with justification, or 2) retire and remove the course(s) from the active curriculum and the College catalogs.

(Approved by President Bitterbaum July 30, 2007)

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## **CHAPTER 260: Work-Related References**

- [260.01 Faculty Research](#)
- [260.02 Comprehensive Teaching Evaluation System](#)
- [260.03 Patent and Copyright Policy](#)
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- [260.05 Outside Activities of Faculty](#)
- [260.06 Vacation Leaves for Faculty](#)
- [260.07 Sick Leaves for Faculty](#)
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- [260.09 Military Leaves](#)
- [260.10 Volunteer Status](#)
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### **260.01 FACULTY RESEARCH**

Faculty are encouraged to engage in research and publication or similar scholarly activity. The College supports, upon occasion, the granting by a department of a reduced teaching load for significant research projects. The Research Foundation of State University offers limited funds for research. The assistant vice president for research and sponsored programs coordinates all research activities and advises faculty in applying for grants from federal and state agencies.

The College Research Committee was established by the Faculty Senate in September 1974, to encourage, promote, and facilitate research activities of the faculty; to recommend policies to the Faculty Senate; to implement policies affecting research; and to be responsible for the Faculty Research Program.

### **260.02 COMPREHENSIVE TEACHING EVALUATION SYSTEM**

Policies and Procedures (Approved by President Clark, Jan. 10, 1983)

The following sections I, III, and IV are from the complete manual published in Fall 1987 and updated in 2002, available in the [Provost's Office \(http://cortland.edu/administration/provost/\)](http://cortland.edu/administration/provost/).

#### **I. General Recommendations**

1.1 All faculty and administrators should be evaluated on a regular basis. Part of the evaluation of faculty should be the regular systematic collection of information from colleagues and students as the basis for judgments about their teaching effectiveness. Part of the evaluation of administrators should include the regular, systematic collection of information from faculty and students as the basis for judgments about their administrative effectiveness.

Information sought about administrators should concern their effectiveness of administration, leadership ability, responsiveness to relevant constituencies, innovative programs, competency and soundness of judgment.

1.2 The teaching evaluation system will consist of two components: (a) the administration of a Course Teacher Evaluation (CTE) form, and (b) materials and information submitted by the teacher. Note: If a teacher does not wish to use a CTE form, an alternate procedure of visitation is possible.

1.3 Teachers will be evaluated, at a minimum, at least once every third time they teach a particular course. In

addition, courses taught during the winter and summer terms are also subject to the minimum requirement for the evaluation of teaching. Departments will be responsible for establishing a time schedule for evaluating teaching. (Under exceptional circumstances, the recommended time schedule may be inappropriate. In such cases the department in question should submit to the Teaching Effectiveness Committee for approval an alternative in keeping with the principle of regular, systematic, longitudinal evaluation of faculty.)

### **III. CTE Component of the Teaching Evaluation System**

3.1 There will be a standard CTE form approved by the Committee on Teaching Effectiveness and available for use by any department that so chooses. At present, the committee recommends the use of the Purdue Cafeteria System (Committee on Teaching Effectiveness, 1994-97).

3.2 The standard CTE form should not be excessively long. The items will include, at a minimum, the following topics:

- definition of and adherence to the announced course requirements and coverage of content;
- the teacher's effectiveness in presenting the course material (e.g., organization, structure, clarity, communication, teaching style, or lecturing ability);
- the teacher's availability to meet with students outside of class;
- workload or course difficulty;
- fairness in evaluating students;
- teacher-student interaction or rapport;
- impact on students or students' sense of accomplishment; and
- global, overall rating of the teacher.

3.3 The final decision on what CTE form is to be used by faculty members in a given department will be made by the department, with the following stipulations:

All members of the department will use a common form agreed upon by the department; and

The form used by the department must include the following statements from the Purdue Cafeteria System:

- i. The stated goals of this course are consistently pursued.
- ii. My instructor has an effective style of presentation.
- iii. My instructor is readily available for consultation.
- iv. Complexity and length of course assignments are reasonable.
- v. Grades are assigned fairly and impartially.
- vi. My instructor readily maintains rapport with this class.
- vii. I am satisfied with my accomplishments in this course.
- viii. Overall, this instructor has been effective.

(Approved by President Taylor, May 28, 2002)

- ix. This course has effectively challenged me to think.

(Approved by President Bitterbaum, June 10, 2013)

Departments are free to add questions to those listed above.

