

COMMITTEE ON APPOINTMENT, PROMOTION AND TENURE

STANDING RULES

December 2005 revision

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I. Introduction

The Committee on Appointment, Promotion and Tenure (APT) is an elected, standing committee of the Faculty of the University Libraries, which exists in accordance with the *Policies of the Board of Trustees of the State University of New York* and the *Bylaws of the Faculty of the University Libraries (Bylaws)*. The general duties and obligations of the APT Committee are described in the *Bylaws*. The *Standing Rules* have two functions: 1. to serve as a working document for the Committee's case-by-case deliberations, and 2. to assist individuals preparing for personnel actions.

These *Standing Rules* express the Committee's understanding of existing policies and are the ground rules under which it acts. The *Standing Rules* should be used in conjunction with the guidelines set forth in the *Policies of the Board of Trustees*, the *Policies, Procedures and Criteria for Faculty Personnel Actions (PPC)*, the *Bylaws of the Faculty of the University Libraries*, and the *Criteria for Library Faculty Personnel Actions*.

The APT Committee operates on the principle that the tradition of peer review is central to the academic enterprise. The Committee presumes that faculty members have the obligation to themselves and to the institution to insure the highest quality of performance. The Committee has a responsibility to see that the dossier is complete and well-documented, with the interests of the candidate and the University community in mind. APT acts impartially and independently of administrative influence.

These *Standing Rules* should be reviewed by the Committee every two years and revised as experience or need warrants.

The current version of the Standing Rules is available on the University Libraries staffWEB at <http://libweb.lib.buffalo.edu/sw/roles/hr/standingRules.htm>. The authoritative version is available in the University Archives in paper.

II. General Procedures

II.A. The Committee meets to review the dossiers of all candidates for appointment, reappointment, promotion and continuing appointment (tenure).

II.B. Four is the quorum for consideration of all personnel actions other than continuing appointment and promotion to Associate Librarian and Full Librarian. Five is the quorum for personnel actions involving continuing appointment and/or promotion to Associate or Full Librarian. Procedures for promotion to Distinguished Librarian are determined in accordance with policies, procedures and criteria of the State University of New York.

II.C. Personnel actions, once scheduled, should not be rescheduled without sufficient cause or notification.

II.D. As a general rule, the unit head/director or the Associate Vice President for University Libraries is expected to present candidates to the Committee. Exceptions to this rule must be considered on an individual basis and arranged with the Chair at least one week prior to the action.

II.E. The presenter, if an APT member, must be absent during the discussion and voting on the dossier.

II.F. In accordance with Section III.F. of the *Bylaws* in cases when an advocate has been requested, the Unit Head/Director is required to prepare a dossier. The advocate will prepare a written statement which will be included in the dossier, and may choose to make an oral statement to APT and/or the Associate Vice President for University Libraries.

II.G.1. For cases not requiring PRB (President's Review Board) review (appointment at the rank of Assistant, Senior Assistant, or Associate Librarian without continuing appointment; reappointment at the rank of Assistant, Senior Assistant, or Associate Librarian without continuing appointment; promotion to the rank of Senior Assistant or Associate Librarian without continuing appointment) the Chair will submit to the Office of the Associate Vice President for University Libraries in written form, the numerical vote without additional comment.

II.G.2. In cases requiring PRB review (all continuing appointments at any rank, or promotion to Full Librarian), APT will provide a letter to the Associate Vice President for University Libraries recording and explaining the vote. The Committee may also, if it chooses, meet with the Associate Vice President for University Libraries for oral transmittal of the vote and the direction of the discussion. ([See Section VI.B.11-13](#)).

II.H. When necessary, the Chair will communicate with the Assistant to the Director for Library Faculty Affairs and the Associate Vice President for University Libraries regarding substantive personnel issues.

II.I. The Chair will receive from the Office of the Associate Vice President for University Libraries a quarterly statement of the actions taken on APT recommendations. If a personnel action is still pending, the steps of review completed will be indicated.

II.J. The APT report to the quarterly and annual faculty meetings includes a summary of actions which were taken by the committee. Names of individuals are not included.

II.K. It is inappropriate for non-members to observe an APT meeting. The Committee may invite non-members to meet with it for specific agenda items but not for review of a dossier. The Chair may discuss general policies and procedures of the Committee with non-members

II.L. Library faculty members' eligibility for membership on APT will be determined by the Elections Committee in conformity with the *Bylaws*.

