

**Stony Brook University#**

**Library Promotion and Tenure  
Procedures**

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# 1. Introduction

The procedures which follow have been developed from and modeled upon those of the Personnel Policy Committee, College of Arts and Sciences and the Dossier Proposal Draft submitted by the University Personnel Policy Committee. Changes have been made only where necessary to accommodate the somewhat different role of librarians as members of the faculty. As with the Arts and Sciences procedures, careful consideration was given to the Policies of the Board of Trustees and these policies have been interpreted to reflect the special role of librarians.

## 1. Policies of the Board of Trustees: Criteria for Promotion and/or Continuing Appointment

The Policies of the Board of Trustees, State University of New York, Art. XII, Title B, paragraph 2, indicate the elements which should be weighed in evaluating candidates for promotion and/or continuing appointment (tenure):

*Recommendations of academic employees or his/her appropriate committees, or other appropriate sources may consider, but shall not be limited to consideration of, the following:*

*(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 — as demonstrated by such things as judgment of colleagues, development of teaching materials on new courses and student reaction, as determined from surveys, interviews and classroom observation.*

*(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 public service, committee work, administrative work, 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.*

*To further the commitment to affirmative action at SUNY Stony Brook, the following additional criteria will be applied when evaluating candidates for promotion and/or continuing appointment:*

*(f) Contributions to enriching the life of the university by correcting discrimination and encouraging diversity as demonstrated by significant research in line with the emerging scholarship concerning the conditions of life of women and minorities; teaching; and/or*

*university service. A candidate's effectiveness in this regard will be judged where appropriate by accepting a diverse range of publications and vehicles for service, which address the special needs and interests of minorities and women in their efforts to obtain equal opportunity.*

### **1.1 Library Criteria for Promotion and Continuing Appointment**

The Library Faculty shares the University's goals and contributes to the fulfillment of the campus mission in the areas of instruction, research, and service. However, librarians' contributions differ in nature and emphasis from those of professorial faculty. The criteria for promotion and continuing appointment outlined below are designed to recognize this fact.

*(a) Mastery of subject matter*—the basic credential is a Master's Degree in library or information science from an American Library Association-accredited program. Appropriate supplementary evidence might include additional earned degrees, certificates of advanced and/or specialized training, and language or subject expertise commensurate with a particular position description. For example, branch librarians normally need to have a strong subject background (e.g., biology, music) and catalog librarians working with foreign area studies materials must have the appropriate language proficiency.

*b) Effectiveness as a librarian*—the concept of effectiveness as a librarian comprehends a wide variety of individual abilities and achievements and constitutes an indispensable element in every candidacy. In order to be effective, the Library Faculty as a whole must successfully develop, organize, manage, interpret, and promote access to a full range of library services and resources. Although every librarian must be able to demonstrate a general appreciation and understanding of all of the above, expectations of individual effectiveness may vary depending upon functional specialization within the libraries

*(c) Scholarly ability*—Librarians make significant scholarly contributions to librarianship through participation in the work of professional associations at the local, state, and national levels, the presentation of papers (e.g. the results of applied research) at professional conferences, appointment to consultancies, and a wide variety of scholarly publications, including , books, book chapters, peer-reviewed articles, bibliographies and book reviews.

It is essential that every librarian participate actively in at least one aspect of the broad range of individual and collegial achievements that constitute contribution to the profession. The growth of the profession depends on librarians with "on-the-job" experience who can articulate needs and devise solutions to problems and thereby influence the future direction of librarianship and information science. A librarian who is involved in solving the problems of the profession brings to his or her assigned library tasks breadth of vision, awareness of state-of-the-art practices at peer institutions, knowledge of current concepts of information service, and understanding of the process of change.

It is important to recognize that different expressions of scholarly activity may be appropriate to different librarians' specialties, e.g., a librarian involved in the selection of materials is more likely to write book reviews and prepare bibliographies than a catalog librarian who is more likely to organize a training program or be a member of a committee trying to improve national cataloging rules. Since quantitative limitations are imposed by the nature of a librarian's professional obligations, (e.g. a 12 month year consisting of structured work days spent largely on assigned in-house library tasks), evaluation should be primarily qualitative.

*(d) Effectiveness of university and community service* — This criterion may be demonstrated by such activities as successful committee work, participation in Library and university governance, special university administrative assignments and tasks, involvement with campus groups, work with students or community beyond the formal librarian-patron relationships, offices held in scholarly or professional organizations, refereeing proposals, local community services, etc. Appropriate evaluators include chairpersons of committees or other appropriate community or organization leaders.

*(e) Continuing growth* — This criterion may be demonstrated by such activities as attendance at continuing education courses, professional or scholarly meetings, workshops, institutes, training programs; in-depth analyses of other libraries; internships; development of professionally related skills; formal or informal course work; and advanced degrees.

*(f) Contributions to enriching the life of the university by correcting discrimination and encouraging diversity* — As demonstrated by significant research in line with the emerging scholarship concerning the conditions of life of women and minorities; teaching; and/or university service. A candidate's effectiveness in this regard will be judged where appropriate by accepting a diverse range of publications and vehicles for service, which address the special needs and interests of minorities and women in their efforts to obtain equal opportunity.

## **1.2 Mandatory Review for Continuing Appointment**

*1.2.1* The Trustees' Policies (Article XI) also define the regulations on continuing appointment: Librarians and Associate Librarians on term appointments must be granted continuing appointment if reappointed at the end of three years of service in the ranks of Associate Librarian or Librarian. Senior Assistant Librarians and Assistant Librarians must be reappointed with continuing appointment if they have completed seven years of service in a position or positions of academic rank in the University of which the last three consecutive years have been as Assistant Librarian or Senior Assistant Librarian. Satisfactory full-time service in academic rank in any other institution of higher education shall be credited as service up to a maximum of three years, but waiver of all or part of this service credit shall be granted upon written request of the employee to the chief administrative officer not later than six months after the date of the initial appointment. Such requests should be submitted to the Dean and Director of University Libraries for forwarding to the administration.

*1.2.2* Continuing appointment cases must be considered at least one year prior to the time when continuing appointment would become mandatory or when the final term appointment would expire (Policies, Art. XI, Title D, section 5).

*1.2.3* Associate or Full Librarians holding a term appointment must be reviewed for continuing appointment not later than the second year of service in that rank.

*1.2.4* Senior Assistant Librarians or Assistant Librarians who have neither been reviewed for tenure at Stony Brook University nor submitted a letter of resignation must be reviewed for continuing appointment not later than the sixth year of service in that rank.

*1.2.5* In computing consecutive years of service for the purposes of appointment or reappointment, periods of leave of absence at full salary shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

### **1.3 New Appointments**

*1.3.1* New appointments at the senior level (Associate Librarian or Librarian) and new part-time continuing appointments at the senior level are also to be reviewed by the Committee. Files for these appointments should adhere to the specifications given in section 3.

*1.3.2* Files for new appointments should show evidence that affirmative action guidelines have been observed and that the best qualified candidate has been proposed. (EEOC approval or non-approval must be obtained before the file is sent to the Committee.)

## **2. University Libraries' Evaluation and Recommendation**

### **2.1 Initiation of Candidacy**

*2.1.1* The Dean and Director of University Libraries ordinarily initiate a candidacy for promotion to higher rank, or for a continuing appointment or both, having obtained the consent of the faculty member involved. The Dean and Director of University Libraries is responsible for ensuring that the file is ready for submission in a timely fashion.

*2.1.2* When consideration of continuing appointment is mandatory, the Dean and Director of University Libraries must notify the candidate and proceed with the evaluation unless the candidate submits a resignation, to take effect no later than the end of his or her term.

*2.1.3* Except as noted in section 2.1.4, any individual faculty member of Academic rank may, with the approval of his/her supervisor, initiate his/her candidacy for promotion and/or continuing appointment at any time prior to either receiving notice of non-reappointment or submitting a resignation. This request must be communicated in writing to The Dean and Director of University Libraries by the candidate three months before the Dean and Director of University Libraries recommendation submission

deadline, e.g., by January 15 in mandatory continuing appointment cases, and by October 1 in promotion and non-mandatory appointment cases. The Dean and Director of University Libraries must then consult with the supervisor to consider the request.

2.1.4 Reconsideration of a non-mandatory case in the year immediately following non-approval of a promotion or tenure recommendation is subject to a review as provided in section 2.2.2.

2.1.5 If the supervisor does not encourage a faculty member's request for a review, the faculty member may appeal the decision to Library Faculty of higher rank. The appeal must be accompanied by supporting documents. In the case of a negative decision by Library Faculty of higher rank, the case may be appealed to the University Senate's Library Promotion and Tenure Committee—and then to the Provost, and then the President—for a final decision.

## 2.2 Special Cases

2.2.1 Where a letter of termination of employment has already been received or where a letter of resignation has been submitted and accepted, the decision whether or not to submit or resubmit a case to the University Senate's Library Promotion and Tenure Committee will be made by the Provost.

2.2.2 Reconsideration of a non-mandatory case in the year immediately following non-approval of a promotion or tenure recommendation should only be requested on the basis of strong evidence that a substantially higher level of achievement has been reached in the intervening year. The resubmitted file should then be presented in two parts:

Part I. An account of the professional status of the candidate when last considered, together with full documentation and supporting evidence, prepared according to the present norms (in which the confidentiality of solicited letters is preserved). This account will be divided into Biographic and Evaluative Files.

Part II. An account of the present professional status of the candidate containing a) a new *curriculum vitae*, b) updated departmental recommendation and, c) updated letter from the Dean and Director of University Libraries, d) new documentary materials, e) additional solicited letters of reference, and f) a statement from the Library Appointment and Promotion Committee. This account will also contain a biographic file and an Evaluative File and will be prepared according to the present norms for presenting such files.

2.2.3 Whether or not a resubmitted case merits a new review will depend on the cooperative evaluation of the contents of Parts I and II of the resubmitted file. The Library Dean and Director of University Libraries submits this recommendation to the University Senate's Library Promotion and Tenure Committee and the Committee will take into account whether a substantially higher level of achievement has been reached in the intervening year.



2.2.4 If a case becomes mandatory within a year after a prior submission, the file should be constructed as indicated in 2.2.2 above.

### **2.3 Announcement of Candidacy**

The initiation of each candidacy for promotion and/or continuing appointment shall be communicated in writing by the Dean and Director of University Libraries to all University Libraries faculty members. This written announcement shall include a statement from the Dean and Director of University Libraries soliciting letters of comment from any member of the University community. Such announcements must give each respondent the opportunity to specify that the candidate may have access to her/his letter either as it stands or with all reference to the identity of the source removed. If such permission is not given, a response will be considered confidential and will be placed in the Special Evaluative File (See Section 2.4.5). A sample letter of announcement is supplied below in Appendix II.

### **2.4 Candidacy File**

2.4.1 The Candidacy File contains three parts:

A. The Biographic File drawn up by the candidate. The file is available to all who have a right to contribute to the evaluative files, including but not limited to voting library faculty and general members of the campus community. For instructions in formatting the Biographic File, See Appendix XV & XVI.

B. The General Evaluative File, containing confidential information that the candidate may review before the President's decision is made. This material is available to the Library Appointment and Promotion Committee, the appropriate Library Faculty, the University Senate's Library Promotion and Tenure Committee and the higher academic administrators, as well as to the candidate, at the appropriate time.

C. The Special Evaluative File, containing confidential material that is not accessible to the candidate, but only to the Library Appointment and Promotion Committee, the appropriate Library Faculty, the University Senate's Library Promotion and Tenure Committee, and the higher academic administrators.

2.4.2 The Dean and Director of University Libraries shall be responsible for the collection and submission of appropriate materials on each candidate for promotion and/or continuing appointment (see 2.1.1). When the Dean and Director of University Libraries is a candidate, the administrator to whom the Dean and Director of University Libraries reports shall be responsible for the preparation of the Candidacy File. The Candidacy File shall not be circulated to persons other than those specifically authorized to review it in accordance with these Procedures, with the exception that the Biographic File may be made available to others at the request of the candidate. Items contained in the Special Evaluative File will not become part of the personnel file.