3.4 In addition to the required statements found above, at least four of the following seven statements from the Purdue Cafeteria System must be chosen by the teaching faculty of courses on campus that require a lab portion either on-campus or as a part of a field experience:

- i. Lab procedures are clearly explained to me.
- ii. Assistance is always available throughout lab sessions.
- iii. The lab sessions are well organized.
- iv. The content of the lab is a worthwhile part of this course.
- v. Lab assignments are reasonable in length and complexity.
- vi. Lab assignments have instructional value.
- vii. My lab assignments are promptly returned to me.

3.5 The detailed procedures for collection of CTE data will be determined by each department, approved by the "Committee on Teaching Effectiveness," and subject to the following guidelines:

Student CTE forms will be administered by someone other than the course teacher (e.g., a student proctor, department secretary, or other colleague).

The form will be administered sometime during the last three weeks of scheduled classes in a term.

All questionnaires using the Purdue items, including the required core items, will be processed by the Institutional Research and Assessment Office (approved by President Taylor, May 28, 2002). There must be adequate safeguards against misuse or tampering with whatever CTE data the department collects.

#### **IV. Course Materials**

4.1 The course materials to be submitted for evaluation should include the following:

- course syllabus, including either a course outline or a list of course objectives;
- assignments, examinations, and other materials that are provided for the students; and
- any other materials the teacher wishes to submit (e.g., information on advisement, the teacher's role in involving students in research, attendance at professional meetings, the teacher's role in assisting students with career plans, or examples of graded papers and exams).

4.2 Optionally, the teacher may provide a written description of the course including observations about the students in the course. Such a description might include: a general description of the level of the course, the student composition in terms of class year and major, information as to whether the course is required or not, and a general comment on the teacher's perceptions of the motivation and general intellectual level of the students in the course.

### **260.03 PATENT AND COPYRIGHT POLICY**

See Board of Trustees Policies, Article XI, Title J-2 for a complete discussion of patents, inventions and copyright policy.

#### **SUNY Cortland Guidelines on Fair Use of Copyrighted Works for Education and Research**

SUNY Cortland views both liberal and professional education as integral to its mission and believes that all study teaches students to think critically and prepares them for earning a living. As an institution dedicated to the discovery, creation and dissemination of knowledge, SUNY Cortland is committed to complying with all the laws regarding intellectual property. That commitment includes the full exercise of the rights accorded to users of copyrighted materials under the "fair use" provisions of federal copyright laws, 17 U.S.C. Section 107. This includes the duplication of audio, video, photographs, illustrations, computer software and all other works used in the pursuit of teaching, learning and scholarship. Copyrighted material stored, viewed and transported using SUNY Cortland

information technology resources must comply with campus copyright policies and appropriate state and federal laws.

SUNY Cortland intends to facilitate the knowledgeable and good faith exercise of full fair-use rights by students, faculty, librarians and staff in order to achieve its mission and strategic goals of academic excellence and transformational education, including teaching, research, education and related activities. In its vision of education for the common good, the exercise of fair use not only assists students, faculty and staff in learning, teaching and research but also creates new knowledge and contributes to bodies of knowledge throughout all the disciplines, satisfying the purpose and intent of U.S. copyright laws in fostering, creating and disseminating of intellectual works for the welfare of the public.

In this good faith exercise of fair use, balancing the four factors of fair use is an ongoing and often case-by-case effort: The factors enacted by Congress and applied by the courts to evaluate whether a use qualifies as fair use are:

1. nature and purpose of use
2. the nature of the copyrighted work being used
3. the amount and substantiality of the work being used
4. the effect of the use on the market for or value of the original.

#### **260.04 SALARY OF FACULTY**

See latest negotiated agreement.

#### **260.05 OUTSIDE ACTIVITIES OF FACULTY**

See 435.03 - Extramural Activities.

#### **260.06 VACATION LEAVES FOR FACULTY**

See Policies, Article XIII, Title A; B.

#### **260.07 SICK LEAVES FOR FACULTY**

See Policies, Article XIII, Title C.

#### **260.08 SABBATICAL LEAVES**

(See 210.08 for procedures)

Article XIII, Title E, of the Policies of the Board of Trustees makes it clear that "The objective of (a sabbatical leave) is to increase an employee's value to the University and thereby improve and enrich its program. Such leave shall not be regarded as a reward for service nor as a vacation or rest period occurring automatically at stated intervals." See Policies Article XIII Title E for details.