III. Responsibilities

All Committee members are elected by the faculty of the University Libraries for a two year term. The Chair and Secretary assume office for one year, to begin at the first APT Committee organizational meeting after the Annual Meeting of the University Libraries Faculty.

III.A. Chair

III.A.1. The Chair's term begins in June or as soon as reorganization of the Committee can take place.

III.A.2. The Chair maintains photocopies of minutes for the current year and the most recent completed year. The Chair sends all correspondence and agendas from the most recent completed year to the University Archives.

III.A.3. The Chair works with the Assistant to the Director for Library Faculty Affairs to establish the agenda and ensures that it is distributed at least one week in advance of the meeting.

III.A.4. The Chair offers to meet with new unit head/directors to review and answer questions about the Committee's procedures.

III.A.5. The Chair transmits the names of new committee members to the Assistant to the Director for Library Faculty Affairs.

III.A.6. The Chair may appoint an Ad Hoc Committee to work with the Faculty Executive Committee of the University Libraries to address issues of faculty orientation, dossier preparation for personnel actions, and other mutual concerns.

III.A.7. The Chair initiates the biennial review of the *Standing Rules*. If the *Standing Rules* are revised, the Chair notifies the Libraries' faculty, the Assistant to the Director for Library Faculty Affairs, and relevant supervisory professional staff. The Chair retains both print and electronic copies of the Standing Rules. The Chair is responsible for seeing that the current version of the *Standing Rules* is available on the University Libraries Web site and in paper in the University Archives.

III.B. Secretary

III.B.1. The Secretary's term begins in June or as soon as reorganization of the Committee can take place.

III.B.2. The Secretary is responsible for minutes of Committee meetings.

III.B.3. The Secretary acts as Vice-Chair in absence of the Chair.

III.B.4. The Secretary has the authority to call meetings in the absence of the Chair.

III.B.5. The Secretary maintains the original copies of minutes for the current year and photocopies for the most recent completed year. At the end of a year, minutes that are two years old are destroyed.

III.B.6. At the end of a year, the Secretary photocopies the minutes of the year just completed and forwards the original copies to the University Archives where they are held in privacy.

III.B.7. At the end of each year, the Secretary will review the minutes for the year and prepare a list of issues which should be discussed for possible inclusion in the *Standing Rules*. The Secretary retains a print copy of the *Standing Rules*.

III.C. Committee Members

III.C.1. In the event that the office of APT chair or secretary becomes vacant, the Committee will hold an election to fill the vacancy.

III.C.2. Any Committee member who is unable to attend a scheduled meeting should notify the Office of the Assistant to the Director for Library Faculty Affairs as far in advance as possible.

III.C.3. If a member must leave before the end of a meeting, that member needs to notify the Chair in advance so that appropriate action can be taken to assure a quorum if necessary.

III.C.4. Where there is a familial relationship between an APT member and a candidate, the Committee member may not participate in that review either by attending the meeting or receiving the documentation for the review.

III.C.5. Immediately following a meeting, all confidential documents are turned over to the Chair or hand delivered to the Office of the Assistant to the Director for Library Faculty Affairs.

III.C.6. The Committee maintains a set of *Standing Rules* that will be reviewed biennially. These *Standing Rules* may be revised as often as the Committee believes necessary. Interim revisions will be announced in the next quarterly APT report to the faculty.

III.D. Assistant to the Director for Library Faculty Affairs

III.D.1. The Assistant to the Director for Library Faculty Affairs polls Committee members on availability to attend meetings requiring a quorum.

III.D.2. The Assistant to the Director for Library Faculty Affairs sends the agenda and completed dossier to Committee members at least one week in advance of the meeting.

III.D.3. The Assistant to the Director for Library Faculty Affairs retains a copy of the current *Standing Rules*.

III.D.4. The Assistant to the Director for Library Faculty Affairs provides new library faculty with a copy of the most current *Standing Rules*.

III.D.5. Immediately following APT's meeting, the Libraries Human Resource Officer indicates to the presenter the direction of the vote but not the exact vote tally. The presenter communicates this information to the candidate.

IV. Minutes

Minutes pertain to personnel actions, unless otherwise indicated.

