

UNIVERSITY OF DAYTON

# University Libraries

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## Promotion and Tenure Policy

**Approved by the University Promotion and Tenure Committee on 7 May 2018**

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**University of Dayton Libraries  
Promotion and Tenure Policy**

**Introduction**

This document outlines the policies and procedures for the review, promotion, and tenure of tenure-track library faculty, and the review and promotion of tenured library faculty at the University of Dayton. It is based on the policies stated in the Faculty Handbook, “University Promotion and Tenure Policy” (I-06-10), “Evaluating Teaching Faculty for the Purposes of Tenure” (I-06-08), and the generally accepted standards of academic libraries. This document will be reviewed periodically by library faculty to ensure it remains current and compliant with University policies. No policy or procedure presented below supersedes any duly established University policy.

**I. General Criteria and Eligibility for Promotion and Tenure Evaluations**

- A. Criteria for promotion and tenure focus on the academic credentials and academic performance of the applicant. The faculty member’s performance will be evaluated in the areas of:
  - 1. Librarianship
  - 2. Scholarship and/or artistic accomplishment, and
  - 3. Service, including professional, departmental, University, and community.
- B. Tenure will not be granted to a faculty member whose rank is below the level of associate professor. Normally, tenure will be considered at the same time as promotion in rank. However, faculty may be promoted to associate professor prior to being granted tenure.
- C. Normally the beginning rank for tenure-track library faculty is granted at Assistant Professor. A graduate degree from an ALA accredited program, or its foreign equivalent is required. Appointment at this rank presupposes the ability to perform the basic professional duties of a librarian as well as the potential to conduct publishable research and to perform appropriate service activities.
- D. The President and Provost, based upon the recommendations of the University Libraries Promotion and Tenure Committee and the Dean of the University Libraries, reserve the right to offer a new faculty member both tenure and an advanced rank at the time of hire. Once hired, all applicable policies and procedures apply.
- E. In the event that promotion and tenure policies are revised by the library faculty, reasonable accommodation will be made for those who began under the former policies. When revisions are made to this Promotion and Tenure Policy, faculty who have received three or more contracts can choose to be evaluated under the policy in place during their third contract year, or under the newly-revised policy once it is approved by the University Promotion and Tenure Committee. A summary list of substantial

## Section I. Introduction

revisions with relevant dates is provided in Appendix D. An exception will be made in the event of a change in required terminal degrees : no faculty member who held the appropriate terminal degree at the time of appointment will be in any way disadvantaged by future changes in requirements. Tenured faculty who have been promoted to Associate Professor and who seek to apply for promotion to Professor will be evaluated according to the most recent version of the policy approved by the University Promotion and Tenure Committee at the time of their application.

## II. Timeline for Application for Promotion and Tenure

- A. Timeline for both promotion and tenure begins July 1. For persons hired after October 31, the timeline will begin July 1 of the following year. The approved University and University Libraries policies and procedures for promotion and tenure will be shared with the candidate at the time of hire by the Office of the Provost. The Dean of the University Libraries will also write a letter of hire to new faculty that clearly states the expectations for all areas of their work, including librarianship, research, and service. This letter will also include a projected review schedule clearly stating the timing of peer reviews and the comprehensive, preliminary reviews conducted by the University Libraries Promotion and Tenure Committee. A copy of the University of Dayton Libraries Promotion and Tenure Policy with procedural form found in Appendix A (which outlines the review schedule and deadlines for tenure and promotion applications) will also be forwarded to the new faculty member along with the letter of hire. The Office of the Dean will retain the original procedural form, which will be used as the candidate moves through the tenure and/or promotion process. The new faculty member will acknowledge receipt of these materials by signing and returning a copy of the letter of hire to the Dean.

Any changes in the tenure clock after this letter of hire may require a change in the review cycle. Such changes must be agreed to in writing by the faculty member, Division Director, Dean, and Provost.

- B. Tenure-track faculty with no credit for prior service will be considered for tenure no later than their sixth year of active, full-time service. Time devoted to leaves of absence, sabbaticals, or other interruptions in the annual performance of librarianship, research, and service may affect the total period of evaluation and the timing of reviews. The effects of such interruptions on the period of evaluation and timing of reviews must be agreed to in writing by the faculty member, his/her Division Director, the Dean of the University Libraries, and the Provost at the time the interruption takes place or within six months of the initiation of the interruption.
- C. Normally, promotion in rank to associate professor and tenure are considered at the same time. However, faculty may be promoted to associate professor prior to being granted tenure. A candidate who successfully completes the promotion and/or tenure process will be granted promotion and/or tenure with his or her next contract.
- D. Withdrawal of application  
A candidate for promotion may withdraw a promotion application (part of the Portfolio for Promotion and Tenure) at any point in the process, unless the application is also an application for tenure. The candidate must submit a letter of withdrawal to the Chair of the Promotion and Tenure Committee, who will notify the Committee, the Division Director, and the Dean that the application has been withdrawn. When a promotion application is withdrawn, letters of evaluation and recommendation collected for the current application will be destroyed by the Chair of the Promotion and Tenure Committee, including the letters from the Division Director (or other appropriate

## Section II. Timeline for Application

primary evaluator), the Committee, and the Dean. The Portfolio will be returned to the candidate after these letters have been removed from the Portfolio.

**III. Hiring New Faculty With Tenure**

Candidates being considered for hire with tenure, if selected for a campus interview, will send a letter to the University Libraries Promotion and Tenure Committee addressing their ability to meet the criteria for tenure. The letter should address their accomplishments in librarianship, scholarship, and service, as defined in section IV of this policy. Candidates will meet the Committee as part of the interview process. The Committee will then evaluate each candidate, using the guidelines defined in section IV. The Chair, on behalf of the University Libraries Promotion and Tenure Committee, will provide a written letter to the Dean of the University Libraries for each candidate, stating the Committee's recommendations, including the final vote count and rationale for those recommendations. The letter will be provided to the Dean within five business days after the interview. The letter must be signed by all members of the Committee who met with the candidate. Signatures do not indicate individual agreement with the final recommendation of the overall Committee as stated in the letter. The Dean will forward the Committee's recommendation letter to the Provost as part of the hiring process.

#### IV. Guidelines for Evaluation for the Purposes of Promotion and/or Tenure

##### A. Areas for Performance Evaluation

Faculty members are evaluated based on evidence of accomplishment in three areas: Librarianship, Scholarly Activities, and Service. Standards for performance are relative to the individual's peer group at the University of Dayton and at other institutions of comparable or higher quality and to accepted professional standards. The Promotion and Tenure Committee will give special consideration in making promotion and/or tenure decisions about a Dean, Associate Dean, or Division Director, in view of the amount of time and energy that such an administrative appointment requires and how the position's responsibilities affect the candidate's scholarly pursuits.

##### B. Performance Ratings System

The Committee will provide ratings for each of the three areas outlined. The ratings scale to be used is defined as:

**Unsatisfactory**—fails to meet the performance expectations of an area of responsibility

**Satisfactory**—meets the performance expectations within an area of responsibility

**Significant**—exceeds the performance expectations within an area of responsibility

##### C. Performance Criteria

###### 1. Librarianship

This area includes effective performance of normal duties in library activities such as acquisitions, administration, information technology, cataloging, library instruction, collection development, reference, serials, and special collections. Effective performance in this area is also demonstrated through and facilitated by the librarian's support of the University's objectives of community and dignity of the individual by contributing to an open, respectful, professional, and cooperative relationship with those with whom he or she interacts. However, this should not be interpreted in such a way as to inhibit faculty members from expressing respectful disagreement with colleagues. A truly collegial faculty welcomes dissent, in the spirit of academic freedom, as a normal component of professional engagement.

The preparation and administration of grants and contracts from external funding agencies, and institutionally awarded grants is also considered under librarianship. The Promotion and Tenure Committee may evaluate any scholarship that derives from funded grants.

Faculty should actively pursue current developments in relevant fields through both formal and informal continuing education. They also should contribute to the improvement of existing library services and the development of new services.

Librarians will possess the appropriate terminal degree, as defined in section I.C.



Evaluation in this area will be based on the candidate's statements and supporting materials in his/her application, the results of previous peer review evaluations, the performance evaluations received at previous annual reviews, and the observations of the Promotion and Tenure Committee.

## **2. Scholarship**

All tenured and tenure-track library faculty members are expected to engage in scholarship. Reassigned time may be given by the Dean to allow faculty to accomplish a defined scholarly agenda. Work done in library and information studies or in the subject specialties of individual library faculty members is acceptable. If a significant portion of a candidate's scholarly work falls outside the expertise of the Promotion and Tenure Committee members, the Committee may seek recommendations from one or more external evaluators holding such expertise. The Committee should choose any external evaluators in consultation with the candidate.

For the purposes of evaluation for promotion and tenure, possible results of scholarly activities are classed in three categories. All of the examples listed below will be evaluated in terms of their depth and degree of scholarship.

Although it is assumed a faculty member's record of scholarship will include a mix of materials from all three categories, primary emphasis will be placed on category one materials. These are listed in descending order of importance.