### 2.4.2.1 Candidate Advisory Committee

The candidate will be assigned a Candidate Advisory Committee consisting of three tenured faculty members (it is recommended that no more than one member of the committee be from the candidate's immediate library unit) appointed by the Dean and Director of University Libraries in consultation with the candidate, the candidate's immediate supervisor or relevant assistant/associate director and the Appointment & Promotion Committee at the beginning of the candidate's second year of service as a tenured track faculty member. The Candidate Advisory Committee shall act on behalf of and in consultation with the candidate in the preparation of his/her file for submission for promotion and/or tenure.

*The duties of the Candidate Advisory Committee include but are not limited to the following:*

- The committee shall choose in consultation with the candidate a convener/chair who shall act as the voice of the committee and if required act as an advocate on behalf of the candidate's file in the event of internal processing errors, lags and any general breakdown in the Library's internal, review processes.
- Review and explain the promotion and/or tenure process to the candidate(s) and to this end answer any questions that may arise from such consultation.
- Advise the candidate as to the preparation and completion of all required administrative documentation related to the candidate's submission for promotion and/or tenure.
- Advise the candidate(s) as to the preparation, organization and content of his/her Biographic File. See appropriate appendix section.
- Advise the candidate as to the scope and nature of the candidate's suggested references, including but not limited to: type of reference sought, total number of references and additional relevant questions that may arise.
- It is required that the committee and candidate meet in person no less than five times throughout the process. The first meeting is to be a preliminary meeting in which the promotion process, candidate's readiness for promotion and expectations are explained and agreed upon by all. The second two meetings are to be during the promotion to Senior Assistant process and the final two meetings to be prior to the candidate's permanent appointment (continuing appointment tenure) review. The candidate can request additional meetings as needed and required.
- The Committee will provide the candidate with a thorough, candid and confidential review of the file and the candidate's readiness for promotion and/or tenure. To this end, the committee may request an additional readiness interview with the candidate in which all documentation and supporting evidence is reviewed by the group prior to the candidate's submission of his/her file to The Dean and Director of University Libraries or his/her designated representative. Such confidential findings are not to be made part of the candidate's official file.
- The Candidate Advisory Committee may recommend/request that a new

committee be assigned to the candidate or new members be assigned due to retirement, illness, sabbatical, etc. Additionally, candidates for higher rank may also request a new committee be appointed as needed.

*The duties of the Candidate include but are not limited to the following:*

- The candidate, in requesting the initiation of a promotion and/or tenure review, is expected to meet all the requirements of the review process.
- The candidate will respect all schedules, deadlines, appointments as set and agreed upon by the Candidate Advisory Committee and the candidate, and the candidate agrees to provide adequate advanced notice of any changes to such schedules, deadlines and appointments requested of the Candidate Advisory Committee.
- The candidate understands and accepts that the Candidate Advisory Committee advises the candidate in the preparation, organization and content of his/her Biographic File. Any decision made by the candidate regarding his/her file is his/her own and sole responsibility.
- The candidate understands and accepts that the Candidate Advisory Committee is comprised of individual faculty, with his/her own opinion and views, and as such, should hold no expectation of support for his/her file or candidacy beyond the member's role on his/her Advisory Committee.
- The candidate may request that the Dean and Director of University Libraries appoint a new Candidate Advisory Committee.

#### **2.4.2.2 Faculty Mentor for Non-tenured Faculty**

A Faculty Mentor shall be appointed or chosen by the Dean and Director of University Libraries in consultation with the candidate, the candidate's immediate supervisor or relevant assistant/associate director and the Appointment & Promotion Committee at the beginning of the candidate's first year of service as a tenure track faculty member. The Faculty Mentor shall guide and assist the non-tenured faculty member (Jr. Faculty Member) in the preparation of the content of his/her promotion or tenure file as well as the general navigation of the University and University Library systems.

*The duties of the Faculty Mentor shall include but are not limited to the following:*

- The Faculty Mentor shall act as a guide to the organization and procedures of the University Libraries.
- The Faculty Mentor shall review and explain the promotion and/or tenure process to the candidate and to this end direct him/her to the appropriate body to answer any questions that may arise from such consultation.
- The Faculty Mentor shall assist the candidate in their scholarly development, including but not limited to acting as a first reader or editorial consultant.
- The Faculty Mentor shall provide whatever appropriate career guidance the candidate may request.
- The Faculty Mentor shall work to assist the candidate in selecting their Candidate

Advisory Committee.

- The Faculty Mentor may serve as a member of the Candidate's Advisory Committee for Tenure and Promotion if both parties agree to their participation; Candidates and Faculty Mentors are under no obligation to continue working together after the initial mentoring period comes to a close.
- The Faculty Mentor shall act as an advocate for the Candidate when normal Tenure and Promotion processes break down.

### **2.4.3 Biographic File**

2.4.3.1 Each candidate for promotion and/or continuing appointment shall prepare a biographic file that will become part of the Candidacy File. The Biographic File shall include the following sections: BF-1) Education & Experience; BF-2) Personal Statement of Accomplishments & Goals; BF-3) Teaching Activity; BF-4) Professional Participation outside the University; BF-5) Invited Lectures & Papers; BF-6) Publications; BF-7) Honors & Grants; BF-8) Recent Library Service; BF-9) Recent University Service; BF-10) Continuing Growth Activities; BF-11) Additional Relevant Information. See Appendix XV for specific criteria descriptions.

2.4.3.2 The list of publications should be broken down into the following categories: 1) books and monographs; 2) articles (refereed articles should be so indicated); 3) abstracts, book reviews; 4) miscellaneous published material (optional). If a book is edited, then pages of text that have been written by the candidate should be indicated. Abstracts should be so designated. In all instances, authors should be listed as they are on the title page. If the profession follows a special convention for identifying senior authorship, this should be so indicated. See Appendix IV for a detailed example of bibliographic form.

2.4.3.3 Representative copies of the candidate's professional work should be included, along with copies of published reviews and appraisals of the candidate's work.

#### **2.4.3.4 Personal Statement of Accomplishments & Goals (BF-2)**

The candidate will provide a personal narrative statement which reviews and explores the candidate's past accomplishments, current activities and/or contributions which have improved the library, including but not limited to a statement of teaching experience or views on methodology, personal growth or career goals, the development of programmatic or departmental initiatives, research or scholarly interests, technical services initiatives, curriculum development, and activities or materials designed to improve the library or library services.

2.4.3.5 When appropriate, the following material relevant to the candidate's teaching activity should normally be included:

- 1) A list of courses taught since the candidate's last appointment or promotion. This list should indicate the title and number of the course, the enrollment, and the group for which it is intended (e.g., undergraduate majors, non-majors, first-year graduate students, etc.).

2) Such evaluation of the candidate's teaching ability as is available and appropriate.

2.4.3.6 Service contributions should indicate dates of service and roles taken (e.g., member, chair of committee) and should mention any special contribution(s) (e.g., committee report) in the following categories: a) Library service; b) University service; c) professional service outside the University; d) community service.

2.4.3.7 The completed Biographic File with the dated signature of the candidate should be submitted to the Dean and Director of University Libraries.

2.4.3.8 Biographic File addendum. The candidate shall be allowed to add to their Biographical File substantive evidence of fulfilling the criteria for tenure and promotion as outlined within these guidelines while the case is under consideration by the Library Faculty, up and until the Library Faculty vote has been held and the final recommendation(s) have been formulated, so long as those eligible to vote have had an opportunity to review the new contribution(s).

#### **2.4.4. General Evaluative File**

2.4.4.1 The General Evaluative File will contain all supervisory evaluations. These include the reports of the line supervisor as well as the Dean and Director of University Libraries letter summarizing the views and recommendations of the appropriate faculty group, the Dean and Director of University Libraries own letter if this is different from the former. These letters should provide a clear and specific summary of the case while still preserving the confidentiality of solicited opinions. This may be done by referring in the summary letter to "such and such a point raised by Librarian X," or "the statement from Referee Y." A key identifying X and Y by name should be provided for these references and included in the Special Evaluative File, but not seen by the candidate. The General Evaluative File will also contain the report of the Library Appointment and Promotion Committee on the case.

2.4.4.2 When writers of solicited letters have given permission for the candidate to see his/her letters, copies of his/her letters (either as written or with identity of source and authorship removed, as specified by the writer) will be included in the General Evaluative File. The originals will stand in the section of the Special Evaluative File that contains solicited evaluations from outside referees, colleagues and students.

#### **2.4.5 The Special Evaluative File**

2.4.5.1 The Special Evaluative File should contain the written reference evaluations of at least five authorities suggested by the candidate. While it is hoped that some of these evaluations will be from authorities outside the University, this is mandatory only in cases of promotion to the rank of Associate Librarian or above and in cases involving continuing appointment. Each such letter in the file should have attached to it a copy of the letter soliciting it together with a statement identifying the authority and indicating the

relationship, if any, with the candidate if this information is not offered in the letter of reference. These letters should generally not be more than two years old. All letters written in a language other than English should be accompanied by a translation. Anonymous letters may not be included in the file.

*2.4.5.1a* Candidates for promotion to Senior Assistant Librarian require reference evaluations of at least three authorities suggested by the candidate plus their supervisory directors (head and associated director, excluding dean). Evaluations may come from staff/faculty in other library departments, or staff/faculty from other campus departments. Reference evaluations from authorities outside the University are preferred but not mandatory. The letters sent by the Dean and Director of University Libraries to solicit the referees' opinions should be accompanied by the candidate's curriculum vitae as well as by documentation selected by the candidate. The soliciting letter should contain all the substantive points included in the sample below ([Appendix XIII](#)). Biographies of evaluators outside the University should be included in the file whenever possible.

*2.4.5.2a* Candidates for tenure and/or for promotion to Associate Librarian require reference evaluations of at least five authorities outside the University suggested by the candidate, and five evaluations from staff/faculty in other library departments, or staff/faculty from other campus departments in addition to the required supervisory letters plus their supervisory directors (head and associated director, excluding dean). Additionally reference evaluations of three independent outside evaluators are required. The independent evaluations must come from referees outside the University with no personal relationship to the candidate. The names of independent outside referees shall be selected by the Director in consultation with the library faculty's Appointment and Promotion Committee. The referees should hold positions of authority (e.g. director of an academic library or relevant professional organization), or have regional or national recognition in the field. Outside referees should be able to assess the candidate's overall performance. The letters sent by the Director to solicit the referees' opinions should be accompanied by the candidate's curriculum vitae as well as by documentation selected by the candidate. The soliciting letter should contain all the substantive points included in the sample below ([Appendix XIII](#)). Biographies of evaluators outside the University should be included in the file whenever possible.

*2.4.5.2b* Candidates for promotion to Full Librarian require reference evaluations of at least five authorities outside the University suggested by the candidate, and five evaluations from staff/faculty in other library departments, or staff/faculty from other campus departments in addition to the required supervisory letters plus their supervisory directors (head and associated director, excluding dean). Additionally, reference evaluations of three independent outside evaluators are required. These evaluations must come from referees outside the University with no personal relationship to the candidate. The names of outside referees shall be selected by the Dean and Director of University Libraries in consultation with the library faculty's Appointment and Promotion Committee. The referees should hold positions of authority (e.g. director of an academic library or relevant professional organization), or have regional or national recognition in the field. Outside referees should be able to assess the candidate's overall performance. The letters sent by the Dean and Director of University Libraries to solicit the referees'

opinions should be accompanied by the candidate's curriculum vitae as well as by documentation selected by the candidate. The soliciting letter should contain all the substantive points included in the sample below (Appendix XIII). Biographies of evaluators outside the University should be included in the file whenever possible.

The solicitation letters should request the referee:

- a) To include specific evaluation of the candidate's professional achievements, (rather than merely to comment on the general character or promise of the candidate;
- b) To compare the candidate's scholarly or professional contributions with those of others in the candidate's field who are at a comparable career stage;
- c) To indicate whether the candidate may read the letter of evaluation as it stands, whether she/he may read the letter if all identification as to its source is deleted, or whether the candidate may not read the letter.

2.4.5.3 When the candidate has engaged in teaching, research or service in the University, but outside of the University Libraries, letters from those in a position to evaluate these contributions should be included in the Candidacy File.

2.4.5.4 All letters soliciting opinions from outside authorities, all responses received from them, and all solicited letters (those contributed under these procedures) from within the University must be included in the file.

## **2.5 Candidate Evaluation**

2.5.1 An appropriate group of faculty shall be responsible for evaluating and making a recommendation on each candidate for promotion and/or continuing appointment. The appropriate group will vary according to the type of action being considered. If a minimum of five members from within the Stony Brook University Libraries cannot be reached due to lack of members holding the appropriate rank, the Library will solicit members from elsewhere within the University with appropriate rank.