IV.A. Minutes record only the following regarding personnel actions:

- The name of the candidate
- The rank of the term recommended
- The vote of the APT Committee

IV.B. The Secretary types minutes him/herself. This is not delegated.

IV.C. At the next scheduled meeting, the Secretary provides the Chair with a copy of minutes from the previous meeting. The Secretary maintains the original minutes for the current year and the Chair maintains photocopies. Minutes are shown to other APT members for their approval

and are immediately returned to the Secretary following their review. If an amendment to the minutes is required, the Secretary will correct the original for the Archives.

IV.D. The Chair maintains photocopies of minutes for the current year and the most recent completed year. The Secretary maintains the original copies for the current year and photocopies for the most recent completed year. At the end of a year, the Secretary photocopies the minutes of the year just completed, and forwards the original copies to the University Archives, where they are held in privacy. All other photocopies are destroyed.

IV.E. Minutes become a permanent part of the archival records, having restricted access. Any outside agency wishing to see the minutes of any proceeding may obtain them only by court order.

IV.F. Committee members maintain copies of minutes that do not pertain to specific personnel actions. When general discussions and personnel actions occur at meetings, the minutes are prepared in two parts so that each section can be handled accordingly. Committee members are required to destroy minutes, correspondence and other pertinent documents when they leave the Committee.

V. The Dossier

Unit Heads/Directors prepare dossiers in cases of appointment, reappointment, promotion, and non-support of reappointment where a candidate has appointed an advocate.

V.A. Transmission of the Dossier to the Committee

V.A.1. The Assistant to the Director for Library Faculty Affairs must deliver the dossier to each Committee member who will be attending, at least one week before the scheduled personnel action. Members unable to attend a scheduled meeting will receive only the agenda.

V.A.2. If there must be a delay in distribution of the dossier, the Committee must be notified at least one working day before the dossier was scheduled to be distributed.

V.A.3. If an incomplete dossier is distributed, a statement must accompany the dossier explaining why it is incomplete and when the missing documentation will be furnished. Missing documentation must be distributed before the meeting at which the personnel action will be considered.

V.A.4. At least one week in advance of the personnel action, supplementary documentation must be made available for inspection by the Committee in the Office of the Associate Vice President for University Libraries. It must also be provided to the Committee on the day of the meeting.

V.A.5. When material in a non-print format is referred to as part of the supplementary documentation, this material must be made available whenever and wherever reasonable for the Committee to review before the meeting. This availability must be clearly indicated in any documentation going to the President's Review Board.

V.A.6. If incomplete documentation causes the Office of the Associate Vice President for University Libraries to postpone a scheduled meeting, Committee members must be given notice at least one working day before the date of the scheduled meeting.

V.A.7. Those APT members excluded from review of a candidate because of a familial relationship may not receive the dossier or other documentation for review.

V.B. Information Included in the Dossier

The following chart summarizes the minimum content of the dossier at the APT level of review.

<p>Appointment at Assistant, Senior Assistant, or Associate ranks (no PRB review)</p>	<ul style="list-style-type: none"> • The Unit Head/Director's Letter. • The position description used in recruitment. • The candidate's curriculum vitae. • Three letters of reference and copies of the letters requesting the references.
<p>Appointment at Librarian rank (PRB review required)</p>	<ul style="list-style-type: none"> • The Unit Head/Director's Letter. • The position description used in recruitment. • The candidate's curriculum vitae. <p>Letters of reference must include the following. (see PPC, III.B.6-8)</p> <ul style="list-style-type: none"> • Two letters from colleagues who currently work with the candidate. • Four letters from evaluators from leading public research institutions which indicate whether the candidacy would be successful at the evaluator's institution. • A description of the external evaluators and of the method of selecting the evaluators. • Copies of letters requesting references.
<p>Reappointments at any rank below Librarian (no PRB review)</p>	<ul style="list-style-type: none"> • The candidate's employment history. • The Unit Head/Director's letter. • Any mandatory line supervisor letter(s). • The Conditions of Employment Letter if appointed on or after January 1, 1989, or if responsibilities changed substantially after that date. A position description will be substituted for all other candidates. • The candidate's curriculum vitae. • Three letters of reference, at least one of which must be from a member of the University Libraries Faculty or professional staff, and copies of the letters requesting the references. • The candidate's statement of research interests (tenure-track only). • The candidate's service statement.
<p>Part-time reappointments at any rank below Librarian (no PRB review)</p>	<ul style="list-style-type: none"> • The candidate's employment history. • The Unit Head/Director's letter. • Any mandatory line supervisor letter(s). • The Conditions of Employment Letter if appointed on or after January 1, 1989, or if responsibilities changed substantially after that date. A position description will be substituted for all other candidates. • The candidate's curriculum vitae. • One letter of reference from a member of the University Libraries Faculty and copy of the letter requesting the reference. • The candidate's service statement.