### **a. Category 1:**

- 1) Publication of books, chapters in books, and articles in refereed journals and other journals of national or international standing, in either print or electronic formats. These include:
  - Annotated bibliographies, indexes and directories, collected works, anthologies, exhibition catalogs, and other works of reference
  - Compilation of significant bibliographies, guidebooks, indexes, special catalogs, manuals, etc.
  - Editorship of scholarly books, conference proceedings, etc.
  - Publications in larger works, e.g., entries in encyclopedias or biographical dictionaries, guest columns in periodicals, etc.
  - Literature or research review articles published in peer-reviewed or scholarly journals
  - Creative works, performances, exhibits, and translations
- 2) Presentations at the national level selected through a competitive, peer reviewed process. These include:
  - Invited lectures and/or speeches for other universities, professional meetings, conventions and/or conferences
  - Papers, lectures, or poster sessions presented at professional conferences, meetings, conventions, symposiums, seminars, or workshops
  - Papers published in conference proceedings

- 3) Grants
  - Awards of grants and contracts from external funding agencies
- 4) Development of electronic resources, such as:
  - Significant computer software, databases, or web sites that facilitate and/or contribute to scholarship
  - Web exhibits or catalogs that are substantive, possess a high quality of bibliographic description, and contribute to scholarship

**b. Category 2:**

- 1) Articles in regional or local publications or in professional publications that are not peer-reviewed and substantial reviews of books, journals, databases, or web sites, in either print or electronic format. These include: □
  - Articles contributed to newsletters of professional associations
  - Brief communications, short descriptions of library services or innovations, editorial/opinion pieces, personal essays
  - Guides to the literature, comparative guides to reference sources, and bibliographic essays published in journals such as *CHOICE* or *The Charleston Advisor*
  - Multiple reviews of books, journals, software, databases, or web sites in professional publications considered significant and authoritative due to their broad circulation and acknowledged quality, for example, *CHOICE*, *Booklist*, *The Charleston Advisor*, *Library Journal*
- 2) Presentations at the regional or state level, selected through a competitive, peer-reviewed process. These include:
  - Invited lectures and/or speeches for other universities, professional meetings, conventions and/or conferences
  - Papers, lectures, or poster sessions presented at professional conferences, meetings, conventions, symposiums, seminars, or workshops
  - Papers published in conference proceedings
  - Presentations for which the faculty member acted as an organizer, moderator, or peer reviewer at professional meetings, conventions, symposiums, and conferences, selected through a competitive, peer-reviewed process
- 3) Grants
  - Grants awarded by institutional funding sources (e.g., LTC Innovation Grants, Inclusion and Diversity Initiatives Grants, etc.)

**c. Category 3:**

- Minor book reviews
- In-house bibliographies and exhibit catalogs
- Conference papers, presentations, and poster sessions not selected through a competitive, peer-reviewed process

### **3. Service**

This category includes service to the Libraries and to the University, to the profession, and to the community. Faculty members are expected to actively engage in service activities. Service includes, but is not limited to:

- Membership on library and University committees
- Active membership in state, regional, and national professional associations (e.g., holding office, serving on committees, participating in program and discussion groups)
- Service as an editor or peer reviewer of papers for publication
- Presentations for which the faculty member acted as an organizer, moderator, or peer reviewer at professional meetings, conventions, symposiums, and conferences
- Service with community organizations
- Academic teaching and professional consulting

## **V. Pre-tenure Considerations and Reviews**

### **A. Communication of Position Expectations**

The appropriate Division Director (or other primary supervisor/evaluator) is responsible for clearly communicating to potential new faculty members the expectations for all areas of their work, including librarianship, scholarship, and service at the time a verbal offer is made. Once a verbal offer is accepted, these expectations will be stated in the letter of hire that is written by the Dean and approved by the Provost. As stated previously, the letter of hire will clearly state the review schedule for the new faculty member, including peer reviews and the comprehensive reviews conducted by the Promotion and Tenure Committee.

The tenure and promotion process begins with the offering of a position to a new faculty member. At that time, the Provost sends a contract to the new faculty member containing the general description of responsibilities and specifying the time required in the probationary period prior to tenure. For most new faculty members, the final tenure recommendation will occur in the sixth year. A faculty member approved for tenure in the sixth year would receive a contract for a tenured faculty position for the seventh year. For a faculty member granted an advanced rank or shortened probationary period at the time of hire, the contract will indicate his/her special circumstances.

### **B. Annual Administrative Review**

During the probationary period, all faculty members will receive an annual review by their supervisor, normally a Division Director. Division Directors are reviewed annually by the Dean of the University Libraries. Additionally, tenure-track Division Directors will be evaluated annually by their direct reports, the members of the Dean's Council, and other parties as appropriate as part of this review process. Those evaluations and any written response from the faculty member will be sent to the Dean and factored into the Dean's written review. The annual review should indicate how the candidate's performance relates to the University Libraries standards for librarianship, scholarship, and service and evaluate the faculty member's progress toward tenure and promotion. The review should also offer developmental suggestions for faculty. As part of this process, the faculty member will also submit a copy of his/her University Libraries Annual Report detailing his/her development and accomplishments. The Dean forwards copies of his or her evaluations to the Provost's Office.

Candidates are responsible for including copies of these annual reviews in the Portfolio for Promotion and Tenure before it is submitted to the Promotion and Tenure Committee for the comprehensive reviews, including the final review for promotion and tenure.

### **C. Peer Review**

Peer review of librarianship for tenure-track library faculty is required by the *Faculty Handbook* at least once before the tenure decision is made. However, library faculty members hired without prior service credit are expected to undergo two peer reviews during their probationary period, which normally take place in the second and fourth years of employment. Peer reviews are not cumulative; the second peer review covers

only the period since the first peer review. This timing will make the report from the peer reviewers available to the Promotion and Tenure Committee during the comprehensive reviews normally conducted during the third and fifth years of employment.

The review will be written from a collegial perspective by those who may have a better or different understanding than the supervisor of the work of the librarian under review. The review will rely on a self-evaluation and a discussion between the committee and the librarian. The Peer Review Committee will use the instrument contained in Appendix B to write an evaluation of the faculty member under review. The results of the peer review must be consulted during the next comprehensive review of the librarian and should be taken into serious consideration at that time.

1. Peer Review Committee Composition

The Peer Review Committee consists of three of the candidate's peers. Peers include library faculty and staff or members of university departments. One committee member will be selected by the candidate. One committee member will be selected by the Dean. One committee member, who will be the chair of the committee, will be selected from a pool of eligible library faculty at the January Library faculty meeting. The pool consists of all library faculty excluding direct supervisors and the Dean. If a significant portion of the librarian's responsibilities falls outside the expertise of library faculty, peers may include members from institutions outside of the Library or outside of the University of Dayton.

2. Performance Criteria

Librarianship, as defined above in section IV.C.1, includes effective performance of regular duties in library activities such as acquisitions, administration, information technology, cataloging, library instruction, collection development, reference, serials, and special collections. The preparation and administration of grant proposals, contracts from external funding agencies, and institutionally awarded grants are also considered under librarianship. Effective performance in this area is facilitated by the librarian's support of the University's objectives of community and dignity of the individual by contributing to an open, respectful, professional, and cooperative relationship with those with whom he or she interacts. However, this should not be interpreted in such a way as to inhibit faculty members from expressing respectful disagreement with colleagues. A truly collegial faculty welcomes dissent, in the spirit of academic freedom, as a normal component of professional engagement.

3. Required Documentation

The candidate under review must submit a *curriculum vitae* (current as of March 15 of the review year) along with a written self-evaluation in the form of a letter addressed to the Peer Review Committee, which includes a statement about his/her librarianship as it relates to his/her job responsibilities and a discussion of major accomplishments such as grant awards, improvements of existing library services or the development of new services. The self-evaluation must be submitted to the Peer Review Committee Chair by April 30.

4. Review Process and Procedures

The Committee Chair will schedule a Peer Review Committee meeting with the candidate. The discussion will be guided by the self-evaluation, questions from the Committee, and the peers' knowledge of the requirements of the position and of the performance of the candidate.

If, prior to the meeting with the candidate, members of the peer review committee determine they need more specific information about the candidate's responsibilities related to librarianship, they may solicit that information from the candidate's coworkers (excluding the candidate's supervisor). Questions used to solicit information must be shared with the candidate prior to the meeting.

If the committee identifies developmental issues related to librarianship those issues must be discussed with the candidate at the meeting between the candidate and the peer review committee. Additional information cannot be collected after the meeting between the candidate and the committee.

Based on the discussion, the Committee will complete an assessment instrument, found in Appendix B. The assessment instrument is used to evaluate current job performance, knowledge of job skills, quality of work, quantity of work, and support of the mission of the Library and the University. Using the assessment instrument, the Committee will rate the work of the candidate as either **"satisfactory," "satisfactory with reservations,"** or **"unsatisfactory."** A rating of **"satisfactory"** means the candidate under review is meeting performance expectations in the category of librarianship. Comments by individual members of the Committee will also be included. All determinations of **"unsatisfactory"** or **"satisfactory with reservations"** must be explained in the instrument using concise language with realistic suggestions on how to remedy the problem or deficiency.