2.5.1a If in a case of continuing appointment or promotion, the candidate's department or program is not large enough to form an appropriate group of three members, such a group will be constituted by the Dean and Director of University Libraries after consultation with the candidate's department chairperson or program director, the candidate, and the Candidate's Advisory Committee.

Promotion: The appropriate group shall consist of all members of the University Libraries Faculty who are of higher rank than the candidate.

Continuing Appointment: The appropriate group shall consist of all members of the University Libraries Faculty with continuing appointment.



Promotion to Full Librarian: The appropriate group shall consist of all members of the University Libraries Faculty who hold the rank of Full Librarian or university equivalent.

2.5.2 If, in a case of continuing appointment, the candidate's department is not large enough to form an appropriate group of library members, such a group will be constituted by the Provost after consultation with the Dean and Director of University Libraries and the candidate. If, in a case of promotion, the appropriate group believes it is too few in number to effectively review a file, an enlarged group will be constituted by the Provost after consultation with the Dean and Director of University Libraries and the candidate, the original appropriate group, and the candidate. When such cases originate in the Health Sciences Library, the Vice President for Health Sciences, rather than the Provost, will be involved.

2.5.2a The appropriate faculty group, The Library Appointment and Promotion Committee, in advance of making its written recommendation, shall have ready access to the completed file and to a copy of these Procedures. The file shall carry on its face the names of all those committee members eligible to consult it, with space provided for their signatures. See Appendix X: Role of the Appointment & Promotion Committee in Assessing Candidate Files.

2.5.2b The appropriate faculty group in advance of making its recommendation shall have ready access to the completed file and to a copy of these Procedures. The file shall carry on its face the names of all those faculty members eligible to consult it, with space provided for their signatures. Each eligible faculty member consulting the file shall sign the cover sheet to indicate that his or her examination of the file has been completed.

2.5.3 The appropriate faculty group, having examined the candidate's file, shall convene to make a recommendation in that case. Individual faculty is strongly urged to expand on their votes by writing letters for the file. Such letters will normally be addressed to the Dean and Director of University Libraries. This may be done either in the case of positive or negative opinions.

2.5.4 Library Faculty members who wish to express their views in writing about a Library decision may do so. These letters will be treated as solicited letters and must be reviewed by the faculty voting in this case. The appropriate faculty group shall have an opportunity to review the letters and shall sign a cover sheet to indicate that they have read the additional material. No Library Faculty member(s) shall be hindered from contributing to a file while a case is under consideration after the Library recommendation has been formulated, so long as those eligible to vote review the contribution.

2.5.5 A list of the appropriate faculty group and their signatures shall be a part of the Special Evaluative File. The Dean and Director of University Libraries supplies a standard cover sheet for this purpose. The cover shall bear the total tally of all the votes as follows: Recommend, Do not recommend or Abstain. The individual ballots and actual voting record shall be attached to the file prior to submission of the file but after all

signatures have been obtained, and shall remain private and confidential.

2.5.6 After the vote has been taken, the Dean and Director of University Libraries shall write a letter stating the motion and providing a balanced summary of the views of the group. At the conclusion of the letter, there shall be a list of those eligible to read it and their signatures indicating that they have seen the document. This letter forms a part of the General Evaluative File and shall be drawn up in accordance with the guidelines specified in section 2.4.4.1. The Dean and Director of University Libraries may submit a separate letter commenting upon the recommendation of University Libraries, which shall be subject to review as stipulated in section 2.5.5. Both the summarizing letter and any additional letter from the Dean and Director of University Libraries form part of the General Evaluative File and shall be drawn up in accordance with the guidelines specified in section 2.4.4.1. Within a week of the vote, the Dean and Director of University Libraries and supervisor will meet with the candidate and inform him or her confidentially of the general outcome of the procedure so far.

2.5.7 The recommendation letter with its summary of Library Faculty views and any additional letter from the Dean and Director of University Libraries shall be considered a draft until reviewed by the Library Dean and Director of University Libraries Office for confidentiality of solicited opinions as indicated in Sec. 2.4.4.1. When a case involves Continuing Appointment, a copy of the Dean and Director of University Libraries letter(s) and letters from other persons serving in a supervisory capacity in a direct line above the candidate shall be made available to the candidate following review and, if necessary, revision to preserve confidentiality of solicited opinions.

## **2.6 Submission to the University Senate's Library Promotion and Tenure Committee, and Operation of the Committee**

2.6.1 It shall be the responsibility of the Dean and Director of University Libraries Office to forward the recommendation letter, together with the completed file to the Chair of the Senate Library Promotion and Tenure Committee (PTC). In all cases except those of promotion to Senior Assistant Librarian, the Dean and Director of University Libraries Office will forward the file to the Committee. Consult Appendix V for a suggested order of the items in the completed personnel file.

2.6.2 The Dean and Director of University Libraries recommendation letter is considered a draft until reviewed for confidentiality of solicited opinions (see section 2.5.7).

2.6.3 March 15 is the deadline for submission of all mandatory tenure (continuing appointment) recommendations. An earlier date, January 1st, is the deadline for non-mandatory recommendations. It is understood, however, that the wide variation in appointment anniversary dates of librarians may require some adjustment of these deadlines. In no case may a file be submitted less than three months prior to the anniversary date.

2.6.4 The rank of all members of the Committee must be at the level of Associate Professor/Associate Librarian or higher except for the one non-tenured Library Faculty

member.

2.6.5 All members of the Committee must hold at least Associate rank with continuing appointment except for the one non-tenured Library Faculty member.

2.6.6 Library Faculty members of the Committee may not be candidates for promotion while members of the Committee.

2.6.7 All members of the Committee are eligible to vote on all cases, regardless of rank, except members of the Committee who are in the candidate's Library (e.g. University Libraries or HS Library).

2.6.8 A quorum is required and consists of a majority of the members eligible to vote on the specific candidacy under consideration.

2.6.9 The Committee will not review cases of promotion to a rank lower than that of Associate Librarian.

2.6.10 There shall be no direct communication whatsoever between any member of the Committee and the candidate concerning his or her case. All communications to and from the Committee shall be in writing.

2.6.11 Where situations not covered by the Procedures specified in this section arise, the University Senate's Library Promotion and Tenure Committee and the Executive Committee of the University Senate, in consultation with the Dean and Director of University Libraries, the Provost, and the candidate, shall devise suitable means to deal with the case. The candidate shall be informed of the new procedures.

### **3. Files for New Appointments**

3.1 Files for new appointments at the senior level (Associate Librarian or Librarian) with or without Continuing Appointment should contain a range of information commensurate with that required for internal cases. At a minimum, they must contain:

- a) A complete, current *curriculum vitae*.
- b) Copies of letters soliciting outside evaluations (see section 2.4.5.1).
- c) Letters from outside authorities evaluating the candidate's professional work and standing in the field (see Section 2.4.5.1).
- d) A letter from the Dean and Director of University Libraries summarizing the case for appointment (see section 2.5.6).
- e) A tally of the votes of all those members of the University Libraries who would normally vote if this were an internal case (those of equal or higher rank, and all tenured faculty if continuing appointment is involved).

### **4. Evaluation by the University Senate's Library Promotion and Tenure**

## **Committee**

4.1 The University Senate's Library Promotion and Tenure Committee will review and evaluate the file. Prior to reaching a decision the Committee may seek additional information. Substantively new information affecting the evaluation of the candidate will be shared with the appropriate Library Faculty and The Dean and Director of University Libraries prior to forwarding a recommendation so that the Dean and Director of University Libraries, in consultation with the appropriate Library Faculty, will have an opportunity to respond. This communication will be in keeping with the principle of confidentiality respecting the sources of that information.

4.2 If a prior recommendation is not likely to be upheld by the Committee, the reasons for such possible action will be summarized in writing and sent to the Dean and Director of University Libraries. The Committee will then request a written response from the Dean and Director of University Libraries within one week. After this communication, the Committee will formulate its formal recommendation, which will follow the procedures outlined at the beginning of this section.

4.3 After completing its deliberations, the Committee forwards the file, together with the Dean and Director of University Libraries recommendation, to the Provost. The Committee will communicate its recommendation to the Provost within 14 days. The Dean and Director of University Libraries will communicate the Committee's recommendation to the candidate.

4.4 Apart from official communications by the Committee Chair, all members of the Committee are expected to maintain strict confidentiality about the deliberations of the Committee.

4.5 In all cases where files have been correctly completed according to the specifications given above and have been submitted by March 15, the Committee's recommendation will be forwarded to the Provost no later than April 30. Files from the Health Sciences Library should be forwarded by the Committee to the Vice President for Health Sciences, who will add his/her own evaluation and forward the file to the Provost.

## **5. Evaluation by the Provost**

5.1 After the Provost formulates a recommendation, he/she will forward it to the President. If the Provost disagrees with, or has questions about, the recommendation of the University Senate's Library Promotion and Tenure Committee, the Provost shall confer with the Committee before formulating a final decision.

5.2 When a case involves continuing appointment, a copy of the Provost's letter of recommendation will be released to the candidate immediately.

5.3 If substantively new information affecting evaluation of the candidate is added to the file after it has been considered by the University Senate's Library Promotion and Tenure

Committee, this information will be communicated to the Committee. If so requested, the appropriate administrative officers will discuss such information with the Committee, which shall have the right to add to the file its subsequent reaction.

5.4 The Provost will notify the candidate that the file is being forwarded to the President and that it is available for review in the Office of the Provost in accordance with Article 31.6 of the UUP Contract.

## **6. Action by the President**

6.1 In cases involving the granting of continuing appointment, the President makes a recommendation to the Chancellor and the Board of Trustees. In all other cases, the President makes the final decision based on the array of previous faculty and administrative recommendations together with the supporting materials in the file.

6.2 When the President disagrees with the Committee recommendation, he or she may consult with the Committee before making the final decision. Such consultation should be carried out as early as possible to ensure a hearing by the full membership of the Committee.

6.3 A copy of the letter announcing the President's decision shall be sent to the University Senate's Library Promotion and Tenure Committee.

## **APPENDICES**

## **Appendix I: Program for Assisting Library Faculty Progress toward Promotion and Continuing Appointment**

### **I. Documents to be supplied to All Library Faculty by the Time of Appointment.**

A memorandum from The Dean and Director of University Libraries encouraging faculty to begin planning progress toward promotion and continuing appointment, with notification of date of mandatory review for continuing appointment (when appropriate), and links to the online postings of the following documents:

Latest Revisions of:

- A. UUP Agreement
- B. Board of Trustees Policies
- C. This document
- D. Library Faculty By-Laws

### **II. Program for Mentoring Library Faculty without Continuing Appointment**

- A. The Committee of three tenured faculties should be set up by the beginning of the candidate's second year as faculty member. The candidate's supervisor should meet with the candidate to discuss names of librarians to be considered as mentors. After this, the Dean and Director of University Libraries, in consultation with the junior faculty member appoints members to the Committee.
- B. It is recommended that the Committee include no more than one faculty member from the junior member's unit.
- C. After a preliminary meeting with the Mentoring Committee, the junior member is expected to present a Biographic File to the Committee. This file may be based upon a file prepared for promotion, if that is available. It should be, insofar as possible, in conformity with the guidelines for Candidacy Files outlined in Appendices IV and V.
- D. The Committee conducts an informal but thorough and confidential review of the junior member's progress toward tenure/promotion.
- E. The Committee, after reviewing the file and seeking additional information from the junior member or others, conducts an interview with the junior member, the purpose of which is to discuss, in detail, the junior member's readiness for tenure/promotion review with respect to the Library's six criteria for continuing appointment and promotion.
- F. The Mentoring Committee will meet with the candidate to discuss the promotion procedure, documentation, criteria, schedule, etc. The Committee reviews the candidate's files and makes recommendations concerning contents, format, etc. The Committee will also advise the candidate on his/her strengths and weaknesses and how they may be addressed.
- G. It is suggested that the Committee meet with the candidate at least twice before the first promotion review to Senior Assistant Librarian, and twice again before the permanent appointment review.