<p>Reappointments at the rank of Librarian</p>	<ul style="list-style-type: none"> The PPC makes no provision for a reappointment at the rank of Librarian. Although logically possible, it seems unlikely that a reappointment without the simultaneous granting of continuing appointment would be proposed.
<p>Promotions to the rank of Senior Assistant Librarian (no PRB review)</p>	<ul style="list-style-type: none"> The candidate's employment history. The Unit Head/Director's letter. Any mandatory line supervisor letter(s). The candidate's Conditions of Employment Letter. The candidate's curriculum vitae. Three letters of reference, at least one of which must be from a member of the University Libraries Faculty or professional staff, and copies of the letters requesting the references. The candidate's statement of research interests (tenure-track only). The candidate's service statement.
<p>Promotion to the rank of Associate Librarian</p>	<p>Without continuing appointment:</p> <ul style="list-style-type: none"> All items required for promotion to Senior Assistant Librarian. Convincing evidence from evaluators outside the University Libraries of the candidate's excellence. <p>With continuing appointment:</p> <ul style="list-style-type: none"> Same as those required for granting of continuing appointment (PRB review required).
<p>Promotion to the rank of Librarian (PRB review required)</p>	<p>All items required for appointment at the rank of Librarian, excepting that:</p> <ul style="list-style-type: none"> The Conditions of Employment Letter rather than the position description is supplied. The candidate's statement of research interests and service is added. The candidate's employment history is added.
<p>Granting of continuing appointment (PRB review required)</p>	<ul style="list-style-type: none"> The candidate's employment history. The Unit Head/Director's letter. Any mandatory line supervisor letter(s). The candidate's curriculum vitae. A minimum of two letters of reference from members of the University Libraries Faculty or professional staff. A minimum of four letters from evaluators from leading public research institutions which indicate whether the candidacy would be successful at the evaluators institution. A description of the external evaluators and of the method of selecting the evaluators. Copies of letters requesting references. The candidate's statement of research interests. The candidate's service statement.

V.B.1. Unit Head/Director's Letter

The letter of the unit head/director is one of three primary documents (unit head/director's letter, curriculum vitae, Conditions of Employment Letter) and is likely to be the most important of all

the documents in the dossier. Special care should be taken to explain library terminology which might be confusing to persons outside the University Libraries. This letter transmits the dossier from the level of immediate contact with the candidate and the candidate's work to the faculty level of the APT Committee, the Associate Vice President for University Libraries, and in some cases to higher levels of review. In addition to containing the unit head/director's personal appraisal of the candidate and the unit head/director's recommendation as to rank and/or term of appointment, and reporting the quantitative vote of the Unit Faculty, it is the function of this letter to summarize, explain and evaluate the information contained in the other documents of the dossier. The unit head/director should give attention to documenting the quality and impact of newer (or less traditional) forms of publication or professional activities, including but not limited to electronic publications, online discussion list management, and development of web resources. The letter should show clearly how, in the unit head/director's judgement, the candidate's qualifications and achievements relate to the *Criteria* and other standards applicable to the personnel action being recommended (Cf. PPC, III, B, for description of the unit head/director's letter in actions requiring PRB review).

V.B.2. Curriculum Vitae

Refer to the Vita Sample and the Vita Template on the APT webpage at <http://libweb.lib.buffalo.edu/sw/committees/apt/dossierprep.htm> to determine the minimum information that should be included and the appropriate format.

V.B.3. Statement of Research Interests and Service

The Statement of Research Interests is written by full-time candidates only. It should describe the candidate's position in the field. The statement should be directed to someone outside the discipline and should avoid technical terms, acronyms, and jargon; and should not be more than three pages. The Statement should describe the quality, relevance, and impact of current research and how it will lead to future research. If appropriate, cross-disciplinary research and/or the relationship of teaching and service to current research should be explained.