A copy of the completed evaluation instrument will first go to the candidate under review, who will be afforded an opportunity to provide a written response to the Peer Review Committee by submitting the response to the Chair, who will forward copies of the response to the rest of the Committee. After receiving the written response, the Peer Review Committee will then finalize the report. The Chair will send copies of the final report along with copies of the candidate's self-evaluation, the assessment instrument, and the candidate's response, to the candidate, the candidate's immediate supervisor, and the Dean.

Appendix E describes document retention after the peer review is completed.

5. Timeline for Peer Review Process

When any of these dates fall on a weekend or other non-business day such as a university holiday, the actual deadline will be the first business day after the specified date.

## Section V. Pre-tenure Considerations and Reviews

At the January University Libraries Faculty meeting, a Peer Review Committee Chair will be selected by the faculty from the eligible pool of library faculty.

By **February 1**, the Peer Review Committee Chair will notify the candidate in writing that his/her choice for the second Committee member is due to the Chair and the Dean no later than **February 28**.

By **March 15**, the Dean of the University Libraries will submit in writing his/her choice for the final Peer Review Committee member to the Chair of the Committee and the candidate.

By **April 30**, the candidate will submit his/her self-evaluation and *curriculum vitae* (current as of March 15 of the review year) to the Chair.

By **May 15**, the Peer Review Committee and the candidate will meet to review the self-evaluation.

By **May 30**, the Peer Review Committee will complete the assessment tool (Appendix B) and send a copy to the candidate.

If the candidate chooses to submit a written response to the Peer Review Committee's assessment, he/she must submit the response to the Chair no later than **June 15**. If the candidate chooses not to submit a response, he/she should so inform the Chair no later than **June 15**.

By **June 30**, the Peer Review Committee will finalize its evaluation report and submit copies of the report along with copies of the assessment instrument and any written responses from the candidate to the candidate, the candidate's immediate supervisor (normally his/her Division Director), and the Dean. The candidate is responsible for including copies in their Portfolio for Promotion and Tenure for all comprehensive reviews, including the final tenure and promotion review. See section IX for detailed information regarding the format and content of the Portfolio.

### **D. Comprehensive Reviews by the Promotion and Tenure Committee**

The Promotion and Tenure Committee conducts comprehensive reviews of all tenure-track faculty members. These reviews will indicate how the candidate's performance relates to the University Libraries' standards for librarianship, scholarship, and service and evaluate the faculty member's progress toward tenure and promotion. The Promotion and Tenure Committee's reviews should also offer, as appropriate and necessary, developmental suggestions for faculty. The frequency of these reviews is based on the length of the probationary period. Copies of these reviews are sent to the candidate and the appropriate supervisor (normally the candidate's Division Director) by the Chair of the Committee. The candidate will ensure that copies of the Promotion and Tenure Committee's reviews are included in the Portfolio for Tenure and Promotion before it is given to the Dean for review.

## Section V. Pre-tenure Considerations and Reviews

1. For faculty members who had no credit for prior experience at the time of hire, the required comprehensive reviews will take place in the third and fifth year, with a final review in the sixth year.
2. Faculty members who had two or fewer years of credit for prior service will receive a minimum of two comprehensive reviews of their librarianship, scholarship and service by the Committee prior to their final review. The first of these reviews will take place in a year specified by the Dean in the letter of hire. The second, or last, comprehensive review will take place in the year prior to the final tenure and promotion review and recommendation.
3. Faculty who agree to a shortened pre-tenure period of three years or less will receive at least one comprehensive review. The timing of the review should be specified in the letter of hire from the Dean. If there is only one review, it will take place in the year before the final tenure review and recommendation. If there is more than one review, the last review will take place in the year before the final tenure and promotion review.
4. Required documentation  
All candidates for review should submit a Portfolio for Promotion and Tenure, which includes a letter of application, current *curriculum vitae*, copies of all previous evaluations, formal letters of support written by other colleagues, and supporting materials as appropriate. The review materials will be cumulative. The letter of application, written by the candidate and addressed to the Promotion and Tenure Committee, should not exceed five pages, and should note the candidate's contributions to the Libraries, to the University, and to the profession. It should clearly indicate the candidate's accomplishments, current activities, and plans for the future in each of the three areas of performance defined in IV.A. The letter should also indicate how the candidate has addressed any developmental concerns indicated by the Promotion and Tenure Committee from previous reviews, and evidence of such improvement should be included in the supporting materials. The formal letters of support, written by informed colleagues, should attest to the quality of librarianship, scholarship, and/or service accomplishments of the candidate, including the candidate's overall suitability for promotion and/or tenure. See section IX for detailed information regarding the format and content of the Portfolio.
5. Timeline for comprehensive pre-tenure review process  
To ensure all steps are being followed in the review process, the candidate for review is responsible for confirming each step by obtaining the necessary signatures as outlined in the procedural form (Appendix A). Once the candidate has completed the form and obtained all necessary signatures, he/she will submit the signed original to the Dean of the University Libraries for inclusion in the Portfolio for Promotion and Tenure, and keep a copy for his/her own file. When any of these dates fall on a weekend or other non-business day such as a holiday, the actual deadline will be the first business day after the specified date.



## Section V. Pre-tenure Considerations and Reviews

By **March 1** of the appropriate year, the Dean will notify all untenured, tenure-track faculty in writing that documentation for their 3<sup>rd</sup> or 5<sup>th</sup> year review is due no later than October 1.

By **October 1** candidates should submit all documentation required for 3<sup>rd</sup> or 5<sup>th</sup> year reviews to the Chair of the Promotion and Tenure Committee.

By **November 1** the Promotion and Tenure Committee will review all materials for 3<sup>rd</sup> and 5<sup>th</sup> year reviews. The Committee will provide written feedback to each candidate in the form of a letter. This feedback will include a statement regarding progress toward tenure and comments of a developmental nature, in line with the criteria for tenure, indicating areas of concern and suggestions for improvement. The Committee Chair will send one copy of each candidate's letter to his or her Division Director (or other appropriate primary evaluator), and will send a second copy of each letter along with each candidate's review materials to the Dean.

By **December 1** the Dean will provide written feedback to each candidate in the form of a letter. Copies of this letter, along with the Promotion and Tenure Committee's feedback letters, are forwarded to the Provost's Office by the Dean.

## VI. Tenure

### A. Introduction

Tenure represents a significant contractual commitment by the University to the faculty member, as described in the Faculty Handbook, and the University Promotion and Tenure Policy. Therefore, rigorous evaluation at all levels is essential. Tenure evaluation is based on both the individual's performance and on the degree to which the individual's abilities meet the University Libraries' needs. The criteria on which the candidate will be judged are those described above in section IV. In some cases, changes in the mission of the Libraries or in the financial condition of the University may prevent the awarding of tenure to an otherwise deserving candidate.

### B. Evaluation Period

Emphasis will be placed on the candidate's service at the University of Dayton. However, the candidate's accomplishments over his/her entire career will be taken into account.

### C. Application of criteria

Tenure will not be granted to a faculty member whose rank is below the level of Associate Professor. Normally, tenure will be considered at the same time as promotion in rank. The award of tenure requires one of the following combinations:

- Significant achievement in librarianship
- Satisfactory achievement in scholarly activities
- Satisfactory achievement in service

- Significant achievement in scholarly activities
- Satisfactory achievement in librarianship
- Satisfactory achievement in service

### D. Required documentation

All candidates for tenure should submit a Portfolio for Promotion and Tenure, which includes a letter of application, current *curriculum vitae*, copies of all previous evaluations, formal letters of support written by other colleagues, and supporting materials as appropriate. The review materials will be cumulative. The letter of application, written by the candidate and addressed to the Promotion and Tenure Committee, should not exceed five pages, and should note the candidate's contributions to the Libraries, to the University, and to the profession. It should clearly indicate the candidate's accomplishments, current activities, and plans for the future in each of the three areas of performance defined in IV.A. The letter should also indicate how the candidate has addressed any developmental concerns indicated by the Promotion and Tenure Committee from previous reviews, and evidence of such improvement should be included in the supporting materials. The formal letters of support, written by informed colleagues, should attest to the quality of librarianship, scholarship, and/or service accomplishments of the candidate, including the candidate's overall suitability for promotion and/or tenure. See section IX for detailed information regarding the format and content of the Portfolio.

The candidate's Division Director (or other primary evaluator) is also responsible for submitting a letter to the Chair of the Promotion and Tenure Committee, stating his/her overall evaluation of the candidate and recommendations for promotion and/or tenure. The Division Director (or other primary evaluator) will provide a copy of this letter to the candidate at the same time. The Chair is responsible for inserting the original letter into the candidate's Portfolio. If the candidate up for review is a Division Director, he or she will forego a letter of evaluation from their primary evaluator if that person is the Dean.

During the final tenure review process, materials of a substantive nature which update the submitted Portfolio (e.g., acceptance or publication of a manuscript) can be added to the Portfolio by the candidate at any point in the review process until the Provost's recommendation is made. Additions to the Portfolio should be submitted to the Chair of the Promotion and Tenure Committee. The Chair will notify the Promotion and Tenure Committee and Dean of the updated material and insert the information into the Portfolio or send it to the Dean to insert into the Portfolio. Appropriate consultation will take place if materials are added that will affect the recommendation.