(Approved by President Clark, Oct. 14, 1980)

#### **260.09 MILITARY LEAVES**

Campus personnel officers shall grant military leave according to the guidelines below:

- A maximum of 22 work days or 30 calendar days (whichever is more) with pay may be granted annually.
- A minimum of one day must be charged for a whole day or any fraction thereof.
- All days served on military duty are to be charged to military leave including Saturdays and Sundays which may occur during the assignment.



- Annual leave credits may be used for military leave beyond the paid days, subject to prior approval of the campus president.
- The privileges granted under the military law must be protected from abuse at all times. It is the responsibility of each college to see that the law is uniformly applied. (Section 242 of the Military Law)

### **260.10 VOLUNTEER STATUS**

Persons providing a service to the University on a non-pay basis may be given workers' compensation and limited legal indemnification under the Public Officers Law if they are enrolled as "volunteers." Generally, these volunteers must be supervised by a state employee and provide services for a function that is supported by state purpose funds. Campus departments may enroll these service providers by writing to the Human Resources Office.

### **260.11 LIABILITY OF THE COLLEGE**

SUNY Cortland is an institution of the State of New York. The State of New York is protected against claims of civil liability under a self-insurance program. This program requires that any person or corporation that feels they have a legal claim against New York State must entertain a lawsuit through the New York State Court of Claims. The Office of the New York State Attorney General is responsible for representing New York State in these matters. If you have questions regarding this process, you should contact your attorney at law or call the Syracuse Office of the New York State Attorney General, located at 615 Erie Boulevard, West; Syracuse, N.Y.

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## **CHAPTER 270: Work-Related Policies and Procedures**

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### **270.01 HIRING POLICY - STUDENT EMPLOYMENT**

It is the policy of SUNY Cortland to hire employees as federal Work-Study employees (through the [Financial Aid Office \(http://www2.cortland.edu/cost-aid/financial-aid/\)](http://www2.cortland.edu/cost-aid/financial-aid/)), as temporary service student assistants, or as casual labor workers under Civil Service noncompetitive classifications. These students are normally hired on an hourly basis, part time and full time, in College offices and academic departments.

Federal Work-Study employees and temporary service employees may work up to 20 hours per week while school is in session and work up to 40 hours per week during vacation periods. All hiring for Work-Study jobs must be arranged through the Financial Aid Office.

Qualifications must be a factor for positions that are considered skilled or semi-skilled. On-the-job training must be

provided where practical to offset job unfamiliarity. Education and prior experience could be important considerations for library, lab or some maintenance jobs. Students who have previously worked satisfactorily in campus assignments will be given preference within each designated category listed in item 4 of this section.

The faculty and staff should be aware that confidential documents may be handled by student workers who have been trained and have signed a form ensuring confidentiality.

Not Working with Family Members:

The College strongly prohibits its student employees from being placed under the supervision of a member of his or her family or in the same office/department as a member of their family, regardless of a supervisory/evaluative relationship.

Priority: SUNY Cortland students who do not qualify for federal Work Study – eligibility may be determined by calling the Work-Study coordinator in the Financial Aid Office.

All hiring of non-Work-Study employees – also called temporary service student assistants – must be arranged through the Student Employment Services Office according to the College-wide policies below:

- a. Offices/departments will complete an On-Campus Job Posting Form and forward it to Student Employment Services for posting on the On-Campus Job Bulletin Board and DragonConnect website.
- b. A member of the office/department doing the hiring will complete a "Student Appointment Form" for every new student hired with Student Temporary Service funds and forward that form to the Payroll Office. A new "Student Appointment Form" must be completed for every student at the beginning of each fall semester.
- c. Positions must be posted for a minimum of three weekdays on the On-Campus Job Bulletin Board before an office/department can hire a student, even if that student served the office in Work-Study capacity in the past; this is so that all students have reasonable access to the posted information.
- d. Exceptions to these policies must be submitted to the coordinator of student employment and the vice president for student affairs.

Civil Service noncompetitive classification hiring is handled in coordination with the [Human Resources Office](http://www.cortland.edu/hr/) (<http://www.cortland.edu/hr/>).

Questions regarding these policies should be forwarded to the Financial Aid Office (for Federal Work Study), Student Employment Services (for Temporary Service), or the Human Resources Office (for casual labor, noncompetitive Civil Service)

## **270.02 POLICY ON ENVIRONMENTAL HEALTH AND SAFETY AND REQUIRED TRAINING**

### **A. Policy**

SUNY Cortland is committed to providing a safe and healthful environment for its students, faculty, staff and visitors. Applicable environmental, health, and safety regulations promulgated by federal, state, and local regulatory agencies are observed in establishing safety programs and policies. Appropriate standards of nationally recognized professional organizations also serve as guidelines for establishing programs and policies. To promote the achievement of excellence, the SUNY Cortland safety program emphasizes continual improvement.

