

1 **Promotion and Tenure Procedures for the Faculty of The University of Kansas Libraries**

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3 Adopted by a Faculty Vote on December 19, 2016  
4 Approved by the Faculty Senate Committee on  
5 Standards and Procedures for Promotion and Tenure Spring 2017  
6

7 General Provisions  
8

9 *Scope and Purpose.* The award of tenure and/or promotion in rank are among the most  
10 important and far-reaching decisions made by the Libraries because an excellent faculty is an  
11 essential component of any outstanding institution of higher learning. Promotion and tenure  
12 decisions also have a profound effect on the lives and careers of faculty. Recommendations  
13 concerning promotion and tenure must be made carefully, based upon a thorough examination  
14 of the candidate's record and the impartial application of these criteria and procedures,  
15 established in compliance with the *Faculty Senate Rules and Regulations* (FSRR) Article VI.  
16

17 It is the purpose of this document to promote the rigorous and fair evaluation of faculty  
18 performance during the promotion and tenure process by (a) establishing criteria that express  
19 the Libraries' expectations for meeting University standards in terms of disciplinary practices; (b)  
20 providing procedures for evaluation of professional performance, scholarship, and service (c)  
21 preserving and enhancing the participatory rights of candidates, including the basic right to be  
22 informed about critical stages of the process and to have an opportunity to respond to negative  
23 evaluations; and (d) clarifying the responsibilities, roles, and relationships of the participants in  
24 the promotion and tenure review process.  
25

26 Each review, including the Libraries' review and the University level review, is an independent  
27 evaluation of a candidate's record of performance and makes independent recommendations to  
28 the next review level. The University's review neither affirms nor reverses the Libraries'  
29 recommendation, which remain part of the record for consideration by the Chancellor. It is the  
30 responsibility of each person involved in the review process to exercise their own judgment to  
31 evaluate a faculty member's professional performance, scholarship, and service based upon the  
32 entirety of the data and information in the record. No single source of information, such as peer  
33 review letters, shall be considered a conclusive indicator of quality.  
34

35 *Academic Freedom.* All faculty members, regardless of rank, are entitled to academic freedom  
36 in relation to teaching (professional performance) and scholarship, and the right as citizens to  
37 speak on matters of public concern. Likewise, all faculty members, regardless of rank, bear the  
38 obligation to exercise their academic freedom responsibly and in accordance with the accepted  
39 standards of their academic disciplines.  
40

41 *Confidentiality and Conflicts of Interest.* Consideration and evaluation of a faculty member's  
42 record is a confidential personnel matter. Only those persons eligible to vote on promotion and  
43 tenure may participate in or observe deliberations or have access to the personnel file (except  
44 that administrative staff may assist in the preparation of documents under conditions that assure  
45 confidentiality).  
46

47 No person shall participate in any aspect of the promotion and tenure process concerning a  
48 candidate when participation would create a clear conflict of interest or compromise the  
49 impartiality of an evaluation or recommendation.  
50

51 If a candidate believes that there is a conflict of interest, the candidate may petition to have that  
52 person recuse themselves. If a committee member does not recuse themselves, a decision  
53 about whether that person has a conflict of interest shall be made by a majority of the other  
54 committee members.

55

## 56 Promotion and Tenure Standards

57

58 *General Principles.* The University strives for a consistent standard of quality against which the  
59 performance of all faculty members is measured. Nonetheless, the nature of faculty activities  
60 varies across the University and a faculty member's record must be evaluated in light of their  
61 particular responsibilities and the expectations of the discipline. These criteria state the  
62 Libraries' expectations in the areas of professional performance, scholarship, and service  
63 necessary to satisfy the University standards for promotion for the award of tenure and/or  
64 promotion to associate librarian or specialist and for promotion to full librarian or specialist. In  
65 the rest of this document, "librarian" refers to both librarians and library specialists, both  
66 classifications which fall under the category of library faculty.

67

68 The focus of promotion and tenure review is on professional growth and achievement. The  
69 award of promotion in rank and tenure for librarians represents a prediction that the individual  
70 will continue to make substantive contributions to the University and the profession. The  
71 University of Kansas, along with most other research universities in the United States, evaluates  
72 librarians primarily on the quality of their performance in their professional assignments. For  
73 librarians the emphasis, as practitioners, is reflected in the standard annual assignment of  
74 between 70 and 90 percent of effort to their primary professional assignment. Librarians are  
75 also expected to participate in service activities and to develop a program of research,  
76 scholarship, or creative artistic professional activities, with 10 to 30 percent of their annual effort  
77 applied collectively to these areas.