- H. The junior member may request additional meetings with the Committee to ask questions or seek guidance.
- I. The findings of the Committee will be held in confidence and may not be made a part of the official tenure/promotion file.
- J. The junior member, if she/he so chooses, may request that the Dean and Director of University Libraries appoint a new committee for subsequent reviews or consultations.
- K. A tenured member of the Library Faculty seeking promotion to a higher rank may also, at his or her option, request that the Dean and Director of University Libraries appoint a mentoring committee to assist with the candidacy.

### III. Workshops on Promotion and Continuing Appointment

- A. The Library Personnel Officer, in consultation with the Appointment and Promotion Committee, arranges an annual workshop on the promotion and continuing appointment each October.
- B. The workshop is conducted by tenured faculty members appointed by the Appointment and Promotion Committee. Those chosen must be recent and/or current members of the University Senate's Library Promotion and Tenure Committee and the Personnel Officer as information resources.
- C. The workshop is conducted for:
  1. Library Faculty without continuing appointment
  2. Supervisors of faculty without continuing appointment who register for the workshop
  3. Librarians considering promotion candidacies
  4. Other interested Library Faculty
- D. The workshop is not conducted if there are no registrants by a Pre-announced date, after ample notification by the Library Personnel Officer.
- E. Workshop topics:
  1. Criteria for promotion and continuing appointment
  2. Guidelines for compiling candidacies files
  3. Library procedures
  4. Procedures of the University Senate's Library Promotion and Tenure Committee and Provost Office's review
  5. Questions from registrants and his/her supervisors.



## **Appendix II: Sample Announcement of Initiation of a Candidacy for Promotion and/or Continuing Appointment**

To: All Library Faculty Members

From: (Name of the Dean and Director of University Libraries)

Subject: Announcement of Candidacy for (enter appropriate terms) of (name of candidate)

Date:

(Name of candidate) is a candidate for (enter appropriate terms). Any member of the University community, and especially any member of the Library Faculty, is invited to write a letter commenting on this candidacy. Such letters will be made a part of the confidential Evaluative File to be drawn up for this case. Among the factors indicated by the Policies of the Board of Trustees for consideration in promotion and tenure cases are: mastery of subject matter, effectiveness as a librarian, scholarly ability, effectiveness of university and community service, continuing growth, and contributions to enriching the life of the university by correcting discrimination and encouraging diversity.

Under the collective bargaining agreement, your letter will be held in confidence and placed in the confidential section of the file unless you indicate specifically that the candidate may read your letter, either as it stands or with all identification as to its source deleted. If you state that you do not wish it to be read by the candidate, or if you do not explicitly authorize release to the candidate, your letter will be held in confidence and placed in the confidential section of the file.

Exceptions to the policy above are letters from Library Faculty serving in a supervisory capacity in a direct line above the candidate. Such supervisory letters will be placed in the General Evaluative File which is made available to the candidate at the appropriate time.

I would appreciate your providing a statement prior to (enter date). Thank you for your collegial assistance in helping us to reach an informed decision in this matter.

### Appendix III: Sample Letters of Solicitation for Promotion and/or Continuing Appointment

1. To reviewers within the university:

Dear \_\_\_\_\_:

We are considering the promotion of \_\_\_\_\_ from the rank of \_\_\_\_\_ to \_\_\_\_\_ with/without tenure. In order to help us reach a decision we would appreciate your candid assessment of \_\_\_\_\_'s professional achievements and standing in the field of librarianship. Please indicate to what extent you have had occasion to interact personally with the candidate.

For your convenience a current *curriculum vitae* is enclosed, as well as a copy of the criteria for promotion and continuing appointment of librarians. We would appreciate your providing a statement prior to \_\_\_\_\_ concerning \_\_\_\_\_'s mastery of subject matter, effectiveness as a librarian, scholarly ability, effectiveness of university and community service, continuing growth, and/or contributions to enriching the life of the university by correcting discrimination and encouraging diversity.

Under the collective bargaining agreement, your letter will be held in confidence and placed in the confidential section of the file unless you indicate specifically that the candidate may read your letter, either as it stands or with all identification as to its source deleted. If you state that you do not wish it to be read by the candidate, or if you do not explicitly authorize release to the candidate, your letter will be held in confidence and placed in the confidential section of the file.

Thank you for your collegial assistance in helping us to reach an informed decision in this matter. My colleagues and I appreciate the time and care which you devote to this case.

Sincerely,

Dean and Dean and Director of University Libraries

Enc. Curriculum vitae  
Disclosure form

2. To reviewers outside the university

Date Here

Outside Blind Reference

Dear:

\_\_\_\_\_, Senior Assistant Librarian at SUNY Stony Brook, is being considered for promotion to the rank of Associate Librarian with tenure. Because this is such an important step for both the candidate and institution involved, I solicit evaluations from "blind" references, successful individuals in the same field as the candidate who do not have a close relationship with the candidate. I am writing to ask you to be such a blind reference for \_\_\_\_\_.

I do not expect you to comment on the quality of \_\_\_\_\_'s job performance, but I would appreciate your candid and brief overall assessment of his/her record of accomplishment in his/her field as documented in his/her résumé and accompanying samples of their work. Your review will give us an outside, objective opinion on \_\_\_\_\_'s record of accomplishment in academic librarianship.

To the extent possible under current legal principles, the candidate will not have access to your letter of reference unless you give us specific permission, in writing, to provide a copy to her. Such a written statement of permission from you must specify whether the candidate may see your letter in its entirety, as written, or only with all identification of source or authorship deleted.

Thank you for your collegial assistance in helping us to reach an informed decision in this matter. We would appreciate your providing a statement prior to [date here].

My colleagues and I appreciate the time and care which you devote to this case.

Sincerely,

Dean and Director of University Libraries

Enc. Curriculum vitae  
Disclosure form

## **Appendix IV: Sample Bibliography**

### Books

Dees, Pamela Youngdahl. Piano music by women composers. Westport, Conn.: Greenwood Press, 2004. (Music reference collection, no. 86).

Foerstel, Herbert N. Banned in the USA: a reference guide to book censorship in schools and public libraries. Westport, Conn.: Greenwood Press, 2002. 296 p.

Lightner, Richard. Hawaiian history: an annotated bibliography. Westport, Conn.: Praeger, 2004. 280 p. (Bibliographies of the states of the United States, no.11).

### Journal articles

Reynolds, Regina Romano. Cataloging: The Good, the Bad and the Ugly. The Serials Librarian, v. 44, no. 1/2 (2003), pp. 143-53.

Woodard, Beth S. One-on-One Instruction: From the Reference Desk to Online Chat. Reference & User Services Quarterly, v. 44, no. 3 (Spring 2005), pp. 203-9.

### Book Reviews

Hewlett, J. A. Rev. of The Lysenko effect: the politics of science, by Nils Roll-Hansen. (Humanities Books, 2005, 335 p.). Choice Magazine, June 2005: 145.

### Electronic Publications

Postmodern Culture. Ed. Lisa Brawley and James F. English. 2002. 1 Oct. 2002  
<<http://www.iath.virginia.edu/pmc/>>

Hélène Cixous. A Bibliography. Compiled by Eddie Yeghiayan.  
<<http://sun3.lib.uci.edu/~scctr/Wellek/cixous/>>

## **Appendix V: Suggested Order of Material in Files**

I. Biographic File: with copies of publications and *curriculum vitae* of the candidate. If extensive, a representative selection will suffice.

II. General Evaluative File (open to review by candidate at appropriate time):

- A. Notice of announcement of candidacy
- B. Dean and Director of University Libraries summary of views and recommendations of the appropriate faculty group: the authors of solicited opinions will be referred to by symbols X, Y, etc; followed by a list of those faculties eligible to read it and their signatures.
- C. Dean and Director of University Libraries own letter (if different from B.).
- D. The line supervisor's letter (if different from C).
- E. Letters from others in the supervisory chain (e.g. Assistant Director), when present.
- F. Copies of standard form letters sent soliciting the references (without identification of the addressees).
- G. Where appropriate, teaching evaluations in the form of summaries of questionnaire responses, etc., provided the names of respondents, whether faculty or students, are not included.
- H. Published reviews and appraisals of the candidate's publications, contributions and scholarship.
- I. Copies of letters of evaluation whose authors have indicated in writing that the candidate may see his/her letter. If such permission has been given only on condition that all identification as to its source is removed, a purged copy shall be provided here. All the original letters of evaluation shall be placed in the appropriate section of the Special Evaluative File.

III. Special Evaluative File (not open to review by candidate at any time):

- A. Vote of appropriate faculty group (with signatures on sheet or ballots).
- B. Statements regarding the outside reviewers' acquaintance with the candidate, if not offered in the letter of reference, and biographies of the outside reviewers whenever possible.
- C. The key to symbols X, Y, etc., used to refer to the authors of solicited opinions.

- D. Outside letters of evaluation. Letters from individuals suggested by the candidate should be so designated (see Section 2.4.5.1). Put copies of soliciting letters in front of each reference letter.
- E. Solicited letters of evaluation and recommendation from Stony Brook University personnel other than supervisory. Put copies of soliciting letters in front of each reference letter.
- F. Where appropriate, teaching evaluations solicited from faculty or students.

A list of those who may review the file and comment on its contents should be attached to the complete file.

## **Appendix VI: Effectiveness as a Librarian: Major Library Functions**

*A. SELECTION.* Responsibility for the selection of library materials involves active participation in budget preparation and planning, keeping abreast of trends in curriculum development at both the undergraduate and graduate levels, developing an awareness of the research interests of professorial faculty and graduate students, formulating collection development policies and priorities, understanding the campus mission, familiarity with the academic programs of the University, intimate knowledge of the strengths and weaknesses in the Library collections, participation in regional, state, and national resource development programs, and working closely with professorial faculty to meet instructional needs. Selection officers need to have a strong subject background as well as knowledge of national, trade, and subject bibliography. Evidence of effectiveness may include up-to-date collection development policy statements, relevant extracts from evaluations of academic departments, statistical comparisons with standard holdings lists, and other collection measurement and evaluation profiles. Appropriate evaluators include professorial faculty, students, and Library Faculty and staff engaged in interpreting the collection to users, and in some cases, colleagues at peer institutions.

*B. ACQUISITIONS.* Responsibility for the acquisition of library materials in all formats involves the organization and administration of efficient and cost-effective searching, ordering, receiving, claiming, and accounting operations, the administration of State contracts and budgeted allocations, and the provision of timely and accurate fiscal information (encumbrances, expenditures, and balances) to selection officers and Library administrators for decision-making. Acquisitions librarians need to have a thorough understanding of generally accepted techniques of both manual and computer-assisted bibliographic verification, knowledge of the international book trade, familiarity with State purchasing regulations, extensive knowledge of national and trade bibliography, administrative skills, training in the principles of systems analysis and design, and ability to work closely with jobbers, publishers, and systems personnel. Evidence of effectiveness may include the quality of documentation (e.g. flow charts, procedure manuals, and work forms), timeliness and reliability of reporting, fulfillment rates, error rates, turnaround time, and auditors' reports. Appropriate evaluators include professorial and Library Faculty and staff, internal audit, budget, accounting, accounts payable, and purchasing departments, and in some cases, colleagues at peer institutions.

*C. CATALOGING.* Catalog librarians are responsible for the bibliographical organization and control of materials in various formats. The cataloging process involves three separate, but integrated components: (1) Subject analysis, the most intellectual part of cataloging, involves the assignment of a) classification numbers which will bring together related items on the shelf, and b) subject headings which will bring together related items in the catalog. In-depth knowledge of subject terminologies and taxonomies, facility in foreign languages, research in appropriate reference tools, and familiarity with the principles of Library of Congress classification are required. (2) Descriptive cataloging involves the interpretation and application of a uniform cataloging code to describe items in terms of their chief bibliographical and physical characteristics as well as the determination of appropriate "access points" (e.g. author and title headings under which a patron may search in the catalog). Knowledge of the Anglo-American Cataloging Rules

and the cataloging policies and practices of the Library of Congress is required. (3) Authority work involves developing and managing the syndetic structure of the libraries' catalogs. This includes determining the form of an access point under which library users are most likely to search as well as providing cross-references to and from related and alternative headings. Many specialized bibliographical and biographical works and other scholarly reference sources are used to prepare and maintain an authority file.