#### **E. Application Timeline**

To ensure all steps are being followed in the review process, the candidate for tenure and all appropriate parties must confirm completion of each step by signing the procedural form as outlined (Appendix A). Depending upon the step in the process, responsibility for the form (including obtaining necessary signatures for that step) will reside with either the Dean or the Chair of the Promotion and Tenure Committee. When the form is not in active use, it shall remain in the candidate's Portfolio for Promotion and Tenure. Once the form has been completed and all necessary signatures have been obtained, the signed original will be placed in the Portfolio for submission to the Provost, and a copy will be provided to the candidate for his/her own file.

When any of these dates falls on a weekend or other non-business day such as a holiday, the actual deadline will be the first business day after the specified date.

By **March 1** the Dean will notify any faculty eligible for tenure or tenure and promotion to associate professor that their applications are due by October 1. The Dean will also notify the candidate's Division Director (or other primary evaluator) that his/her evaluation and recommendation letter is due by October 1.

By **October 1** all faculty eligible for tenure review will submit the required documentation to the Promotion and Tenure Committee Chair. The candidate's Division Director (or other primary evaluator) will also submit his/her evaluation and recommendation letter to the Chair and forward a copy of this letter to the candidate. . If the candidate up for review is a Division Director, he or she will forego a letter of evaluation from their primary evaluator if that person is the Dean.

By **November 15** the Promotion and Tenure Committee Chair will submit a written letter to the Dean, stating the Committee's recommendation on the tenure application. The Chair will forward the recommendation along with the Portfolio for Promotion and

Tenure to the Dean. The Chair will forward copies of the recommendation to the candidate and the candidate's Division Director (or other primary evaluator) at the same time.

By **November 21**, the candidate may respond in writing to the Committee's recommendation by submitting a letter to the Dean, who will include the letter in the candidate's Portfolio for Promotion and Tenure. If the candidate chooses not to submit a response, he/she should so inform the Dean in writing no later than **November 21**.

The Dean will inform the candidate, in writing, of his/her recommendation and the reasons for it, no later than the first business day after **December 14**. After the candidate has been notified, a copy of the Dean's recommendation will be forwarded to the candidate's Division Director (or other primary evaluator) as well as the Chair of the Promotion and Tenure Committee, who will make the recommendation available to Committee members.

Candidates or concerned individuals (e.g., Division Directors, Promotion and Tenure Committee members) who wish to submit a written response to the Dean have until the first business day following **December 21** to do so. If the candidate chooses not to submit a response, he/she should so inform the Dean in writing no later than **December 21**.

The Dean will consider any additional evidence and responses and send a recommendation in writing to the Provost, along with the completed Procedural Form, Portfolio, and the response(s) of any candidate or concerned individuals no later than the first business day after **January 1**. After ensuring the candidate has received notification, the Dean will inform the candidate's Division Director (or other primary evaluator) and the Promotion and Tenure Committee of the recommendation.

Candidates or any other concerned individuals (e.g., Division directors, Promotion and Tenure Committee members) have until the first business day following **January 15** to file a written response to the Dean's recommendation with the Provost.

The Provost will review all materials and make recommendations to the President no later than the first business day following **January 30**. Each candidate will be informed in writing of the Provost's recommendation. Candidates or any other concerned individuals (e.g., Division Directors, Promotion and Tenure Committee members) who wish to submit a written response to the Provost will have until the first business day following **February 15** to do so.

Each candidate will be informed in writing of the President's decision. This decision will be copied to the Provost, the Dean, and the candidate's Division Director (or other primary evaluator).

#### **F. Mediation and Appeals**

If the candidate chooses to appeal the President's decision, he/she may begin the process in accord with the Faculty Handbook, Section IV.E. If mediation does not resolve

the complaint, the candidate may make use of the appeal processes set out in the Faculty Handbook (Sections IV.C.1, IV.E, and XIII.E). The Board of Trustees will serve as the court of last resort in the appeals process.

## **VII. Promotion**

### **A. Introduction**

Promotion recognizes an individual's accomplishments in the areas of librarianship, scholarly activities, and service. The criteria on which the candidate will be evaluated are those described above in section IV. Rigorous evaluation at all levels is essential and is based on the individual's performance, the degree to which the individual's abilities meet library needs, and the contribution the individual has made to the university and to the profession.

### **B. Evaluation Period**

The primary evaluation period is the time since the candidate's last review for purposes of promotion and/or tenure. However, the candidate's cumulative achievement over his/her career should be taken into account.

### **C. Time in Rank**

Although time in rank is not a primary consideration for promotion, a faculty member will normally serve five or more years at a given rank before promotion. Normally, promotion in rank to associate professor and tenure are considered at the same time. However, faculty may be promoted to associate professor prior to being granted tenure. In exceptional cases an individual may be hired in at a higher rank or promoted sooner.

### **D. Required documentation**

Candidates for promotion should submit a Portfolio for Promotion and Tenure, which includes a letter of application, current *curriculum vitae*, copies of all evaluations received since the last comprehensive review, formal letters of support written by other colleagues, and supporting materials as appropriate. The review materials will be cumulative. The letter of application, written by the candidate and addressed to the Promotion and Tenure Committee, should not exceed five pages, and should note the candidate's contributions to the Libraries, to the University, and to the profession. It should clearly indicate the candidate's accomplishments, current activities, and plans for the future in each of the three areas of performance. In the case of concurrent promotion and final tenure applications, the letter should also indicate how the candidate has addressed any developmental concerns indicated by the Promotion and Tenure Committee from previous reviews, and evidence of such improvement should be included in the supporting materials. The formal letters of support, written by informed colleagues, should attest to the quality of librarianship, scholarship, and/or service accomplishments of the candidate, including the candidate's overall suitability for promotion and/or tenure. Candidates seeking promotion from Associate Professor to Professor must include external letters of support, written by informed colleagues from other institutions. See section IX for detailed information regarding the format and content of the Portfolio.

The candidate's Division Director (or other primary evaluator) is also responsible for submitting a letter to the Chair of the Promotion and Tenure Committee, stating his/her overall evaluation of the candidate and recommendations for promotion. The Division Director (or other primary evaluator) will provide a copy of this letter to the candidate

at the same time. The Chair is responsible for inserting the original letter into the candidate's Portfolio. If the candidate up for review is a Division Director, he or she will forego a letter of evaluation from their primary evaluator if that person is the Dean.

**E. Application of Criteria**

The criteria used to evaluate faculty performance are described above in section III. The evaluation should not be limited merely to counting activities and accomplishments, but should involve evaluating the candidate's activities according to their depth and degree of scholarship. A candidate who successfully completes the promotion process will be granted promotion with his/her next contract.

1. Associate Professor

Promotion to Associate Professor requires one of the following combinations:

Significant achievement in librarianship  
Satisfactory achievement in scholarly activities  
Satisfactory achievement in service

Significant achievement in scholarly activities  
Satisfactory achievement in librarianship  
Satisfactory achievement in service

2. Professor

Promotion to Professor requires the following:

Significant achievement in librarianship  
Significant achievement in scholarly activities  
Satisfactory achievement in service

Promotion to Professor requires significant achievement in librarianship and scholarship, but only satisfactory achievement in service. There can be a broad range of evidence for demonstrating the accomplishments and impact expected of a Professor. The application of these criteria should be flexible and recognize that individual faculty members can achieve excellence and recognition in many different ways.

In addition, elevation to the rank of Professor requires evidence of sustained, distinguished performance at the university, state, regional, or national levels. Evidence of this performance shall be documented in the letter of application for promotion and the required external letters of support. These letters should address the candidate's distinguished performance and achievements in one or more of the aforementioned categories.

Examples of such evidence of distinguished performance may include (but are not limited to):

Substantial publications in journals of national or international standing

Reviews or citation studies indicating the impact and importance of the candidate's work

Campus leadership roles, significant committee appointments, or other leadership roles in major professional or scholarly associations.

#### **F. Application Timeline**

To ensure all steps are being followed in the review process, the candidate for promotion and all appropriate parties must confirm completion of each step by signing the procedural form as outlined (Appendix A). Depending upon the step in the process, responsibility for the form (including obtaining necessary signatures for that step) will reside with either the Dean or the Chair of the Promotion and Tenure Committee. When the form is not in active use, it shall remain in the candidate's Portfolio for Promotion and Tenure. Once the form has been completed and all necessary signatures have been obtained, the signed original will be placed in the Portfolio for submission to the Provost, and a copy will be provided to the candidate for his/her own file.

When any of the dates fall on a weekend or other non-business day such as a holiday, the actual deadline will be the first business day after the specified date. Candidates who are concurrently applying for promotion and tenure should refer to the application timeline for tenure, as stated in section VI.E, The timeline stated below for applies to candidates only applying for promotion.

By **October 1** all faculty seeking promotion will submit the required documentation to the Promotion and Tenure Committee Chair. The candidate's Division Director (or other primary evaluator) will also submit his/her evaluation and recommendation letter to the Chair and forward a copy of this letter to the candidate. It is the responsibility of the candidate to alert their primary evaluator of the need for a letter. If the candidate up for review is a Division Director, he or she will forego a letter of evaluation from their primary evaluator if that person is the Dean.