The Service Statement is written by all candidates and should summarize contributions in the three categories cited below. Each is listed in order of importance. The statement should be no longer than two pages.

- *Professional/Public Service*: Examples of professional service draws upon one's academic expertise, and includes serving on national or state commissions or task forces; consulting; and presenting instructional sessions for staff development at national or state workshops. Public service contributes to the improvement of the profession. Examples are editing journals, newsletters or web pages; holding offices; and organizing conferences.
- *University Service*: Examples include service on Libraries and University committees; task forces; and service in administrative capacities, such as coordinating bibliographic instruction.
- *Community Service*: Examples include contributions to local groups. Candidates should not attempt to substitute community service for professional/public or University service.

V.B.4. Letters of Reference

- a. The content and origin of letters of reference will vary depending upon personnel actions.

Letters for an initial appointment of candidates with limited professional experience may appropriately be sought from former teachers or supervisors and may speak only to the candidate's potential.

Initial appointments of candidates with more experience are appropriately supported by letters from supervisors and colleagues who have personal knowledge of the candidate's professional expertise and record of professional growth. Typically these letters will originate from outside the University Libraries (external letters), but if the candidate has substantial contact with a member of the University Libraries Faculty or professional staff, such staff may write in evaluation of the candidate (internal letter).

Reappointments require letters from Library Faculty or members of the Libraries professional staff. These letters should address in concrete detail how the candidate meets the requirements of the Faculty's *Criteria*.

Actions involving PRB review also require such internal letters of reference plus a minimum of four letters from external evaluators solicited by the unit head/director or designee. The external evaluators should be impartial, disinterested individuals from distinguished research departments, institutions, and/or universities who hold a rank equal to or above the rank to which the candidate would be named. (Cf. letter from President Greiner dated March 3, 1994 and PPC, III, B, 6-7).

- b. When a referee has written a letter for a candidate for a previous personnel action and specifically refers to it in the current letter, the earlier letter must be included in the dossier.
- c. APT prefers to see internal letters of recommendation from faculty or professional staff who are familiar with the candidate's accomplishments. Letters from classified staff may be included as supplementary documentation.
- d. When a unit head/director is being considered for a personnel action, APT would like to see included in the dossier at least one letter from another unit head/director, or another person working at an equivalent administrative level. This principle holds when persons working in other specific areas are candidates as well, (for example, Technical Services faculty should have included in their dossiers at least one letter from another member of the faculty working in the same area, or at the equivalent level of expertise).
- e. APT committee members may write letters of recommendation for candidates.

V.B.5. List to Whom Letters Were Sent

A list of names identifying rank and affiliation of persons from whom evaluative letters have been requested should be included in the dossier, as well as letters received from these requests. This is not applicable to appointments. For actions involving PRB review, the dossier preparer must include a document explaining the rationale for selection of all evaluators and the credentials of the external evaluators.

V.B.6. Employment History

The report of the candidate's employment history at the University at Buffalo prepared by the Assistant to the Director for Library Faculty Affairs includes the following:

- a. Date of initial term appointment as a Faculty member at the University at Buffalo. Part-time employment does not count towards the tenure timetable.

- b. Faculty ranks with effective date of promotion to each one.
- c. Ending date of the candidate's current term appointment.
- d. Prior service, if any and if elected, and/or mandatory credit for a Faculty position within a SUNY institution.
- e. The effective date for continuing appointment, when the Policies of the Board of Trustees and the bargaining unit agreement require that further appointments must be continuing appointments.
- f. Currently guaranteed notification date, when the candidate must be informed whether the present appointment will be renewed.
- g. Date scheduled for presentation to the APT Committee.
- h. The candidate will be provided with a copy of this report by the Office of the Associate Vice President for University Libraries.

V.B.7. Conditions of Employment Letter

- a. A Conditions of Employment Letter will be provided for all candidates initially appointed on January 1, 1989, or later and for candidates whose duties and responsibilities substantially changed after that date. For all other candidates, a position description will be substituted for a Conditions of Employment Letter.
- b. In the case of significant change of incumbent's position responsibilities, the original position requirements should be included.