The catalog librarian's work should result in the provision of effective bibliographic access to the growing collection of research materials within the general framework of the developing library-wide bibliographic infrastructure as well as the emerging regional, state, and national shared cataloging networks. Catalog librarians should be evaluated on (1) proficiency in use of the various systems required by the work; (2) qualitative and quantitative standards; (3) the degree to which logical problem-solving and user-oriented approaches are used in translating cataloging theory into practice; (4) the degree to which useful suggestions are offered regarding policies and planning leading to the effective use of bibliographic records; (5) ability and willingness to share specialized expertise with others; (6) understanding of the specialized principles, functions, techniques, and purposes of cataloging research materials in a great variety of subjects, languages, and formats; (7) demonstrated ability to recognize and resolve cataloging problems, and to initiate and implement cataloging projects; and (8) ability to work effectively with systems personnel. Evidence of effectiveness may include individual and "team cataloging" statistics, procedure manuals, work forms, and implementation memoranda. Appropriate evaluators include catalog and public services librarians, and in some cases, colleagues at peer institutions.

*D. REFERENCE.* Total reference service involves helping patrons find information contained in a variety of formats, and may be performed in person, over the telephone, e-mail, or through chat. Reference librarians seek to help patrons answer questions and develop research skills by teaching them to use library resources and information technology. To promote access to the Library's collections and services, they conduct orientation sessions for new patrons, search computerized databases, and assist patrons in locating regional, state, and national resources. They must also be able to give authoritative presentations to professorial faculty, students, and visitors regarding the Library and its policies. Finally, reference librarians may provide a variety of other services to the general public as required, e.g., training disabled persons to use special library equipment.

Effective reference service requires strong human relations skills, as well as understanding of the various operations and services of the libraries, an ability to integrate and communicate this information to library users, familiarity with the research processes appropriate to the various disciplines, an ability to translate this knowledge into effective service, and a willingness to pursue patron problems to satisfactory solutions. Evidence of effectiveness may include library guides, bibliographies, indices, catalogs, service and/or collection statistics in data base services, bibliographic instruction, interlibrary loan, etc.; descriptions of special projects for the promotion and improvement of service; and acknowledgements in published works. Appropriate evaluators include professorial and Library Faculty and staff, students, and in some cases, colleagues at peer institutions.



*E. LIBRARY INSTRUCTION.* Librarians may compile bibliographies, finding aids, library guides, indexes, catalogs, etc., in various formats. Library instructors actively promote individual and group instruction in work with the academic departments they serve. Chief among his/her teaching responsibilities is course-related bibliographic instruction, which may involve participating with professorial faculty in classroom teaching, offering formal and/or informal courses and seminars in library research methods, teaching courses in the area of a second master's or doctoral degree, participating in independent and/or interdisciplinary studies programs, and working with professorial faculty in designing the library component for course syllabi. Evidence of effectiveness may include active participation in library instruction, positive evaluations from faculty and students, and creation of teaching materials in all formats. Appropriate evaluators include professorial and Library Faculty and staff, students, and in some cases, colleagues at peer institutions.

*F. MANAGEMENT.* Since library services are often labor- and/or capital-intensive, management of personnel and/or other resources is almost always an important factor in evaluating effectiveness. Some administrative jobs consist primarily of management activities or activities in support of the management function, such as personnel, budget, and automation. A manager must be able to articulate goals and objectives and express them in meaningful documentation; establish policies and be effective in their execution; adjust program and procedures as necessary to accommodate changes in user needs, technological developments, and available resources; demonstrate competence in decision-making, planning, coordinating, organizing, and general leadership of a unit; consult in advance with members of the unit when considering major policy changes which affect the supervisory unit; recruit, train, and motivate staff and encourage staff development; treat and evaluate staff impartially and sensitively; delegate authority; assign, schedule and monitor workloads; cooperate and communicate effectively with members of the Library Faculty and Staff, professorial faculty, and students in furthering the objectives and priorities of the Library; and prepare periodic status reports in the form of meaningful statistics and narrative interpretation. Evidence of effectiveness includes training and procedure manuals, flow charts, quantitative measures of productivity, and statistical and narrative reports. Appropriate evaluators include professorial and Library Faculty and staff, students, and colleagues at peer institutions.

*G. DIGITAL CONTENT AND SERVICES MANAGEMENT SKILLS.* The current information environment needs librarians skilled in utilizing and leveraging online information technologies and Web content for the benefit of students, faculty and staff. The responsibility of library faculty who work with these technologies and networked content is to provide online information through clear and powerful Web applications. The skills required include:

- Creating and maintaining a robust website for library services and content;
- Creating and maintaining library user interfaces;
- Creating, maintaining and managing Web applications, i.e. virtual reference and information literacy instruction platforms;
- Utilizing social networking sites for research, and collaborative teaching

- and learning;
- Understanding emerging sites, platforms and devices for networked content and services and articulating their roles in developing library services.

## **Appendix VII: Scholarly Ability Requirements**

### Scholarly Ability Requirements by Academic Rank:

1. Assistant Librarian to Senior Assistant Librarian: The candidate shall be required to provide examples of scholarly ability, including but not limited to the categories as outlined below; the minimum requirement shall be three examples of scholarly ability. The submitted works are not required to undergo any peer-review process.
2. Senior Assistant Librarian to Associate Librarian: The candidate shall be required to provide examples of scholarly ability, including but not limited to the categories as outlined below; the minimum requirement shall be three examples of scholarly ability. The above three (minimum) examples must be from peer reviewed publications
3. Associate Librarian to Full Librarian: The candidate shall be required to provide examples of significant achievement since his/her promotion to Associate Librarian in both areas of scholarly ability, including but not limited to the categories as outlined below; the submitted works are required to undergo a peer-review process.

## **Appendix VIII: Guidelines for Application of Criteria for Promotion to Specific Ranks**

### **General**

The role of the Library Faculty is to strengthen and enhance the teaching, research, and service functions of the university. Librarians select, acquire, organize, retrieve, preserve, and provide access to recorded knowledge; they also teach, publish, conduct research, and contribute to the advancement of the profession.

It is generally understood in a research university that production of new knowledge is the paramount criterion for promotion and continuing appointment even though this is not explicitly stated. The application of criteria for librarians cannot and should not share this emphasis. The library faculty supports the professorial faculty in this production of new knowledge through its functions of selecting, acquiring, organizing, and retrieving recorded knowledge. In many cases, it is more appropriate and even crucial that a librarian contributes to the improvement of the practice of academic librarianship rather than produce new knowledge. Therefore, most library faculty should demonstrate professional ability and contributions to the profession rather than be expected to exhibit a body of research.

### **Senior Assistant Librarian**

It is of major importance that candidates for promotion to Senior Assistant Librarian demonstrate effectiveness as judged by colleagues and users of services. Of lesser importance, candidates should demonstrate progress towards making substantial achievements in at least one of the following areas: scholarly ability or effectiveness of university and community service.

### **Associate Librarian**

It is of major importance that candidates for Associate Librarian have achieved a high level of effectiveness as librarians, contributing substantially to the area of specialization within the university libraries and showing initiative beyond assigned responsibilities. Also of major importance, candidates should demonstrate substantial scholarly ability and effectiveness of university and community service.

Candidates should also show evidence of some participation in activities that meet all the criteria in section 1.1.

### **Librarian**

It is of major importance that candidates for Librarian have achieved a superior level of effectiveness as librarians, making contributions which have a recognizable impact on the services and operations of the university libraries as well as distinguished contributions to the profession.

Candidates should also show evidence of participation in activities that meet all the criteria in section 1.1.

### **Appendix IX: Guidelines for Application of Criteria for Continuing Appointments**

To qualify for continuing appointment, candidates should normally meet the criteria for promotion to Associate Librarian or higher, e.g. a high level of effectiveness as a librarian; substantial achievements in either scholarly ability or effectiveness of university and community service; and some participation in activities that meet all the criteria. In addition, it is of major importance that candidates show evidence that these achievements are ongoing and will continue.

## **Appendix X: Role of the Appointment & Promotion Committee in Assessing Candidate Files**

The University Libraries Appointment & Promotion Committee (West Campus Libraries) or in the case of the Health Sciences Library, a similar faculty group, shall have ready access to the candidate's completed Biographic File, Special Evaluative or General Evaluative File (if deemed necessary by the committee) and a copy of these Procedures.

The group to be comprised of all elected or appointed members of the faculty group, including but not limited to: the full faculty members and non-tenured faculty representative, who shall have voice, vote and access to all required documentation. All members have equal voice and vote. In the event of a tied or split vote, the chair shall cast the deciding vote.

The group shall act on behalf of the faculty and campus community, shall review the completed file and corresponding paperwork. In conducting the review, the committee shall review the file and determine if the candidate has successfully met all the criteria for promotion and/or continuing appointment. After completion of the review, the committee will in a timely fashion forward in writing a recommendation containing their findings to the Dean and Dean and Director of University Libraries; the written recommendation shall carry on its face the names (printed names or actual signatures are acceptable) of all those faculty eligible to consult it.

In the case of an inconclusive finding related to identified weaknesses in the candidate's file or exigent circumstances that may arise, the Appointment and Promotion Committee may recommend to the candidate that they withdraw his/her file from consideration by the larger faculty and address found weaknesses, and to then resubmit the file; the candidate shall have ten days to re-submit or withdraw the file completely for later submission in the intervening, following year. In such cases, the A&P committee shall hold its recommendation for ten days at the end of which time the candidate's revision is received for their review, or formal withdrawal of the file for later submission is made in writing to the Library Administration. Under such circumstances, Dean and Director of University Libraries, and the candidate's supervisor may/shall discuss the available options with the candidate; the candidate is under no obligation to adhere to or make any recommended changes to the file. In such cases, the A&P committee shall forward its recommendation immediately to the Dean and Director of University Libraries.

## **Appendix XI: Important Dates Relating to Appointments, Evaluations, Renewals and Promotions**

The following section includes memoranda and charts generated from past Library Faculty meeting (West Campus Libraries) and shall act as a reference guide to candidates; candidates within the Health Sciences Library faculty may choose to disregard this section.

### **1. Faculty Memoranda**

TO: LIBRARY FACULTY  
FROM: COMMITTEE ON APPOINTMENT AND PROMOTION  
DATE: DEC. 14, 2006

#### **Important Dates Relating to Appointments, Evaluations, Renewals, Promotions, etc.**

**Librarian's starting date:** stated in letter of appointment received from the Provost.

**First Term:** Usually, the first year. End of the complete first term is the starting date, plus one year, minus one day. Example: starting date of 1/15/07/. End of first term = 1/14/08.

**Notification of non-renewal during first term:** Must be made in writing to librarian no later than three (3) months prior to the end of the first term. (University Board of Trustees Policies). Example: starting date of 1/15/07. Librarian must receive notification in writing no later than 10/14/07.

The librarians' supervisor is responsible for initiating the evaluation/non-renewal process approximately two months in advance of required written notification of non-renewal (e.g. five months prior to the end of the librarian's initial term appointment. In our example, this would be a date of about 8/01/07). The supervisor simultaneously advises the Dean and Director of University Libraries and appropriate Assistant or Associate Director that this action is being taken.

[The Library is required to inform the Provost's Office of a non-renewal decision four months before the end of the librarian's first term (in our example: 9/14/07)]

**Notification of renewal during first term:** The Assistant Director for Administrative Services initiates, in writing, the evaluation and renewal process by contacting the appointee, the appointee's supervisor, and the appropriate Assistant or Associate Director no later than eight weeks prior to the end date of the appointee's first term (in our example: 11/14/07). The appointee should be advised of his/her new appointment by the last day of the first term (e.g., 1/14/2008).

**Notification of non-renewal during the 2<sup>nd</sup> and 3<sup>rd</sup> terms:** The second and third term appointments for librarians are, each, typically of two year's duration. (After a librarian's 3<sup>r</sup> term, 5 years of service will have been completed.) The Board of Trustees Policies and the union contract state that an appointee who has been employed for longer than two years must be informed of a non-renewal decision no later than 12 months prior to his/her current term's end date. The appointee's supervisor is responsible for initiating the non-renewal procedure

which should probably begin no later than 14 months prior to the appointee's current term's end date, if the process is to be conducted in a timely manner (e.g. 11/01/08 (2<sup>nd</sup> term) and 11/01/10 (3<sup>rd</sup> term))

**Notification of renewal during 2<sup>nd</sup> and 3<sup>rd</sup> terms:** As with notification during the first term, the procedure should begin no later than two months prior to the appointee's current term's end date, and be initiated by a written communication from the Library's Assistant Director for Administrative Services to the appointee, the appointee's supervisor, and the appropriate AD (in our example: by 11/14/09 in the second term and 11/14/11 in the third). Notification of renewal and a new term appointment should be made by the end of the appointee's current term (e.g. 1/14/2010 or 2/14/2012).