By **November 15** the Promotion and Tenure Committee Chair will submit a written letter to the Dean, stating the Committee's recommendation on the promotion application. The Chair will forward the candidate's Portfolio for Promotion and Tenure to the Dean along with the recommendation letter. A copy of the recommendation will be forwarded to the candidate at the same time.

By **December 1**, the Dean will discuss the recommendations with the Promotion and Tenure Committee, the candidate, and the candidate's Division Director (or other primary evaluator).

By **December 15**, the Dean will submit his/her final recommendation to the Provost. A copy of the recommendation will be forwarded to the candidate at the same time.



The Provost will review all materials and make recommendations to the President no later than the first business day following **January 30**. Each candidate will be informed in writing of the Provost's recommendation. Candidates or any other concerned individuals (e.g., Division Directors, Promotion and Tenure Committee members) who wish to submit a written response to the Provost will have until the first business day following **February 15** to do so.

Each candidate will be informed in writing of the President's decision. This decision will be copied to the Provost, the Dean, and the candidate's Division Director (or other primary evaluator).

#### **G. Awarding Emeritus/Emerita Status**

When a librarian announces his or her retirement, the retiring librarian's supervisor or a colleague can nominate the retiree for promotion to emeritus status. The nomination letter will be sent to the University Libraries Promotion and Tenure Committee and will briefly list the highlights of the librarian's career. This letter should be written within one month of the announcement of the librarian's intent to retire. It is preferred that this process take place in the Fall semester, in accordance with other promotion and tenure activities. The University Libraries Promotion and Tenure Committee will then meet to consider recommendation of Emeritus/Emerita status for the retiree. This recommendation will be forwarded to the Dean of University Libraries.

#### **Criteria for Emeritus/Emerita status**

Criteria for Emeritus/Emerita status include the following: substantial contribution to the University Libraries and employment at the University Libraries for at least 10 years. These criteria mirror the standards outlined in the Faculty Handbook:

The title *Emeritus/Emerita* may be conferred on a person who has retired from fulltime teaching or administration. The title is granted in recognition of long or exceptional service, as shown through the person's teaching or administrative ability, and dedication to the University and to the teaching profession.<sup>1</sup>

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<sup>1</sup> Faculty handbook, pp. 60-61, (6) Professor Emeritus/Emerita  
[[http://provost.udayton.edu/facresources/FacHandbook/UD\\_FacultyHandbook\\_Sep09.pdf](http://provost.udayton.edu/facresources/FacHandbook/UD_FacultyHandbook_Sep09.pdf)]

## **VIII. University Libraries Promotion and Tenure Committee**

### **A. Composition and Responsibilities**

The Committee is responsible for reviewing applications for promotion and/or tenure, including comprehensive pre-tenure reviews, and making recommendations to the Dean of the University Libraries regarding such applications. The Committee consists of all tenured librarians within the University Libraries, excluding those on leave or with a conflict of interest as defined below. An exception can be made for faculty on sabbatical leave, who are eligible and wish to serve on the Committee. Faculty on sabbatical who intend to participate will notify the chair by October 1. The Dean of the University Libraries is not eligible to serve on the Committee. At the beginning of each academic year, the Chair of the Committee from the previous academic year will call a meeting to elect a new Chair. This meeting must take place no later than September 15.

### **B. Responsibilities of the Chair**

The Chair is responsible for calling all meetings of the Committee and ensuring the proper procedures for all review processes are being followed, including shared responsibility with the Dean for the completion of the procedural form (Appendix A). The Chair must notify all members of the Committee when a promotion and/or tenure application has been received and is ready for the Committee to review, including applications for pre-tenure comprehensive review. Candidate applications and Portfolios are normally stored securely in the Office of the Dean of the University Libraries and can be checked out by Committee members for review.

The Chair, on behalf of the Committee, is also responsible for writing and submitting a letter to the Dean stating the Committee's recommendations for each application, including the final vote count and rationale for those recommendations. The Chair is responsible for ensuring all Committee members sign this letter before submitting it to the Dean. Committee members' signatures are obtained to ensure proper procedures are being followed, including confirmation that each Committee member has read the letter before it is submitted to the Dean. Signatures do not indicate individual agreement with the final recommendation of the overall Committee as stated in the letter. If the Committee's decision is not unanimous, the letter should state the majority opinion as well as accurately and objectively reflect the minority opinion. These letters should contain an objective account of the Committee's deliberations. In the instance of a split vote, Committee members who share the minority opinion have the option to submit an additional minority opinion letter to the Dean, which does not need to be signed by each member of the Committee. The Chair is responsible for forwarding each candidate's Portfolio to the Dean along with the corresponding letter of evaluation and recommendation. The Dean has the option to call a meeting of the Promotion and Tenure Committee to discuss differing opinions.

### **C. Conflict of Interest**

If a Committee member is a candidate for promotion, or has some other conflict of interest, he/she will not be present during that portion of the deliberations. All direct

## Section VIII. University Libraries Promotion and Tenure Committee

reports will also recuse themselves from any discussion or decision regarding their supervisor's promotion or tenure applications or reviews.

### **D. Voting process**

The Chair of the Promotion and Tenure Committee will call a meeting of the Committee to vote on each eligible application submitted for promotion, tenure, and/or concurrent promotion and tenure. The Chair will prepare a ballot for each candidate, which will be distributed to each member of the Committee at this meeting (sample ballots forms are located in Appendix C). Committee members are required to review all application materials prior to the vote. The Chair is responsible for maintaining the confidentiality of each individual vote and only sharing the final vote tally with the Committee.

**IX. Portfolio for Promotion and Tenure**

- A. The candidate for promotion or tenure is responsible for the accuracy and completeness of all the necessary materials submitted in the Portfolio for Promotion and Tenure, which should be collected and submitted in two binders. The first binder, which will be referred to as the Application, should be a tabbed, three-ring, one-inch binder with front pocket. The second binder, which will be referred to as Supporting Materials, should be a tabbed, three-ring, four-inch binder. After the Committee and the Dean have completed their evaluations of the candidate, the Dean will forward only the Application binder, along with his/her recommendation, to the Provost. The Supporting Materials binder will remain with the Office of the Dean unless requested by the Provost for review. After the full review process has been completed, the Application binder and the Supporting Materials binder will be returned to the candidate by the Office of the Dean once the Dean has been notified of the President's final decision regarding the candidate's tenure and/or promotion application.

Review materials are cumulative. The candidate must maintain all necessary materials for the Portfolio. These materials include annual administrative reviews, peer review evaluations, review letters from the Promotion and Tenure Committee, review letters from the Dean of the University Libraries, and Annual Reports on Research, Professional Activities, and Service. The candidate may request support from his/her Division Director (or other primary evaluator) in compiling some of the necessary material, but it is the candidate's responsibility to present a complete Portfolio. The candidate will submit the complete Portfolio (Application and Supporting Materials) to the Chair of the Promotion and Tenure Committee by the appropriate date. The faculty member should keep one complete copy of the materials that he/she included in the Portfolio.

- B. The Chair of the Promotion and Tenure Committee is responsible for keeping the Application and Supporting Materials in a secure location in the Office of the Dean, available only to members of the Promotion and Tenure Committee and the Division Director (or other primary evaluator) until the complete Portfolio is submitted to the Dean. Prior to submitting the Portfolio to the Dean, the Chair will also insert the Committee's and the Division Director's (or other primary evaluator's) letters of recommendation into the appropriate section of the Application binder.
- C. Faculty candidates do not have access to their Portfolios for Promotion and Tenure once they have been submitted to the Chair of the Promotion and Tenure Committee. While the Portfolio must be complete and accurate at the time it is submitted, the candidate may update the Portfolio (e.g., notice of acceptance or publication of a manuscript) by submitting the information to the Chair. The Chair will notify the Promotion and Tenure Committee and Dean of the updated material and insert the information into the Portfolio in the appropriate section or send it to the Dean to insert into the appropriate section of the Portfolio. It is expected that appropriate consultation will take place if materials are added that will affect the recommendation.