V.B.8. Supplementary Documentation

- a. A bibliography of the supplementary documentation for a candidate should be included as a permanent part of the dossier. Supplementary documentation must be made available to APT but is not part of the permanent dossier nor is it confidential.
- b. When available, copies of the candidate's publications, other scholarly works, reviews of such works, etc., must be included as supplementary material. The candidate and the unit head/director share responsibility for securing copies of such materials.

V.B.9. Additional Materials

The above sets out only the minimum contents of a dossier. The unit head/director may enrich a dossier with other material to provide a more complete picture of the candidate. For example, focused, non-repetitive evaluations of the candidate's service or scholarly accomplishments may be helpful in establishing the context and value of such contributions, especially at levels of review beyond the University Libraries.

V.B.10. Special Conditions

- a. In the case of initial appointment, position requirements should be included. Copies of the letter of application and of letters requesting references will be in all appointment dossiers.
- b. If a dossier for reappointment refers to or describes future job assignments, the Committee reserves the right to discuss such assignments with the presenter. The Committee may request additional documentation if the possibility exists that the projected activities might be detrimental to the candidate in earning continuing appointment or promotion.

c. When an advocate presents a case for a candidate, the advocate's statement must appear in the dossier.

d. If the Office of the Associate Vice President for University Libraries adds any documentation to a dossier other than that which APT normally does not see, between the time APT votes and the dossier is sent to PRB, the Associate Vice President for University Libraries must inform the President's Review Board that APT has not seen this documentation. The Associate Vice President for University Libraries must notify APT that this documentation has been added to the dossier.

V.C. Committee Review of the Dossier

V.C.1. Committee members review the dossier individually prior to the meeting and as a group at the meeting. The Committee discusses the dossier and agrees to either consider the dossier and meet with the presenter or defer action.

V.C.2. APT considers the dossier if there is sufficient documentation to make a responsible determination.

V.C.3. The Committee defers action on a dossier whenever documentation is incomplete. APT does not meet with the presenter and the Chair returns the dossier to the Associate Vice President for University Libraries. The Committee will review the dossier when it is returned with deficiencies corrected.

V.C.4. Occasionally the Committee may feel there are complications in reviewing a personnel action which concern matters other than "completeness" of the dossier. Such situations are considered individually and may require discussion with the Associate Vice President for University Libraries.

V.D. Candidate Access to Dossier

V.D.1. Except in the case of an initial appointment, the candidate by provision of the *SUNY/UUP Agreement*, has the right to examine any items which have been generated for the dossier excluding confidential material, (for example, reviewer comments or reviewer identity for which candidate access has not been granted by the reviewer).

V.D.2. For all personnel actions:

a. The unit head/director's letter, with all confidential material expunged; a copy of this letter is sent to the candidate at the time the letter is prepared.

b. Any other supervisors' letters written below the unit head/director level, with all confidential material expunged; a copy of this letter(s) is sent to the candidate at the time the letter(s) are prepared.

V.D.3. For personnel actions requiring PRB review:

a. The Associate Vice President for University Libraries' letter with all confidential material expunged; a copy of this letter is sent to the candidate at the time the letter is prepared.

- b. PRB's recommendation; the candidate is invited to examine this by the President's Office.
- c. The Provost's recommendation with all confidential materials expunged; the candidate is invited to examine this by the President's Office.

V.D.4. Letters of Reference

The candidate may see only those letters of reference for which the writer has given explicit permission for the candidate to do so. In cases which do not require PRB review, the Office of the Associate Vice President for University Libraries is responsible for providing the candidate with access to such letters.

VI. Voting and Transmission of the Vote

VI.A. Unit Vote

The unit vote consists of the vote of all faculty in a unit with the exception of the unit head/director and faculty serving on temporary appointments. Professional staff or classified staff votes are not to be included in the tally recorded by the unit/head director in the cover letter.

VI.B. APT Vote

VI.B.1. The Committee votes by secret ballot to determine its recommendation. The Committee's vote constitutes its official action on the dossier. There has been no official Committee action taken until there is a vote by an appropriate quorum of the Committee.

VI.B.2. The Committee will not accept votes given in absentia.

VI.B.3. In the case of a tie vote, there will be a serious effort made to break the tie by taking additional votes. If the tie is irreconcilable, it will stand.

VI.B.4. The Committee may not change the final vote once it has been taken.