**Continuing Appointment process dates:** According to the Policies of the Board of Trustees, employment beyond the end of an appointee's seventh year of service can only occur if the appointee has been granted continuing appointment (tenure).

In the case of a librarian starting employment on January 15, 2007, the end of the seventh year would fall on January 14, 2014.

The candidate for promotion and continuing appointment, according to the policies, must be informed, no later than one year prior to his/her 7<sup>th</sup> year anniversary date, if continuing appointment has been granted. In our example, the date of notification (at the latest) would be January 14, 2013.

Review of the candidate's promotion and tenure file typically occurs during the candidate's sixth year of uninterrupted full time service to the university.\* In our example, the candidate's promotion process would occur sometime during the period January 15, 2012 to January 14, 2013, unless the candidate has elected to submit his/her file earlier. Near the end of the candidate's fifth year of service or shortly thereafter, the Dean and Director of University Libraries initiates the continuing appointment process with a letter to the candidate that gives the guidelines and date for submitting the candidacy file. In our example, this letter would be received by about January 15, 2012. However, the appointee can elect to submit his/her promotion and continuing appointment file before receiving the initiating communication from the Dean and Director of University Libraries or Health Sciences Library Director.

[Once the candidate submits the file to the Dean and Director of University Libraries, the evaluation process typically takes between nine months and one year. The A&P Committee suggests that the candidate begin completion of the file early in the fifth year so that it will be ready for submission late in the fifth or early in the sixth year of service]

\* Appointees may ask Human Resource Services to calculate his/her tenure review start date at any time. This may be especially helpful to those whose careers here have been punctuated with leaves or part time appointments.



### SAMPLE TIMELINES FOR LIBRARY FACULTY

Term I, Year 1			Term II, Years 2 and 3			Term III, Years 4 and 5		
Starting Date, e.g., 1/15/2007			Second term begins, e.g.,			Third Term begins, e.g., 1/15/10		
Mo. 1 ends		2/14/2007	Mo.1		2/14/2008	Mo. 1 ends		2/14/2010
Mo. 2 "		3/14/2007	Mo. 2 "		3/14/2008	Mo. 2		3/14/2010
Mo. 3 "		4/14/2007	Mo. 3 "		4/14/2008	Mo. 3		4/14/2010
Mo. 4 "		5/14/2007	Mo. 4 "		5/14/2008	Mo. 4		5/14/2010
Mo. 5 "		6/14/2007	Mo. 5 "		6/14/2008	Mo. 5		6/14/2010
Mo. 6 "		7/14/2007	Mo. 6 "		7/14/2008	Mo. 6		7/14/2010
Mo. 7 "	1	<b>8/1/2007</b>	Mo. 7 "		8/14/2008	Mo. 7		8/14/2010
Mo. 8 "	2	<b>9/14/2007</b>	Mo. 8 "		9/14/2008	Mo. 8 "		9/14/2010
Mo. 9 "	3	<b>10/14/200</b>	Mo. 9 "		10/14/200	Mo. 9 "		10/14/2010
Mo. 10 "	4	<b>11/14/200</b>	Mo. 10 "	6	<b>11/1/2008</b>	Mo. 10	11	<b>11/1/2010</b>
Mo. 11 "		12/14/200	Mo. 11 "	7	<b>12/14/200</b>	Mo. 11	12	<b>12/14/2010</b>
Mo. 12 "	5	<b>1/14/2008</b>	Mo. 12 "	8	<b>1/14/2009</b>	Mo. 12	13	<b>1/14/2011</b>
			Mo. 13 "		2/14/2009	Mo. 13		2/14/2011
			Mo. 14 "		3/14/2009	Mo. 14		3/14/2011
			Mo. 15 "		4/14/2009	Mo. 15		4/14/2011
			Mo. 16 "		5/14/2009	Mo. 16		5/14/2011
			Mo. 17 "		6/14/2009	Mo. 17		6/14/2011
			Mo. 18 "		7/14/2009	Mo. 18		7/14/2011
			Mo. 19 "		8/14/2009	Mo. 19		8/14/2011
			Mo. 20 "		9/14/2009	Mo. 20		9/14/2011
			Mo. 21 "		10/14/200	Mo. 21		10/14/2011
			Mo. 22 "	9	<b>11/14/200</b>	Mo. 22	1	<b>11/14/2011</b>
			Mo. 23 "		12/14/200	Mo. 23		12/14/2011
			Mo. 24 "	1	<b>1/14/2010</b>	Mo. 24	15,16	<b>1/14/2012</b>

1. If non-renewal is being considered, supervisor initiates process here. Supervisor informs Dir. Office and appointee.
2. Dir. Office is required to notify Provost's Office no later than here, if non-renewal is decided.
3. In case of non-renewal, appointee must be notified no later than here.
4. In case of renewal, process should start here with Dir. Office initiating by notifying appointee, supervisor, and AD to begin.
5. First year and term ends. Formal renewal notification should be received by appointee.
6. If non-renewal is being considered, supervisor initiates process here. Supervisor informs Dir. Office and appointee.
7. Dir. Office is required to notify Provost's Office no later than here, if non-renewal is decided during 2nd term.
8. In case of non-renewal during 2nd term, appointee must be notified no later than here.
9. In case of renewal, process should start here with Dir. Office initiating by notifying appointee, supervisor, and AD to begin.
10. Second term ends. Formal renewal notification should be received by appointee.
11. If non-renewal is being considered, supervisor initiates process here. Supervisor informs Dir. Office and appointee.
12. Dir. Office is required to notify Provost's Office no later than here, if non-renewal is decided during 3rd term.
13. In case of non-renewal during 3rd term, appointee must be notified no later than here.
14. In case of appointee renewal, process should start here. Dir. Office notifies supervisor at this time.
15. Third term ends. Formal renewal notification should be received by appointee.

16. Appointee can expect notice from the Dean and Director of University Libraries to begin tenure review process within three months of this date. Appointee can submit tenure biographical file before official notice, however.

**Your Timeline Chart (A&P Sample, 12/14/06)**

Term 1, Year 1	Dates	Term II, Years 2 & 3	Dates	Term III, Years 4&5	Dates
Your starting date:		Second term begins		Third term begins	
Mo. 1 ends		Mo.1		Mo. 1 ends	
Mo. 2 "		Mo. 2 "		Mo. 2	
Mo. 3 "		Mo. 3 "		Mo. 3	
Mo. 4 "		Mo. 4 "		Mo. 4	
Mo. 5 "		Mo. 5 "		Mo. 5 "	
Mo. 6 "		Mo. 6 "		Mo. 6 "	
Mo. 7 "	1	Mo. 7 "		Mo. 7 "	
Mo. 8 "	2	Mo. 8 "		Mo. 8 "	
Mo. 9 "	3	Mo. 9 "		Mo. 9 "	
Mo. 10 "	4	Mo. 10 "	6	Mo. 10	11
Mo. 11 "		Mo. 11 "	7	Mo. 11	1
Mo. 12 "	5	Mo. 12 "	8	Mo. 12	1
		Mo. 13 "		Mo. 13	
		Mo. 14 "		Mo. 14	
		Mo. 15 "		Mo. 15	
		Mo. 16 "		Mo. 16	
		Mo. 17 "		Mo. 17	
		Mo. 18 "		Mo. 18	
		Mo. 19 "		Mo. 19	
		Mo. 20 "		Mo. 20	
		Mo. 21 "		Mo. 21	
		Mo. 22 "	9	Mo. 22	1
		Mo. 23 "		Mo. 23	
		Mo. 24 "	1	Mo. 24	15,16

1. If non-renewal is being considered, supervisor initiates process here. Supervisor informs Dir. Office and appointee.
2. Dir. Office is required to notify Provost's Office no later than here, if non-renewal is decided.
3. In case of non-renewal, appointee must be notified no later than here.
4. In case of renewal, process should start here with Dir. Office initiating by notifying appointee, supervisor, and AD to begin.
5. First year and term ends. Formal renewal notification should be received by appointee.
6. If non-renewal is being considered, supervisor initiates process here. Supervisor informs Dir. Office and appointee.
7. Dir. Office is required to notify Provost's Office no later than here, if non-renewal is decided during 2nd term.
8. In case of non-renewal during 2nd term, appointee must be notified no later than here.
9. In case of renewal, process should start here with Dir. Office initiating by notifying appointee, supervisor, and AD to begin.
10. Second term ends. Formal renewal notification should be received by appointee.
11. If non-renewal is being considered, supervisor initiates process here. Supervisor informs Dir. Office and appointee.
12. Dir. Office is required to notify Provost's Office no later than here, if non-renewal is decided during 3rd term.
13. In case of non-renewal during 3rd term, appointee must be notified no later than here.
14. In case of appointee renewal, process should start here. Dir. Office notifies supervisor at this time.

15. Third term ends. Formal renewal notification should be received by appointee.
16. Appointee can expect notice from the Dean and Director of University Libraries to begin tenure review process within three months of this date. Appointee can submit tenure biographical file before official notice, however.

## **2. Suggested Timeline for Processing a Promotion File**

### **Week 1.**

Candidate submits file to Dean and Director of University Libraries 's Office.

### **Week 1 or 2.**

Candidacy is announced to Library Faculty by Dean and Director of University Libraries 's Office. Library Faculty is invited to write letters for the candidate and submit within one month. Dean and Director of University Libraries 's Office also invites referees chosen by candidate to write letters within one month.

### **Weeks 3-6.**

Letters are being received.

### **Week 7-9.**

Dean and Director of University Libraries 's Office adds letters to candidates file and invites faculty who will be considering the candidate for continuing appointment to read the file within two weeks. The date of the candidate's review meeting is also announced.

### **Week 9 or 10.**

Faculty review meeting is held.

### **Week 9 or 10.**

Dean and Director of University Libraries writes meeting summary letter. Dean and Director of University Libraries 's Office asks faculty who attended meeting to sign off within one week. Dean and Director of University Libraries writes a separate evaluative letter that faculty must sign as well.

### **Weeks 11 and 12.**

File is finalized and prepared for sending to the Provost's Office for their technical review before it is sent to the Library PTC for its review.

**NOTE:** If letters from referees are late (e.g. not all received by the 6th week of the process) another two weeks may have to be added to this suggested calendar while receipt is awaited.

## **Appendix XII: Criteria for Promotion and Continuing Appointment of Library Faculty**

The library faculty shares the University's goals and contributes to the fulfillment of the campus mission in the areas of instruction, research, and service. However, librarians' contributions differ in nature and emphasis from those of professorial faculty. The criteria for promotion and continuing appointment outlined below are designed to recognize that librarians constitute a subgroup within the University faculty.

### **I. Mastery of Subject Matter**

The basic credential is a Master's Degree in library or information science from an American Library Association-accredited program. Appropriate supplementary evidence might include additional earned degrees, certificates of advanced and/or specialized training, and language or subject expertise commensurate with a particular position description. For example, branch librarians normally need to have a strong subject background (e.g., biology, music) and catalog librarians working with foreign area studies materials must have the appropriate language proficiency.

### **II. Effectiveness as a Librarian**

The concept of effectiveness as a librarian comprehends a wide variety of individual abilities and achievements. In order to be effective, the Library faculty as a whole must successfully develop, organize, manage, interpret, and promote access to a full range of library services and resources. Although every librarian must be able to demonstrate a general appreciation and understanding of all of the above, expectations of individual effectiveness may vary depending upon functional specialization within the libraries. Many job descriptions combine activities from more than one functional category, e.g., a government documents librarian may exercise selection, acquisition, cataloging, reference, and management responsibilities. In this context, it is important to note that some librarians may have opportunities for direct contact with students and professorial faculty, while others, most notably catalog librarians, may interact exclusively with library faculty colleagues and/or counterparts at other institutions. In such cases, internal letters commenting on effectiveness may be appropriate substitutes for external letters from library users.