## Section IX. Portfolio for Promotion and Tenure

- D. If the faculty member under review chooses to submit a written response to the final letters of the Committee or of the Dean, the faculty member will provide the response(s) to the Chair who is responsible for inserting these materials into the appropriate section of the Portfolio or forwarding the responses to the Dean to insert into the Portfolio.
- E. All candidates for promotion and/or tenure should submit a Portfolio, consisting of an Application binder and a Supporting Materials binder, detailed below in section F. The review materials for promotion and tenure will be cumulative.
- F. Materials required for the Portfolio for Promotion and Tenure  
Materials should be placed behind the appropriate tabs, indicated below. Materials should be placed in reverse chronological order, with the most recent year on top. In cases where multiple items are behind a tab, like items should be grouped together and arranged in reverse chronological order, with the most recent year on top. The following materials must be included in the faculty member's Portfolio for Tenure and Promotion:

### 1. Application [Binder 1]

- a. Letter of application, not to exceed five pages, which should note the candidate's contributions to the Libraries, to the University, and to the profession. The letter should be addressed to the Promotion and Tenure Committee. It should clearly indicate the candidate's accomplishments, current activities, and plans for the future in each of the three areas of performance, namely librarianship, scholarship, and service. If appropriate, the letter should also indicate how the candidate has addressed any developmental concerns indicated by the Promotion and Tenure Committee from previous reviews, and evidence of such improvement should be included in the Supporting Materials. **[Tab 1 labeled "Letter of Application/CV"]**
- b. *Curriculum Vitae*, comprehensive and current as of September 15 of the year of application. **[Tab 1]**
- c. Annual administrative review letters and Annual Reports on Research, Professional Activities and Service, signed by the candidate's Division Director (or other primary evaluator), which must be submitted by candidates for promotion and/or tenure. Written responses to annual reviews by the candidate should also be included. Candidates for promotion to Associate Professor and/or tenure must submit these reports for all years at the University of Dayton. Candidates for promotion to Professor should provide the Reports and corresponding review letters for at least the previous five years. **[Tab 2 labeled "Annual Reports/Evaluations"]**
- d. Copies of the candidate's Peer Review evaluations, which normally take place in the 2<sup>nd</sup> and 4<sup>th</sup> year. This should include copies of the candidate's selfevaluations,

the Peer Review Committee's final reports, and the candidate's written response to the Committee's reports, if there are any. **[Tab 3 labeled "Peer Review Evaluations"]**

- e. The Promotion and Tenure Committee's letter. This letter should state clearly the reasons for the recommendation. It should relate the faculty member's record to the University Libraries' standards for promotion and tenure. The letter should be signed by all members of the Committee. For candidates for promotion to Associate Professor and tenure, all required reviews and evaluations of the faculty member by the Committees since the candidates' initial hiring must be submitted. **[Tab 4 labeled "P&T Committee Letters/Responses"]**
- f. As appropriate, the faculty member's response to the recommendation letter of the Promotion and Tenure Committee (optional). **[Tab 3]**
- g. For final tenure and/or promotion applications, the Division Director's (or other appropriate primary evaluator's) recommendation letter. This letter should state clearly the reason for the recommendation. It should state how the faculty member's performance relates to the expectations for the faculty member that are found in the letter of hire and any changes in expectations that are documented in subsequent annual reviews. It should also relate the faculty member's record to the department's standards for tenure and promotion. If the candidate up for review is a Division Director, he or she will forego a letter of evaluation from their primary evaluator if that person is the Dean. For normal third and fifth year comprehensive pre-tenure reviews (or equivalent reviews for faculty hired with credit for prior service), this tab will be left empty. **[Tab 5 labeled "Primary Evaluator Recommendation"]**
- h. The Dean's letters or comments on the comprehensive pre-tenure reviews (or equivalent reviews for faculty hired with credit for prior service) for candidates for promotion to Associate Professor and tenure. **[Tab 6 labeled "Dean's Letters"]**
- i. Formal letters, written by colleagues, which attest to the quality of librarianship, scholarship, and/or service accomplishments of the candidate, including the candidate's overall suitability for promotion and/or tenure. **[Tab 7 labeled "Letters of Support"]**
- j. A Procedural Form, which was provided to the candidate at the time of hire, which itemizes each step in the promotion and tenure process. In accordance with University policy, as each step is completed, the form is to be signed by the responsible person (e.g., candidate under review, Division Director or other primary evaluator, Chair of the Promotion and Tenure Committee, or Dean), acknowledging that steps were completed in accordance with University Libraries policies and indicating the date on which steps were completed. Each candidate will be provided an opportunity to sign, acknowledging receipt of

written documentation and the date it was received. A candidate's signature will not indicate agreement with the feedback or recommendations at any given point. Once all necessary signatures have been obtained, the Dean will ensure the form has been placed in the Application binder for submission to the Provost. The signed procedural forms for the third- and fifth-year pre-tenure reviews should be retained in the binder for inclusion in the final tenure (or tenure and promotion) application. The candidate will retain a copy of the completed form. **[Front binder pocket]**

## 2. Supporting Materials [Binder 2]

The candidate is responsible for providing a **representative selection** of material in support of the application for promotion or tenure or both. Only materials that provide clearly relevant evidence of quality performance in librarianship, scholarship, and service should be included.

- a. Librarianship—this section should include relevant documents and artifacts that illustrate the candidate's accomplishments in the area of librarianship, as defined in IV.C.1. **[Tab 1 labeled "Librarianship"]**

Examples of evidence include, but are not limited to, the following:

- Select letters or emails from instructors regarding instruction sessions, or teaching in general
- Copies of selected bibliographic or name authority records created by the candidate
- Selected collection development policies created by the candidate
- Copies of reports for institutionally-funded projects (university-awarded grants)
- Selected collection assessment reports
- URLs and/or selected screen shots of web/digital resources created by the candidate, including Resource Guides and online tutorials
- Marketing materials (such as flyers, handouts or brochures) for specific services, events, exhibits, etc. developed by the candidate
- Sample evaluations for instruction sessions
- Acknowledgment letters from colleagues regarding services performed as part of regular library duties (such as thank-you letters or emails)
- Examples of the candidate's active pursuit of professional development, such as certificates earned after completion of a workshop or seminar related to the candidate's primary duties

- b. Scholarship—this section should include evidence of the candidate's scholarly activities, as defined in IV.C.2. **[Tab 2 labeled "Scholarship"]**

Examples of scholarship include, but are not limited to, the following:

- Copies of publications and other scholarly productions, such as journal articles, book chapters, etc.

## Section IX. Portfolio for Promotion and Tenure

- Citation studies of the candidate's publications
  - Abstracts for peer-reviewed posters or presentations
  - Grant reports for externally funded projects
  - Selected screen shots and/or DVDs, CDs, or URLs of significant computer software, databases or web sites that facilitate and contribute to scholarship
- c. Service—this section should include evidence of the candidate's service to the University Libraries, the University, the profession, and the community, as defined in IV.C.3. **[Tab 3 labeled "Service"]**

Examples of service include, but are not limited to, the following:

- Acknowledgment letters and/or emails from committee chairs, heads of community organizations, etc. thanking the candidate for services provided
- Committee rosters listing the candidate and his/her role on those committees
- Program or other marketing material related to events or presentations for which the candidate served as a moderator, organizer, or peer reviewer at professional meetings, conferences, symposia, etc.



**X. Responsibilities of All Participants in the Promotion and Tenure Review Process** All participants in the review process are expected to:

- A. Be fully knowledgeable of the library and University policies regarding promotion and tenure.
- B. Be fully conversant with the candidate's materials. All persons involved in the review process must have read the materials submitted by the candidate in the Portfolio for Promotion and Tenure, including supporting materials.
- C. Attend the appropriate meetings at which the candidate's qualifications are considered. Absence from minor portions of meetings does not disqualify a committee member from voting, unless the absence includes the actual vote. Proxy voting is not allowed.
- D. Maintain absolute confidentiality with respect to all materials, discussions, recommendations, and votes.

**XI. Timetables for Review Processes**

Timetables for key review processes are provided for quick reference purposes. Actual dates in the tentative timetables below will vary slightly from year to year and will be determined by the Dean of the University Libraries no later than May 15 of the preceding academic year. When any of these dates fall on a weekend or other non-business day such as a holiday, the actual deadline will be the first business day after the specified date.

**A. Peer Review Timetable**

<b>Action</b>	<b>When</b>
Selection of librarians to chair Peer Review Committees	January faculty meeting
Committee Chair notifies the candidate in writing that his/her committee member selection is due no later than February 28.	By February 1
Dean submits his/her selection for committee member	By March 15
Candidate submits self-evaluation and current <i>curriculum vitae</i> to Committee Chair	By April 30
Committee and candidate meet to review self-evaluation	By May 15
Committee completes assessment tool and sends copy to candidate	By May 30
Candidate is given the opportunity to send a written response to committee	By June 15
Committee finalizes report and sends copies of it, the written response, and the assessment instrument to the candidate's immediate supervisor and to the Dean	By June 30

**B. Pre-tenure Comprehensive Review Timetable**

<b>Action</b>	<b>When</b>
Dean of the University Libraries notifies eligible untenured faculty in writing that documentation for his/her 3 <sup>rd</sup> or 5 <sup>th</sup> year review is due no later than October 1.	By March 1
Faculty member eligible for review submits the required documentation to the Promotion and Tenure (P&T) Committee Chair.	By October 1
P&T Committee reviews candidate's materials and provides written feedback to the candidate in the form of a letter, written by the P&T Committee Chair and signed by each Committee members. The Chair sends a copy of this letter to the candidate's Division Director (or other primary evaluator). The Chair also forwards a copy of the recommendation letter along with the candidate's Portfolio to the Dean.	By November 1

Section XI. Timetables

The Dean provides written feedback in the form of a letter to the candidate under review. Copies of this letter, along with the P&T Committee's feedback letter, are forwarded to the Provost's Office by the Dean.