### **B. Responsibilities**

Safety excellence is the result of good management and sound program development. While safety is everyone's responsibility, the SUNY Cortland president is responsible for establishing a safe and healthful environment at the

campus. The authority and responsibility for achieving health and safety objectives are delegated to the appropriate levels of management by the president.

Each department head is responsible for the health and safety of students, faculty, staff, and visitors in their area. The department head should become familiar with established safety policies and programs, and any unsafe conditions should be identified and corrected.

Supervisors are responsible for implementing effective safety programs within the department. Employees should be well trained and work areas should be free of hazards. Any unsafe conditions should be identified and corrected. Moreover, supervisors must make sure that work-related injuries and illnesses are reported promptly.

All employees must become familiar with campus safety policies and standards. Additionally, employees must observe safe work practices, and reasonable precautions should be taken to prevent accidents and injuries. Unsafe conditions should be brought to the attention of supervisors, and work-related injuries and illnesses should be reported promptly.

The Environmental Health and Safety Office (<http://www2.cortland.edu/information/campus-safety/environmental-health/>) is responsible for providing counsel, guidance and services to the campus in order to attain policy objectives. These responsibilities include:

- Keeping current with environmental, health and safety regulatory developments and changes.
- Acting as a liaison with regulatory agencies for environmental, health and safety compliance.
- Developing and implementing effective programs for safety both on and off the job.
- Providing timely training.
- Performing regular safety inspections and timely incident/accident investigations.

### **270.03 ERGONOMICS POLICY**

SUNY Cortland is committed to health and safety in the workplace. As part of that commitment, ergonomic evaluations are available from the Environmental Health and Safety Office. Recommendations from ergonomic evaluations will be provided to both the employee and the employee's supervisor. Changes made based on the recommendations should be considered at the department level, and minor costs should come from department budgets. If resources are needed for changes, a request should be made through the appropriate vice president for funding consideration.

(Approved by President's Cabinet, Jan. 16, 2001)

### **270.04 SMOKING REGULATIONS**

#### **A. Policy**

The State University of New York College at Cortland is a totally smoke-free work environment. Smoking is strictly prohibited in all campus buildings, including the Outdoor Education Center at Raquette Lake and in all motorized fleet vehicles. All building entrances are designated as smoke-free entrances, with the exception of one in each building, which has been designated as an approved smoking entrance. All entrances are identified with the appropriate signage. Outside of the designated smoking areas, smoking is not permitted within 50 feet of a building.

#### **B. Background**

Health risks associated with smoking are well documented. Since 1989 when SUNY Cortland first restricted smoking

on the campus, additional studies have indicated that exposure to secondary smoke is a significant risk for the nonsmoker. As an employer, the College is responsible for providing a safe work environment and, consequently, it cannot ignore this evidence.

### **C. Support**

Understanding the addictive nature of smoking and that breaking the habit is extremely difficult for many people, the College will make every effort to assist those employees who wish to stop smoking.

### **D. Compliance**

This policy relies on the thoughtfulness, consideration and cooperation of smokers and non-smokers for its success. It is the responsibility of all members in the College community to observe this smoking policy.

### **E. Complaints**

Complaints or concerns regarding this policy or disputes regarding its implementation should be referred to the immediate supervisor for resolution. If a resolution cannot be reached, the matter will be referred by the supervisor to the appropriate department/division head or vice president for mediation. Student violations may be referred to the Student Conduct Office (<http://www.cortland.edu/student-conduct/>).

### **F. Review and Revision**

The provisions of this policy shall be subject to future review and revision to ensure that its objective is obtained and the College is in compliance with federal and state law.

(Revised May 2008)

## **270.05 RECYCLING POLICY**

As an important part of the College's commitment to good environmental citizenship, all faculty and staff have the responsibility to recycle when working in their offices and to empty their recycle bin at the appropriate location in the building in which they work. Faculty also should encourage students to recycle as much as possible in their on-campus activities.