### **III. Scholarly Ability**

In the traditional academic setting, scholarly ability is usually evidenced by refereed published research, which increases the body of knowledge in a given discipline. In the field of librarianship, traditional modes of scholarship are most commonly exemplified by library school faculty who hold Ph.D.'s and whose work situations closely parallel that of professorial faculty in other disciplines. Although "practicing" librarians normally have limited opportunities to engage in pure research, primarily because such activity is not usually a logical outgrowth nor an integral part of his/her assigned responsibilities, they can and do make significant scholarly contributions to librarianship through participation in the work of professional associations at the local, state, and national levels, the presentation of papers (e.g. the results of applied research) at professional conferences, appointment as a consultant, and a wide variety of scholarly publications including bibliographies, indexes, technical reports, thesauri, book reviews, catalogs, union lists, etc. It is essential that every librarian participate actively in at least one aspect of the broad range of individual and collegial achievements that constitute contribution to the profession. The growth of the profession depends upon librarians with "on-the-job" experience who can articulate needs and devise solutions to problems and thereby influence the future direction of librarianship and information science. A librarian who is involved in solving the problems of the profession brings to his or her assigned library tasks breadth of vision, awareness of state-of-the-art practices at peer institutions, knowledge of current concepts of

information service, and understanding of the process of change.

It is important to recognize that different expressions of scholarly activity may be appropriate to different librarians' specialties, e.g., a librarian involved in the selection of materials is more likely to write book reviews and prepare bibliographies than a catalog librarian who is more likely to organize a training program or be a member of a committee trying to improve national cataloging rules. Since quantitative limitations are imposed by the nature of a librarian's professional obligations, (e.g. a 12-month year consisting of structured work days spent largely on assigned in-house library tasks,) evaluation should be primarily qualitative.

#### **IV. Effectiveness of University and Community Service**

This criterion may be demonstrated by such activities as successful committee work, participation in departmental and university governance, special university administrative assignments and tasks, involvement with campus groups, work with students or community beyond the formal librarian-patron relationships, offices held in scholarly or professional organizations, refereeing proposals, local community services, etc. Appropriate evaluators include chairpersons of committees or other appropriate community or organization leaders.

#### **V. Continuing Growth**

This criterion may be demonstrated by such activities as attendance at continuing education courses, professional or scholarly meetings, workshops, institutes, training programs; in-depth analyses of other libraries; internships; development of professionally related skills; formal or informal course work; and advanced degrees.

#### **VI. Contributions to Enriching the Life of the University by Correcting Discrimination and Encouraging Diversity**

This criterion may be demonstrated by significant research in line with the emerging scholarship concerning the conditions of life of women and minorities; teaching; and/or university service. A candidate's effectiveness in this regard will be judged where appropriate by accepting a diverse range of publications and vehicles for service, which address the special needs and interests of minorities and women in their efforts to obtain equal opportunity.

### **Appendix XIII: Reference Letter Guidelines by Specific Rank**

Assistant to Senior Assistant Librarian: three reference letters; evaluations may come from staff and/or faculty in other library departments, or staff/faculty from other campus departments, plus supervisor (head and associated director, excluding dean) letters.

Senior Assistant to Associate Librarian: ten reference letters; evaluations of at least five authorities outside the University suggested by the candidate, and ~~three~~ five evaluations from staff/faculty in other library departments, or staff/faculty from other campus departments in addition to the required supervisory letters, plus three outside evaluators letters chosen by the Library Administration in consultation with the Library Appointment & Promotion Committee.

Associate to Full Librarian: ten reference letter; evaluations of at least five authorities outside the University suggested by the candidate, and five evaluations from staff/faculty in other library departments, or staff/faculty from other campus departments in addition to the required supervisory letters, 3 three outside evaluators letters chosen by the Library Administration in consultation with the Library Appointment & Promotion Committee.

## Appendix XIV: Biographic File Guidelines

The following sections should be part of both the candidate's Biographic Files (all candidates for Senior Assistant and Associate Librarian); referred to from section 2.4.

University Senate Committee on Library Personnel Policy

### Biographic File

Using a loose-leaf notebook, supply the following information, creating a separate section for each category listed below that applies to you. Label each section BF1, BF2, etc. (*BF-Biographic File*).

*BF-1 Education and Experience.*

- a. Education. List institutions attended, dates attended, degrees, dates of degrees, field of study, and thesis topics.
- b. Experience as a Librarian. List institutions, title/rank and dates.
- c. Other Professional Experience. Include dates.

*BF-2 Personal Statement of Accomplishments & Goals (BF-2), Revised March 2009.* Provide a description of aims, methods and activities as a member of the University library system. Discuss any activities or materials designed to improve the library program. Attach sample materials of interest (manuals, handbooks, bibliographies, reports, etc.).

*BF-3 Teaching Activity.* For each course taught or participated in, provide title and number of course, enrollment, and level of group for which it is/was intended. Attach sample instructional materials of interest. Describe your teaching aims and methods.

*BF-4 Professional Participation outside the University.* Supply evidence (e.g. committee reports, description of activities in newsletters and journals). Describe your specific participation in detail.

*BF-5 Invited Lectures and Papers.* Include representative copies, reviews and appraisals.

*BF-6 Publications.* Use the procedures described in Section 2.4.3.2 of this document. Include representative copies, reviews and appraisals. For works in press, supply evidence of acceptance.

*BF-7 Honors and Grants Received.* Supply letters of award if relevant.

*BF-8 Recent Library Service.* Describe your specific participation in detail. Supply evidence of achievements (e.g. committee reports).



*BF-9 Recent University Service.* Describe your specific participation in detail. Supply evidence of achievements (e.g. committee reports).

*BF-10 Continuing Growth Activities.* (Course work, attendance at workshops, professional meetings, institutes, etc.)

*BF-11 Additional Relevant Information.*

See: Document SUSB 3032-2 F151 [6-8]

## **Appendix XV: Biographic File Examples by Section**

The categories are for illustrative purposes only, and are subject to change as developments within scholarly research and associated technologies evolve.

### *BF-1 Education and Experience.*

Evidence: Evidence of education and experience to be included in the Biographic file may take the form of:

- Education. List institutions attended, dates attended, degrees, dates of degrees, fields of study, and thesis topics.
- Experience as a Librarian. List institutions, title/rank and dates.
- Other Professional Experience. Include dates.

### *BF-2 Personal Statement of Accomplishments & Goals (BF-2), Revised March 2009.*

Activities may include,

- Provide a description of aims, methods and activities as a member of the University library system.

Evidence: Evidence of personal statement of accomplishments and goals to be included in the Biographic file may take the form of:

- Sample materials of interest (manuals, handbooks, bibliographies, reports, etc.).

### *BF-3 Teaching Activity.*

Activities may include, but are not limited to:

- Planning, organizing and presenting lectures, workshops, and other programs for the University and non-University communities.
- Planning, organizing and conducting internships, independent study and related educational offerings.
- Curriculum development.
- General classroom or online instruction.

Evidence: Evidence of teaching activity to be included in the Biographic file may take the form of:

- Descriptions and reviews of activities in newsletters, minutes of meetings, etc.
- Documents produced during teaching activities.
- Copies of representative work, i.e. syllabi.

### *BF-4 Professional Participation outside the University.*

Activities may include, but are not limited to:

- Significant participation (other than membership) in professional or scholarly organizations on the local, state or national level.
- Committee chair or significant committee participation in professional or scholarly organizations on the local, state or national level.

- Documentable achievements at or in professional or scholarly organizations on the local, state or national level, including contributions at conferences (papers presented, panel participation, chairing meetings, sessions, planning, etc.).
- Authorship of regular newsletter articles or columns for professional organization.
- Publication of book or media reviews.
- Editing a newsletter.
- Creating, editing, or maintaining organizational websites/web blogs, etc.
- Consultations for professional, private or scholarly organizations on the local, state or national level.
- Fellowships/internships/exchange programs.
- Participation in grant-related activities.
- Planning and organizing lectures, workshops, and other programs for the University and non-University communities.
- Moderating electronic discussion groups.

Evidence: Evidence of professional participation activity to be included in the Biographic file may take the form of:

- Descriptions and reviews of activities in newsletters, minutes of meetings, etc.
- Reports or other documents produced by committees or listing candidate participation.
- Copies of representative work.

#### *BF-5 Invited Lectures and Papers*

Activities may include, but are not limited to:

- Organizing workshops, institutes or similar meetings or conferences.
- Presenting at workshops, institutes or similar meetings or conferences.
- Consulting.
- Serving as referee or member of a team of experts, review committee or similar body.

Evidence: Evidence of invited lectures and papers to be included in the Biographic file may take the form of:

- Programs.
- Published descriptions and reviews of activity in newsletters, journals, etc.
- Letters of invitation or appointment.
- Mention of activity in newsletters, etc.
- Letters of thanks or acknowledgement.
- Copies of papers or presentations.

#### *BF-6 Publications Samples*

##### *Publishing Activity*

Activities may include, but are not limited to the following:

##### *Examples of Peer-Reviewed works:*

- Books.
- Chapters in books.
- Articles.

- Conference papers presented and published.
- Bibliographies.

*Examples of Non-Peer-Reviewed works:*

- Editing of articles, journals, books, conference papers, databases.
- Audiovisual productions: audio productions, video productions
- Research aids such as indexes, thesauri, catalogs, union lists and LibGuides.
- Significant aggregations of shared bibliographic records.
- Media reviews and book reviews.
- Scholarly exhibits (physical and/or virtual).
- Reports.
- Finding Aids Media reviews and book reviews.
- Scholarly exhibits (physical and/or virtual).

Evidence: Evidence of publishing activity to be included in the Biographic file may take the form of:

- Annotated Bibliographic list of publications.
- Evidence of works not yet published.
- Copies of representative published work along with copies of published reviews and appraisals of the candidates work.

*BF-7 Honors and Grants Received.*

Activities may include, but are not limited to:

- Receiving grants.
- Fellowships.
- Awards.
- Honors.

Evidence: Evidence of scholarly honors or grants activity to be included in the Biographic file may take the form of:

- Letters of award.
- Fellowship descriptions, invitations, etc.
- Award descriptions, invitations, etc.

*BF-8 Recent Library Service.*

Activities may include, but are not limited to “In house” achievements that contribute to the profession or the local community or region.

Evidence: Evidence of recent library service to be included in the Biographic file may take the form of:

- Reports.
- Handbooks.
- Bibliographies.
- Manuals.
- Course designs and similar items if they present new ideas, or incorporate research and/or are recognized by other libraries.

*BF-9 Recent University Service.*

- Committee chair or significant committee participation in professional or scholarly organizations on the local, state or national level.
- Documentable achievements at or in professional or scholarly organizations on the local, state or national level.
- Significant participation (other than membership) in professional or scholarly organizations on the local, state or national level.
- Participation in University Senate committee(s)
- Consultations for professional, private or scholarly organizations on the local, state or national level.
- Planning and organizing lectures, workshops, and other programs for the University and non-University communities.

Evidence: Evidence of recent university service activity to be included in the Biographic file may take the form of:

- Descriptions and reviews of activities in newsletters, minutes of meetings, etc.
- Reports or other documents produced by committees or listing candidate participation.
- Copies of representative work.

*BF-10 Continuing Growth Activities.*

Activities may include, but are not limited to:

- Attending workshops, institutes or similar meetings or conferences, or related course work.
- Presenting at workshops, institutes or similar meetings or conferences.
- Consulting.

Evidence: Evidence of continuing growth activity to be included in the Biographic file may take the form of:

- Descriptions and reviews of activities in newsletters, minutes of meetings, etc.
- Reports or other documents produced by committees or listing candidate participation.
- Course work
- Attendance at workshops
- Professional meetings
- Institutes, etc.

*BF-11 Additional Relevant Information.*

- Note: The candidate should consult with their Candidate Advisory Committee before placing relevant information in this section.

## **Appendix XVI: Biographic File Formatting**

The candidate Biographic File for promotion and/or tenure shall be comprised of the following sections:

- 1) Exterior file cover title, to include: name of the candidate, candidate's current academic title, title of academic title or promotional title being applied for and submission date.
- 2) Title page, to include: name of the candidate, candidate's current academic title, title of academic title or promotional title being applied for and submission date.
- 3) Table of contents, to include itemized listing of the Biographic File (BF) sections as outlined in Appendix XV. Each section should be clearly marked using tabbed or appropriate section dividers.
- 4) Biographic File Sections, to include titles pages which state the name of the section. Each biographic section should contain narrative explanations of accomplishments and contain appropriate sample(s) work in support.