By December 1

**C. Concurrent Promotion to Associate Professor and Tenure Timetable**

<b>Action</b>	<b>When</b>
Candidate for promotion to Associate Professor and tenure is notified in writing by the Dean of the University Libraries that application materials are due by October 1.	By March 1
Faculty member eligible for promotion to Associate Professor and tenure submits the required documentation to the Promotion and Tenure (P&T) Committee Chair.	By October 1
The candidate's Division Director (or other appropriate primary evaluator) submits a letter to the P&T Committee Chair about the candidate and forwards a copy to the candidate. Candidates who are Division Directors and report directly to the Dean are exempt from this step.	By October 1
P&T Committee makes a recommendation to the Dean on the promotion and tenure application, and forwards the recommendation letter along with the candidate's Portfolio to the Dean. The Chair of the Committee forwards a copy of the recommendation to the candidate.	By November 15
The candidate may respond to the Committee's recommendation in the form of a letter, which is submitted directly to the Dean, who will include the response in the candidate's Portfolio. If the candidate chooses not to write a response, he/she must submit a written statement that simply acknowledges the Committee's recommendation.	By November 21
The Dean will inform the candidate, in writing, of his/her recommendation and the reasons for it. After the candidate has been notified, a copy of the Dean's recommendation will be forwarded to the P&T Committee.	By December 14
Candidates or concerned individuals (e.g., Division Directors, P&T Committee members) may submit a written response to the Dean. If the candidate chooses not to write a response, he/she must submit a written statement that simply acknowledges the Dean's recommendation.	By December 21
The Dean will consider any additional evidence and responses and send a recommendation in writing to the Provost, along with the completed Procedural Form, Portfolio, and the response(s) of any candidate or concerned individuals. After ensuring the candidate has received notification, the Dean will inform the P&T Committee of the recommendation.	By January 1

Candidates or any other concerned individuals (e.g. Division Directors, P&T Committee members) may file a written response to the Dean's recommendation directly with the Provost.	By January 15
The Provost will review all materials and make recommendations to the President. Each candidate will be informed in writing of the Provost's recommendation.	By January 30
Candidates or any other concerned individuals (e.g. Division Directors, P&T Committee members) may submit a written response to the Provost.	By February 15

#### D. Promotion Timetable

Action	When
Faculty member eligible for promotion submits the required documentation to the Promotion and Tenure (P&T) Committee Chair.	By October 1
The candidate's Division Director (or other appropriate primary evaluator) submits a letter to the P&T Committee Chair about the candidate and forwards a copy to the candidate. Candidates who are Division Directors and report directly to the Dean are exempt from this step.	By October 1
P&T Committee makes recommendation to the Dean on the promotion application, and forwards the recommendation letter along with the candidate's Portfolio to the Dean. The P&T Committee Chair forwards a copy of the recommendation to the candidate.	By November 15
The Dean will discuss the recommendations with the P&T Committee, the candidate, and the candidate's Division Director (or other appropriate primary evaluator).	By December 1
The Dean will submit his/her final recommendation to the Provost. A copy of the recommendation will be forwarded to the candidate at the same time.	By December 15
The Provost will review all materials and make recommendations to the President. Each candidate will be informed in writing of the Provost's recommendation.	By January 30
Candidates or any other concerned individuals (e.g. Division Directors, Promotion and Tenure Committee members) may submit a written response to the Provost.	By February 15

**APPENDIX A**  
**University Libraries Promotion and Tenure Procedural Form**

**Faculty Member's Name:**

**Date of Appointment:**

**Years of credit toward tenure (if any):** \_\_\_\_\_

This form itemizes the promotion and tenure steps that are to be followed in the University Libraries.

As steps are completed, each of the responsible persons (e.g., candidate under review, Division Directors, Chair of the Promotion and Tenure Committee, and Dean) in the unit will provide his or her signature, acknowledging that steps were completed in accordance with the University Promotion and Tenure Policy (I-06-10) and the University Libraries Promotion and Tenure Policy documents, indicating the date on which steps were completed.

Each candidate will be provided an opportunity to sign, acknowledging receipt of written documentation and the date it was received. A candidate's signature will not indicate agreement with the feedback or recommendations at any given point.

Timeline for both promotion and tenure begins July 1. For persons hired after October 31, the timeline will begin July 1 of the following year.

All procedural forms are to be retained and included in promotion and tenure application materials.

Timeline for reviews:

[Dean will insert candidate's individual schedule for reviews here]

**Pre-tenure Review**

**Third Year Review Scheduled: \_\_\_\_\_ (year)**

**Version of Promotion & Tenure Policy under which candidate is being evaluated (UPT-approved revision date) \_\_\_\_\_**

Note: There is a single date line that is to be used when that action is completed not when each person signs it. When any of these dates fall on a weekend or other non-business day such as a university holiday, the actual deadline will be the first business day after the specified date.

<b>Action</b>	<b>When</b>	<b>Signatures &amp; Dates</b>
Dean of the University Libraries notifies eligible untenured faculty in writing that documentation for his/her 3 <sup>rd</sup> year review is due no later than October 1.	By March 1	Date Completed _____ _____ Dean, University Libraries _____ Candidate for Tenure
All documentation required for 3 <sup>rd</sup> year review submitted to the chair of the P&T Committee.	By October 1	Date Completed _____ _____ Chair, Library P&T Committee _____ Candidate for Tenure
P&T Committee reviews materials for the 3 <sup>rd</sup> year review. A letter addressed to the candidate with the Committee's feedback is given to the candidate, and a copy is forwarded to the candidate's Division Director (or other appropriate primary evaluator). A copy is also forwarded to the Dean along with the review materials.	By November 1	Date Completed _____ _____ Chair, Library P&T Committee _____ Dean, University Libraries _____ Candidate's Primary Evaluator _____ Candidate for Tenure
The Dean submits his/her comments and feedback to the candidate in the form of a letter. A copy of this letter is forwarded to the candidate's Division Director (or other appropriate primary evaluator). A copy of this letter is also forwarded to the Provost's Office along with copies of the P&T Committee's letter to the candidate.	By December 1	Date Completed _____ _____ Dean, University Libraries _____ Candidate's Primary Evaluator _____ Candidate for Tenure

**Pre-tenure Review**

**Fifth Year Review Scheduled: \_\_\_\_\_ (year)**

**Version of Promotion & Tenure Policy under which candidate is being evaluated (UPT-approved revision date) \_\_\_\_\_**

Note: There is a single date line that is to be used when that action is completed not when each person signs it. When any of these dates fall on a weekend or other non-business day such as a university holiday, the actual deadline will be the first business day after the specified date.

<b>Action</b>	<b>When</b>	<b>Signatures &amp; Dates</b>
Dean of the University Libraries notifies eligible untenured faculty in writing that documentation for his/her 5 <sup>th</sup> year review is due no later than October 1.	By March 1	Date Completed _____ _____ Dean, University Libraries _____ Candidate for Tenure
All documentation required for 5 <sup>th</sup> year review submitted to the chair of the P&T Committee.	By October 1	Date Completed _____ _____ Chair, Library P&T Committee _____ Candidate for Tenure
P&T Committee reviews materials for the 5 <sup>th</sup> year review. A letter addressed to the candidate with the Committee's feedback is given to the candidate, and a copy is forwarded to the candidate's Division Director (or other appropriate primary evaluator). A copy is also forwarded to the Dean along with the review materials.	By November 1	Date Completed _____ _____ Chair, Library P&T Committee _____ Dean, University Libraries _____ Candidate's Primary Evaluator _____ Candidate for Tenure
The Dean submits his/her comments and feedback to the candidate in the form of a letter. A copy of this letter is forwarded to the candidate's Division Director (or other appropriate primary evaluator). A copy of this letter is also forwarded to the Provost's Office along with	By December 1	Date Completed _____ _____ Dean, University Libraries _____ Candidate's Primary Evaluator _____ Candidate for Tenure



copies of the P&T Committee's letter to the candidate.		
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**Final Tenure Review (including Concurrent Promotion to Associate Professor)**

**Scheduled:** \_\_\_\_\_ (year)

**Version of Promotion & Tenure Policy under which candidate is being evaluated (UPT-approved revision date)** \_\_\_\_\_

Note: There is a single date line that is to be used when that action is completed not when each person signs it. When any of these dates fall on a weekend or other non-business day such as a university holiday, the actual deadline will be the first business day after the specified date.