78

79 In the case of unclassified academic staff, comparable professional responsibilities, as defined  
80 by the Libraries and the standards of the discipline, will be evaluated. Under the University  
81 standards for unclassified academic staff, those standards must be commensurate with the  
82 standards for tenure-track faculty members. These responsibilities include: professional  
83 performance, scholarship, and service. Expectations and allocations of effort for these three  
84 areas are dependent on the individual assignment.

85

86 *Professional Performance.* Librarians hold 12-month appointments. The standard annual  
87 assignment for professional performance typically comprises 70 to 90 percent of a librarian's  
88 assignment. It is expected that librarians will fulfill their professional duties at a high level of  
89 effectiveness resulting in significant accomplishments. Librarians' duties can be varied, and can  
90 change frequently, due to the changing nature of the environment in which they work. As  
91 information specialists, library faculty are involved in the development and design of library  
92 resources, collections, and information systems; information management and organization;  
93 instructional and research consultation and support services; and administration and planning.  
94 While no single definition or standard of excellence can adequately address all aspects of  
95 librarianship, effective librarians will need to demonstrate competence, currency in one's area,  
96 creativity, and initiative. The quality of professional performance and competence in carrying out  
97 one's assigned responsibilities, coupled with the candidate's strengths, are the focal points for  
98 evaluation of professional performance.

99

100 For the award of tenure and/or promotion to the rank of Associate Librarian/Associate  
101 Specialist: The candidate's record shall demonstrate effective library practice as reflected in  
102 such factors as command of responsibilities, the ability to communicate effectively, and a  
103 demonstrated commitment to the mission of the Libraries, the University, and the profession.  
104

105 For the award of promotion to the rank of Librarian/Specialist: The candidate's record shall  
106 demonstrate achievement in, and document evidence of, distinguished professional  
107 performance in a successfully developing career, with evidence of sustained productivity. The  
108 candidate shall have achieved a measure of national recognition in librarianship, an area of  
109 specialization, or a related area, and demonstrate continued effectiveness and growth as a  
110 librarian. Such effectiveness and growth will be reflected in such factors as mastery of library  
111 practice and professional skills, and a demonstrated and ongoing commitment to the mission of  
112 the Libraries, the University and the profession.  
113

114 *Scholarship.* The concept of "scholarship" encompasses not only traditional academic research  
115 and publication, but also the creation of artistic works or performances and any other products  
116 or activities accepted by the academic discipline as reflecting scholarly effort and achievement  
117 for purposes of promotion and tenure. While the nature of scholarship varies among disciplines,  
118 the University adheres to a consistently high standard of quality in its scholarly activities to  
119 which all faculty members, regardless of discipline, are held. Librarians are expected to engage  
120 in research and scholarly activity. The standard annual assignment for research and scholarly  
121 activities typically comprises 5 to 20 percent of a librarian's assignment. This percentage may  
122 be adjusted upward only upon full agreement between the candidate and the Dean of Libraries.  
123 The wide range of librarians' assignments at KU and the demands of 12- month appointments  
124 lead to variation in the type and amount of scholarly or creative activities in which they engage.  
125 It is expected that the outcomes of these activities will be disseminated and subject to critical  
126 peer evaluation. In this way, library faculty will contribute to enhancing the profession of  
127 librarianship or a related area, or a specialized subject area, in which they conduct research.  
128

129 Librarians are encouraged to develop a research program that is sustained and strengthened  
130 over time; however, the rapidly changing nature of librarianship may lead to new areas of  
131 research that may be reflected in the librarian's research program.  
132

133 The research program should contribute, at least initially, to the field of librarianship or a related  
134 area, and be consistent with the mission of the Libraries. However, because librarianship does  
135 not exist in isolation from the community it serves, but rather co-exists with and contributes to all  
136 disciplines, scholarly endeavors of librarians may reflect this symbiosis and cross disciplinary  
137 boundaries.  
138