The Biographic File may be presented using a standard 1 inch to 4 inch three-ring binder (dependent upon sample contents). All binders should contain top-loading, clear plastic pockets for title information and lockable rings; the candidate should submit two copies of the biographic file and retain a third for his/her own personal use. Although not required, the three-ring binder has become standard practice. This does not preclude candidates from using alternate format presentations, including but not limited to comb bound, spiral bound and electronic formats.

Special Note: The candidate should also present his/her files in electronic format; files which are submitted in electronic format must contain clearly marked section bookmarks and must be reproducible in print format for inclusion in university personnel files. Each file may contain scanned images, embedded audio, video and textual samples of work. All attachments must be embedded into the file, and presented in PDF format with accompanying disc containing a back up of all images, audio, video and text samples.

## Appendix XVII: Voting Procedures

### Section 2.5 Procedural Steps:

- The appropriate faculty group, having examined the candidate's file, shall convene to make a recommendation in that case.
- The Dean and Director of University Libraries (depending upon the body) shall act as the objective, third party convener of the faculty meeting, or may elect a separate party from the faculty to act on his/her behalf during the meeting with the body's approval.
- At the beginning of the meeting the convener shall review why the body has been called together and may review the appropriate promotion or tenure criteria prior to the discussion commencement.
- The Dean and Director of University Libraries (depending upon the body) shall act as the session recorder, or may elect a separate party from the faculty to take the meeting minutes with the body's approval.
- Once the meeting commences, all parties are allowed voice and vote. Opening remarks shall proceed in the following order:
  - The candidate's immediate supervisor shall present his/her case to the body.
  - The candidate's supervising Dean and Director of University Libraries shall present his/her case to the body.
  - The Appointment and Promotion Committee shall present its case to the body.
- The floor shall be opened to all members present for comment and discussion on each individual promotion or tenure criteria point in turn.
- Open discussion closes.
- The Dean and Director of University Libraries (depending upon the body), or designated representative shall act as the objective third party convener and shall call the vote. Ballots shall be distributed to all parties present. Each ballot shall have on its face the following information: Designation of promotion or tenure to be voted on; Space for the voting faculty member to print his/her name; Space for the voting faculty member to sign his/her name; Space for the three voting categories: Recommend, Do Not Recommend or Abstain.
- Special Note: Members of the designated voting body who are unable to attend the meeting may submit their **written** vote in advance of the meeting to the Dean and Director of University Libraries, or their designated representative who shall act as the absent member's proxy and cast the member's vote as directed. In the event of an emergency or other unforeseen circumstance which prevents a voting member from attending the discussion and vote, the absent member shall be permitted to cast their vote up until the Dean and Director of University Libraries summary of the meeting has been completed.
- The Library Personnel Director or designated party shall count, verify and document the voting results.
- The Dean and Director of University Libraries shall supply a standard cover sheet for the purpose of reporting the vote totals, and attach to it a summation of the meeting and the meeting minutes. The cover sheet shall bear the total tally of all the votes as follows: Recommend, Do Not Recommend or Abstain.
- The Dean and Director of University Libraries, along with, the candidate's supervisor shall discuss the outcome of the vote as per section 2.5 Candidate Evaluation.
- The Dean and Director of University Libraries shall also be given a reasonable amount of time to prepare a Dean and Director of University Libraries 's letter stating his/her view of the

candidate's application and forward such with his/her own recommendation; the faculty will be given the opportunity to review the candidate's Special Evaluative File.

- A list of the appropriate faculty group and their signatures shall be made a part of the Special Evaluative File. The individual ballots and actual voting record of each member shall be attached to the file prior to submission of the file but after all signatures have been obtained. It shall remain private and confidential. The file shall then be forwarded to the Provost's office as per section 2.5 Candidate Evaluation.



## **Appendix XVIII. Faculty Forms**

**The below forms encompass the following section in the order as listed. Individual section titles have been removed for ease of printing and download from the guide. The forms are:**

- Faculty Achievement form
- Faculty Evaluation form
- Faculty Reappointment form
- Checklist of Steps for Promotion/Tenure and Library PTC Process
- Biographic File For Promotion-Tenure

**SUNY AT STONY BROOK**  
**Library Faculty Achievement Form**

**Name:**

**Evaluation Period:**

Please use this form (and additional pages as necessary) to describe achievements during this evaluation period that you believe should be considered in an evaluation of your performance. The achievements should be listed below according to the criteria used to evaluate library faculty for promotion and continuing appointment:

1. *mastery of subject matter*
2. *effectiveness as a librarian*
3. *scholarly ability*
4. *effectiveness of university and community service*
5. *continuing growth*
6. *contributions to enriching the life of the university by correcting discrimination and encouraging diversity.*

A copy of the criteria is attached; read it carefully to determine what activities you should include. For amplification of criteria numbers 2 and 3, consult the Library Personnel Policy Procedures, sections 7.5 and 7.6.

***The University of New York at Stony Brook - Library  
Library Faculty Evaluation Form***

*Period Covered*

*From:*

*To:*

Name:

Academic Title:

Occasion for Review

Annual

Department:

Local Title:

Term

Other

This evaluation form is based on the categories set forth in the Library's "Criteria for Promotion and Tenure" statement which is appended. Evaluators are requested either to check gradations and/or to make narrative comments where appropriate. Definitions of grades are as follows: Outstanding = equaled by few others; Above Average = excellent; Average = good; Below Average = unsatisfactory. Please mark N.A. if a category doesn't apply.

**Outstanding    Above average    Average    Below Average**

Mastery of Subject Matter  
Comments:

Effectiveness as a Librarian

Understanding of Library  
operations and services

Familiarity with University  
Teaching/research programs

Ability to perform in a  
dependable reliable manner

Decision-making ability

Ability to delegate authority

Ability to communicate with  
staff and public

Ability to plan, organize and direct operations

Comments:

**Outstanding    Above average    Average    Below Average**

Scholarly Ability

Comments:

Effectiveness of University Service

Comments:

Evidence of Continuing Growth

Comments:

Overall Performance

Comments:

**Supervisor's Recommendation:**

Supervisor's Signature:

Date:

**Comments of Person Reviewed:**

[Additional comments may be appended on separate sheet]

Signature:

Date:

***Faculty Reappointment Recommendation Form***

***Candidate:***

***Tenure/Permanent Appt. Date:***

*[appointment cannot extend beyond this date]*

***Appointment History:***

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***Reappointment recommended:***

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***Length of term recommended:***

*[most common pattern: 1+2+2+2]*

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*Supervisor / Department Head*

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*Assistant / Associate Director*

### Checklist of Steps for Promotion/Tenure and Library PTC Process

	Steps	Date	✓
1	Mentoring: each candidate for promotion is assigned early in their career a mentoring committee. The role of that committee is to help the candidate prepare for promotion and establish a file.		
2	When the file is ready, it is brought by the candidate to the Library's Personnel Officer who conducts a basic technical review. Week 1.		
3	Dean and Director of University Libraries 's Office solicits letters from referees – minimum 4 from recommendations made by the candidate and 3 from outside referees not personally associated with the candidate. No more than two solicited evaluations may be from within the candidate's own library department. See LPPP Section 2.4.5.2. Week 1-2.		
4	Dean and Director of University Libraries announces candidacy for promotion/tenure to all librarians regardless of rank. Week 1-2.		
5	When all referee letters are in, Dean and Director of University Libraries informs library faculty that the file is ready for viewing in the Dean and Director of University Libraries Dean and Director of University Libraries office. Only those of equal rank and above are allowed to review the file. They sign that they have read it. The process should take at most 2 weeks. Week 7-8.		
6	If a letter of reference/comment is received after the deadline, the Dean and Director of University Libraries announces an addition to the file. Faculty is invited to read it and sign that they have read it.		
7	File is sent by Dean and Director of University Libraries 's Office to the Library's internal Appointment and Promotion Committee (A&P). A&P Committee is composed of librarians at all ranks. Week 7-8.		
8	A&P committee meets to discuss and vote on the file. Vote and recommendation is sent to the Dean and Director of University Libraries by e-mail. It is added to the Special Evaluative File. Week 7-8.		
9	<p>Dean and Director of University Libraries informs all library faculty of same or higher rank that a meeting is to take place to discuss and vote on the file. Section 2.6.8 defines a quorum as: a quorum is required and consists of a majority of the members eligible to vote on the specific candidacy under consideration. Week 9-10.</p> <p>Promotion: All members of the department who are of higher rank than the candidate.</p> <p>Continuing appointment: All members with a continuing appointment.</p> <p>If, in a case of continuing appointment or promotion, the candidate's department is not large enough to form an appropriate group, such a group will be constituted by The Dean and Director of University Libraries in consultation with the Provost or VP for the Health Sciences.</p>		

<b>10</b>	Within a week of the meeting, Dean and Director of University Libraries provides a balanced summary of the discussion from the promotion meeting in a coded summary letter and provides a written statement of the vote (Recommended, Not Recommended, or Abstain). Within a week of the vote, the Dean and Director of University Libraries and supervisor will meet with the candidate and inform him/her of the general outcome of the procedure so far. Week 11-12.		
<b>11</b>	A list of the appropriate faculty bearing the tally of their votes (Recommended, Not Recommended, or Abstain) and their signatures shall be part of the special evaluative file. The Committee supplies a standard cover sheet for this. A positive outcome shall be defined as a positive recommendation by a majority of those eligible to vote. Week 11-12.		
<b>12</b>	The Dean and Director of University Libraries may also submit a separate, personal letter commenting upon the recommendation of the department and the review committee. Week 11-12.		
<b>13</b>	Both the summarizing letter and any additional letter from the Dean and Director of University Libraries form part of the general evaluative file.		
<b>14</b>	It shall be the responsibility of the Dean and Director of University Libraries Office to conduct a technical review of the package. Particular attention is given to the confidentiality in the Dean and Director of University Libraries summary letter.		
<b>15</b>	The Dean and Director of University Libraries inform the Chair of the Senate Library Promotion and Tenure Committee (PTC) that the file is ready for discussion and vote by that committee. Week 12.		
<b>16</b>	File is brought by Chair of the Senate LPTC to the College of Arts and Sciences (CAS) office (Library 3 <sup>rd</sup> floor).		
<b>17</b>	The Chair of the Senate LPTC notifies committee members to review the file there and sets a deadline for the review (2 to 3 weeks).		
<b>18</b>	Chair of the Senate LPTC finds a time when all committee members can attend a meeting, The Committee meets in person to review and discuss the case. The committee may request additional information and the Dean and Director of University Libraries should have an opportunity to respond to this new information prior to forwarding a recommendation. The Chair then drafts a letter (coded for confidentiality) summarizing the discussion, and the vote results (number of positives, negatives, abstentions). Committee members then comment on the draft and a final text is then written, All Committee members must sign the letter, which, for convenience is also kept in the College of Arts and Sciences office. Voting sheets added to the Special evaluative file.		
<b>19</b>	The summary letter is then added to the file. The Chair of the Senate LPTC forwards the completed file to the Provost Office liaison so it can go to the Provost for his review. The Dean and Director of University Libraries is notified of the transmittal of the file to the Provost's Office by the Chair of the Senate LPTC.		
<b>20</b>	The Provost makes a recommendation and forwards it to the President. If		



	the Provost disagrees with, or has questions about, the recommendation of the Senate Library Promotion and Tenure Committee, the Provost shall confer with the Committee before formulating a recommendation.		
<b>21</b>	The candidate is sent a letter by the Provost's Office informing him/her that the file is available for review (5 days).		
<b>22</b>	The file goes to the President. The President makes the final decision.		
<b>23</b>	A copy of the letter announcing the President's decision shall be sent to the Senate Library Promotion and Tenure Committee.		

University Senate Committee on Library Personnel Policy  
**BIOGRAPHIC FILE FOR PROMOTION-TENURE**

Library: <input type="checkbox"/> HSC <input type="checkbox"/> Main	Date
Name <div style="display: flex; justify-content: space-between; font-size: small;"> <span><i>Last</i></span> <span><i>First</i></span> <span><i>Middle</i></span> </div>	
Present Rank	Date of last promotion
Date by which decision on tenure must be made (12 mos. prior to expiration of term), if relevant	

**References suggested by Candidate**

NAME	TITLE	ADDRESS
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The information presented on the following pages represents a satisfactory compilation of professional biographic information.

\_\_\_\_\_  
*Signature of Candidate*

\_\_\_\_\_  
*Date*