## **270.06 FALSE ALARMS OF FIRE**

### **A. State Penal Law Section 240.55**

Falsely Reporting an Incident in the Second Degree. A person is guilty of falsely reporting an incident in the second degree when, knowing the information reported, conveyed, or circulated to be false or baseless, he or she:

Initiates or circulates a false report or warning of an alleged occurrence or impending occurrence of a fire, explosion or the release of a hazardous substance under circumstances in which it is not unlikely that public alarm or inconvenience will result;

Reports, by word or action, to any official or quasi-official agency or organization having the function of dealing with emergencies involving danger to life or property, an alleged occurrence or impending occurrence of a fire, explosion or the release of a hazardous substance which did not in fact occur or does not in fact exist; or

Knowing the information reported, conveyed or circulated to be false or baseless and under circumstances in which it is likely public alarm or inconvenience will result, he or she initiates or circulates a report or warning of an alleged occurrence or an impending occurrence of a fire, an explosion or the release of a hazardous substance upon any

private premises. Falsely reporting an incident in the second degree is a class E felony.

### **270.07 TAMPERING WITH THE FIRE ALARM SYSTEM**

Anyone found tampering with the fire alarm system is subject to disciplinary action by the College, as well as the penalty in accordance with the State Penal Law regarding false alarms.

### **270.08 FIRE DRILLS**

In accordance with Education Law 807, "Fire Drills," Sections 3 and 4:

"It shall be the duty of the person in charge of every public or private college or university within the state, having more than 25 students, or maintained in a building two or more stories high to instruct and train the students by means of drills, so that they may in a sudden emergency be able to leave the college or university building in the shortest possible time and without confusion or panic.

"Such drills shall be held at least three times in each year, one of which required drills shall be held between Sept. 1 and Dec. 1 of each year. In buildings where summer sessions are conducted, one of such required drills shall be held during the first week of such summer session. At least one of such required drills shall be through use of the fire escapes on buildings where fire escapes are provided. At least one additional drill shall be held in each year during the hours after sunset and before sunrise in college or university buildings in which students are provided with sleeping accommodations.

"Neglect by any president or other person in charge of any public or private school or educational institution to comply with the provisions of this section shall be a misdemeanor punishable at the discretion of the court by a fine not exceeding fifty dollars; such fines to be paid to the pension fund of the local fire department where there is such a fund."

### **270.09 FIREARMS POLICY**

Possession of Firearms on Campus:

The possession of firearms, explosives and other dangerous weapons is expressly forbidden.

(Code of Student Conduct)

Penalty for Violation of Firearms Policy

Failure to adhere strictly to this policy will necessitate disciplinary action for the guilty person and the possibility of arrest under Section 265.01 (3), (4), (5), (6) of the Penal Law of the State of New York.

Persons using firearms or other dangerous instruments for hunting or other recreational purposes must register and store them at the University Police Department (<http://www2.cortland.edu/offices/university-police-department/>).

Pistols and revolvers will not be accepted for storage. They should not be brought to campus.

### **270.10 POLICY ON LOITERING ON CAMPUS**

A person is guilty of loitering when he/she loiters or remains in or about school grounds, a college or university building or grounds or a children's overnight camp or a summer day camp, or loiters, remains in or enters a school bus, not having any reason or relationship involving custody of or responsibility for a pupil or student, or any other specific, legitimate reason for being there, and does not have written permission from a granting authority. (NYS Penal Law Section 240.35(5))

## **270.11 COMPLAINTS AND GRIEVANCES INITIATED ON CORTLAND CAMPUS**

### I. General employee complaints and grievances

Complaints that a person makes concerning any conditions of employment or administrative procedures may be taken through the usual campus administrative channels, with ultimate decision, should it reach that far, by the president.

Formal grievances against violations of the union agreement may be directed through the employee's union.

See the appropriate union agreement for procedures.

### II. Employee grievance procedures for discrimination

SUNY Grievance Procedure; Grievance Procedures for Review of Allegations of Discrimination, (See Chapter 950).

#### Other Agencies

1. Department of Education, Office of Civil Rights
2. U.S. Department of Labor, Division of Wage and Hours
3. State of New York, Division of Human Rights
4. Equal Employment Opportunity Commission

Information and assistance are available in the Affirmative Action Office.

### III. Student academic complaints and grievances

Procedures shall follow the Academic Grievance System as outlined in [350.01 \(/offices/publications/handbook/part-three/index.dot\)](/offices/publications/handbook/part-three/index.dot). When there are complaints concerning alleged discrimination in awarding grades, the affirmative action officer shall be notified. That officer shall be present at all meetings of the Academic Grievance Tribunal in cases involving alleged discrimination and at the departmental and school levels should the complainant desire (see Complaint Procedure for the Review of Allegations of Discrimination, [Chapter 850 \(/offices/publications/handbook/part-eight/index.dot\)](/offices/publications/handbook/part-eight/index.dot)).

Details on processing many of these procedures may be obtained from the affirmative action officer.

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