<b>Action</b>	<b>When</b>	<b>Signatures &amp; Dates</b>
<p>Dean of the University Libraries notifies eligible untenured faculty in writing that documentation for his/her tenure review is due no later than October 1. The Dean also notifies the appropriate Division Directors (or other primary evaluators) that their letters of evaluation and recommendation are due on October 1.</p>	<p>By March 1</p>	<p>Date Completed _____</p> <p>_____</p> <p>Dean, University Libraries</p> <p>_____</p> <p>Candidate's Primary Evaluator</p> <p>_____</p> <p>Candidate for Tenure</p>
<p>Faculty member eligible for promotion and tenure submits the required documentation to the Promotion and Tenure (P&amp;T) Committee Chair.</p>	<p>By October 1</p>	<p>Date Completed _____</p> <p>_____</p> <p>Chair, Library P&amp;T Committee</p> <p>_____</p> <p>Candidate for Tenure</p>
<p>The candidate's Division Director (or other appropriate primary evaluator) submits a letter to the P&amp;T Committee Chair about the candidate and forwards a copy to the candidate. Candidates who are Division Directors and report directly to the Dean are exempt from this step.</p>	<p>By October 1</p>	<p>Date Completed _____</p> <p>_____</p> <p>Candidate's Primary Evaluator</p> <p>_____</p> <p>Chair, Library P&amp;T Committee</p> <p>_____</p> <p>Candidate for Tenure</p>
<p>P&amp;T Committee makes recommendation to the Dean on the promotion and tenure application, and forwards the recommendation letter along with the candidate's Portfolio to the Dean. The Chair of the Committee forwards a copy of the recommendation to the candidate.</p>	<p>By November 15</p>	<p>Date Completed _____</p> <p>_____</p> <p>Chair, Library P&amp;T Committee</p> <p>_____</p> <p>Dean, University Libraries</p> <p>_____</p> <p>Candidate for Tenure</p>

<p>The candidate may respond to the Committee’s recommendation in the form of a letter, which is submitted directly to the Dean. If the candidate chooses not to write a response, he/she so notifies the Dean in writing.</p>	<p>By November 21</p>	<p>Date Completed _____  _____  Dean, University Libraries  _____  Candidate for Tenure</p>
<p>Dean will inform candidate, in writing, of his/her recommendation and the reasons for it. After candidate has been notified, a copy of the recommendation is forwarded to the P&amp;T Committee Chair, who shares the recommendation with the P&amp;T Committee. A copy of the recommendation is also forwarded to the candidate’s Division Director (or other primary evaluator).</p>	<p>No later than the first business day after December 14</p>	<p>Date Completed _____  _____  Candidate for Tenure  _____  Dean, University Libraries  _____  Chair, Library P&amp;T Committee  _____  Candidate’s Primary Evaluator</p>
<p>Candidates or concerned individuals may submit a written response to the Dean.</p>	<p>No later than the first business day after December 21 (optional)</p>	<p>Date Completed _____  _____  Dean, University Libraries  _____  Chair, Library P&amp;T Committee  _____  Candidate for Tenure  _____  Concerned Individual (optional)  _____  Concerned Individual (optional)  _____  Concerned Individual (optional)</p>

<p>The Dean will consider any additional evidence and responses and send a recommendation in writing to the Provost, along with the completed Procedural Form, cumulative Portfolio, and the response(s) of any candidate or concerned individuals. After ensuring the candidate has received notification, the Dean will inform the Promotion and Tenure Committee of the recommendation as well as the candidate's Division Director (or other primary evaluator).</p>	<p>No later than the first business day after January 1</p>	<p>Date Completed _____</p> <p>_____</p> <p>Dean, University Libraries</p> <p>_____</p> <p>Candidate for Tenure</p> <p>_____</p> <p>Chair, Library P&amp;T Committee</p> <p>_____</p> <p>Candidate's Primary Evaluator</p>
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**Promotion:** \_\_\_\_\_ (year)

**Version of Promotion & Tenure Policy under which candidate is being evaluated (UPT-approved revision date)** \_\_\_\_\_

Note: There is a single date line that is to be used when that action is completed not when each person signs it. When any of these dates fall on a weekend or other non-business day such as a university holiday, the actual deadline will be the first business day after the specified date.

Action	When	Signatures & Dates
Faculty member applying for promotion submits the required documentation to the Promotion and Tenure (P&T) Committee Chair.	By October 1	Date Completed _____ _____ Chair, Library P&T Committee _____ Candidate for Promotion
The candidate's Division Director (or other appropriate primary evaluator) submits a letter to the P&T Committee Chair about the candidate. The candidate is also provided with a copy of the letter. Candidates who are Division Directors and report directly to the Dean are exempt from this step.	By October 1	Date Completed _____ _____ Candidate's Primary Evaluator _____ Chair, Library P&T Committee _____ Candidate for Promotion
P&T Committee sends candidate's application materials along with its own recommendation to the Dean of University Libraries. The candidate is also provided with a copy of the letter.	By November 15	Date Completed _____ _____ Dean, University Libraries _____ Chair, Library P&T Committee _____ Candidate for Promotion
Dean discusses recommendations with the P&T Committee, the candidate, and the candidate's Division Director (or other appropriate primary evaluator).	By December 1	Date Completed _____ _____ Dean, University Libraries _____ Chair, Library P&T Committee _____ Candidate's Primary Evaluator _____ Candidate for Promotion

Dean submits final recommendations to the Provost. The candidate is also provided with a copy of the final recommendation letter.	By December 15	Date Completed _____ _____ Dean, University Libraries _____ Candidate for Promotion
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**APPENDIX C**

**Sample Ballot Forms for Promotion and Tenure Committee Decision-making** (useful for preliminary opinion-gathering and for final vote)

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**Promotion and Tenure Committee - Date**

Applicant's name

\_\_-year Review

Re: Recommendation about his/her Proceeding toward Promotion and Tenure — Yes\_\_ No\_\_

Rating of his/her Librarianship: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Scholarly Activities: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Service: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

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**Promotion and Tenure Committee - Date**

Applicant's name

Re: Recommendation for Promotion to Associate Professor and Tenure — Yes\_\_ No\_\_

Rating of his/her Librarianship: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Scholarly Activities: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Service: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

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**Promotion and Tenure Committee - Date**

Applicant's name

Promotion in Rank [separate from application for Tenure] — Yes\_\_ No\_\_

Re: Recommendation for Promotion to Associate Professor

Rating of his/her Librarianship: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Scholarly Activities: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Service: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

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**Promotion and Tenure Committee - Date**

Applicant's name

Promotion in Rank [for tenured faculty] — Yes\_\_ No\_\_

Re: Recommendation for Promotion to Full Professor

Rating of his/her Librarianship: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Scholarly Activities: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_

Rating of his/her Service: Significant\_\_ Satisfactory\_\_ Unsatisfactory\_\_



## **APPENDIX D**

### **University Libraries Promotion and Tenure Policy Revision History**

Approved by University Libraries Faculty:

July 11, 2011

Approved by the University Promotion & Tenure Committee:

December 7, 2011

Revised January 31, 2012

Approved by University Libraries Faculty:

February 2, 2012

Approved by the University Promotion and Tenure Committee:

March 15, 2012

Approved by University Libraries Faculty:

December 6, 2012

Approved by the University Promotion and Tenure Committee:

January 28, 2013

Revised May 6, 2013

Approved by the University Libraries Faculty:

June 6, 2013

Revised Summer 2014

Approved by the University Libraries Faculty:

September 4, 2014

Approved by the University Promotion and Tenure Committee:

February 6, 2015

Revised February 26, 2015

Approved by the University Libraries Faculty:

26 February 2015

Revised April 2, 2015

Revision summary: Substantive changes made to Librarianship to reflect Peer Review evaluation of collaborative and cooperative work; changes made to criteria for promotion to Professor

Approved by the University Libraries Faculty:

April 2, 2015

Revised and approved by the University Libraries Faculty January, 12, 2016

Revised and approved by the University Libraries Faculty February, 4, 2016

Revision summary: New procedure for hiring faculty with tenure, restated qualifications for new faculty hires, and clarified eligibility for P&T committee membership

Approved by the University Promotion and Tenure Committee:

April 1, 2016

Revision summary: Substantive changes include clarification of the peer review process, and document retention Appendix E

Approved by the University Libraries Faculty:

April 6, 2017

Revision summary: Matching section I E with section I C and clarifying procedural form instructions

Approved by the University Libraries Faculty:

June 1, 2017

Revision summary: Numbering of tabs changed in Portfolio for Promotion and Tenure, Binder 1

Approved by the University Libraries Faculty:

September 7, 2017

Revision summary: Substantive changes include clarification of the choice available to tenure-track faculty of the Promotion and Tenure policy under which they will be evaluated, when there are substantial revisions; and of the peer review process

Approved by the University Libraries Faculty:

April 5, 2018

Revision summary: Further clarification of the choice available to tenure-track faculty of the Promotion and Tenure policy under which they will be evaluated, when there are substantial revisions

Approved by the University Libraries Faculty:

May 3, 2018

Approved by the University Promotion and Tenure Committee:

May 7, 2018

**APPENDIX E**  
**Document Retention in Promotion and Tenure Process**

Section IX Portfolio for Promotion and Tenure part A states:

The candidate for promotion or tenure is responsible for the accuracy and completeness of all the necessary materials submitted in the Portfolio for Promotion and Tenure, which should be collected and submitted in two binders...

Review materials are cumulative. The candidate must maintain all necessary materials for the Portfolio. These materials include annual administrative reviews, peer review evaluations, review letters from the Promotion and Tenure Committee, review letters from the Dean of the University Libraries, and Annual Reports on Research, Professional Activities, and Service. The candidate may request support from his/her Division Director (or other primary evaluator) in compiling some of the necessary material, but it is the candidate's responsibility to present a complete Portfolio. The candidate will submit the complete Portfolio (Application and Supporting Materials) to the Chair of the Promotion and Tenure Committee by the appropriate date. The faculty member should keep one complete copy of the materials that he/she included in the Portfolio.

Copies of the third year, fifth year, and peer review letters should not be kept by the P&T committee. Secure collaborative applications with access limited to the committee during the writing of the letters should be used. For peer review, notes and written materials should not be kept. The evaluation of the peer review committee and other materials supplied by the candidate, such as curriculum vitae become part of the official documentation. Draft copies of the letters should be deleted or shredded after the date for a response is passed.