VI.B.5. In an appointment, the Committee may, if necessary, take separate votes on whether to appoint, and the rank at which the appointment should be made.

VI.B.6. When a vote is to be taken on both reappointment and advancement in rank, the two votes will be taken in succession (reappointment or continuing appointment first) and the results of the votes will be announced after both votes are taken.

VI.B.7. The Committee may initiate a vote on promotion in rank even though the recommendation did not appear in the dossier.

VI.B.8. An abstention vote is counted neither on the side of the majority nor the minority, but recorded in the final tally.

VI.B.9. For cases not requiring PRB review ([See II.G.1.](#)), the Chair will submit to the Office of the Associate Vice President for University Libraries in written form, the numerical vote without additional comment. In cases requiring PRB review ([See II.G.2.](#)), APT will provide a letter to the Associate Vice President for University Libraries recording and explaining the vote.

VI.B.10. Immediately following APT's meeting, the Libraries Human Resource Officer indicates to the presenter the direction of the vote but not the exact vote tally. The presenter communicates this information to the candidate.

VI.B.11. In some cases, it may be advisable for the Committee and the Associate Vice President for University Libraries to discuss the Committee's recommendation. As standard operating procedure this would not be necessary. Either the Committee or the Associate Vice President for University Libraries may request this action; either may decline.

VI.B.12. Unless directed by the Committee, the Chair may not discuss a personnel action with the Associate Vice President for University Libraries in person or in writing.

VI.B.13. Votes taken on several candidates during the same meeting should not be reported in the same letter. A separate letter of notification of the vote(s) for each candidate will be sent to the Associate Vice President for University Libraries.

VII. Confidentiality

Confidentiality is of the utmost concern to the APT Committee. The Committee is elected by the faculty, and the trust in it is directly proportional to the fairness which is exercised in its proceedings and the confidence in which it conducts its business. To the greatest extent possible, the Committee acts on the information which it has before it: the written dossier, the presenter remarks, the supplementary documentation. Discussion within the Committee itself and with the presenter or advocate addresses only those issues raised in the written documentation or by the oral presentation. The Committee is honor bound to set aside personal prejudice in any personnel action. If a Committee member is concerned about a conflict of interest, that member should not participate in deliberations. If an APT member has been appointed to be an advocate, that member may not participate in deliberations. If the Committee as a whole feels that some concerns outside the information brought to it might impinge on the impartiality of its deliberations, it may abstain from those deliberations entirely until the situation becomes clear.

VII.A. Proceedings

Discussions of the dossier are limited to the members of the Committee only. Presenters may participate in the presentation and question-and-answer periods; they are not privy to other Committee discussion of the dossier. If the Associate Vice President for University Libraries meets with the Committee for clarification of the dossier or of the vote, he/she is not privy to details of the discussion. Members understand that what is discussed is to be kept in strictest confidence to assure the candidate's right to privacy.

VII.B. Vote

The Committee votes by secret ballot. No member may be induced or coerced into revealing his/her vote. Only the direction of the vote is given to the presenter. For cases not requiring PRB review (appointment, reappointment, and/or promotion to Senior Assistant or Associate Librarian), the Chair will submit to the Office of the Associate Vice President for University Libraries in written form, the numerical vote without additional comment. In cases requiring PRB review (continuing appointment and/or promotion to Associate or Full Librarian), APT will provide a letter to the Associate Vice President for University Libraries recording and explaining the vote. Both the Associate Vice President for University Libraries and the Committee members understand that the vote remains secret.

VII.C. Minutes

See [IV. Minutes](#)

VII.D. Dossier

Copies of the dossier are hand delivered in "Confidential" envelopes to each member at least one week prior to the meetings. They are returned to the Office of the Associate Vice President for University Libraries immediately following the meeting, and subsequently destroyed. It is understood that once the action is completed, no member, including the Chair, may ask to see the dossier again.

VII.E. Correspondence

All correspondence directed to the Committee is kept in the Chair's confidential files. Members may see correspondence at meetings, but may not keep copies.

VII.F. Discussion with Associate Vice President for University Libraries

Should either the Committee or the Associate Vice President for University Libraries request a meeting to clarify or amplify action on a dossier, the ensuing discussion is not recorded, and is subject to the same rules of confidentiality as all other proceedings.

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