139 Much of the advancement of librarianship depends on formal collaborative efforts. In  
140 librarianship, participation in collaborative scholarship is acknowledged as requiring application  
141 of knowledge and expertise equivalent to that demonstrated in individual research and  
142 publication. However, the processes and rewards of tenure and promotion pertain to the  
143 accomplishments of the individual, not the group. Therefore, when work that is the outcome of  
144 joint effort is presented as evidence of scholarship, clarification of the candidate's role and  
145 extent of contribution in the joint effort must be provided.  
146

147 Assistant librarians/specialists should begin their research program early and establish a  
148 sustained program of scholarly activity. Documented activities should demonstrate that the  
149 candidate's experience has led to a broad understanding of the field, that the candidate has

150 mastered a part of it, and that there has been intellectual development and contributions beyond  
151 those called forth by routine daily assignments.

152  
153 Criteria for evaluation will include originality, breadth of dissemination, and impact on  
154 scholarship and/or practice in the candidate's field of research. Particularly important are works  
155 that have been reviewed by peers as worthy of merit. It should be emphasized that quality of  
156 scholarship is not measured in numbers; however, quantity of contributions is useful in  
157 demonstrating the candidate's growth as a scholar, ongoing dissemination of research findings,  
158 and continuing commitment to scholarship.

159  
160 During the promotion and tenure process, librarians submit research for consideration as major  
161 or minor works based on a variety of factors including, but not limited to, the reputation of the  
162 venue of publication/presentation, the depth and rigor of the research, and the impact of the  
163 research on the discipline. Determination of which category to use is made by the individual  
164 librarian. (See Appendix on Examples of Major and Minor Scholarly Contributions for additional  
165 information.)

166  
167 For the award of tenure and/or promotion to the rank of Associate Librarian/Associate  
168 Specialist: The candidate must present at least three scholarly contributions demonstrating a  
169 coherent, consistently strengthening program of research and scholarly activities as evidence of  
170 commitment to and accomplishment in librarianship or a related area. The candidate may  
171 conduct research in subject areas outside those normally considered librarianship or a related  
172 area; however, at least one (1) contribution must reflect how their research relates to or informs  
173 their practice of librarianship or a related area. It is required that candidates have at least one  
174 (1) major work in their dossier. Beyond the one (1) required major work, the contribution of  
175 minor works is fully consistent with a successful promotion and tenure review decision for  
176 librarians. Evidence of research and scholarly activities may manifest itself in both print and  
177 electronic form and these creative and scholarly contributions may include, but are not limited  
178 to: books, book chapters, peer-reviewed journal articles, reports, position papers, annotated  
179 bibliographies; presentations at professional meetings, poster sessions, exhibitions; editorial  
180 board service; fellowships or grants.

181  
182 For the award of promotion to the rank of Librarian/Specialist: The research record must  
183 demonstrate an established scholarly career as reflected in such factors as a substantial and  
184 ongoing pattern of publication or creative activity, external reviews of the candidate's work by  
185 eminent scholars or practitioners in the field, the candidate's national or international  
186 recognition, and other evidence of an active and productive scholarly career. The candidate  
187 must present at least four (4) scholarly contributions completed since promotion to Associate  
188 Librarian. Candidates, having demonstrated mastery in an area of practice in librarianship or a  
189 related area, may conduct research in subject areas outside those normally considered  
190 librarianship or a related area. It is required that at least two (2) of these contributions be major  
191 works. Beyond the two (2) required major works, the contribution of minor works is fully  
192 consistent with a successful promotion and tenure review decision for librarians. Promotion to  
193 Librarian carries with it the expectation of command of a subject, and active and continuous  
194 involvement in the profession.

195  
196 *Service.* Service is an important responsibility of all librarians that contributes to the University's  
197 performance of its larger mission. Although the nature of service activities will depend on a  
198 candidate's particular interests and abilities, service contributions are an essential part of being  
199 a good citizen of the University. The University of Kansas Libraries accepts and values

200 scholarly service to the discipline or profession, service within the University, and public service  
201 at the local, state, national, or international level.

202  
203 Librarians' service is evaluated on the basis of quality, the candidate's demonstrated level of  
204 contributions, and significance or impact of the service. Contributions that require a substantial  
205 effort, and that produce significant results, will be rated more highly. The librarian's dossier  
206 should reflect continued growth and leadership in service over time. Evidence of service may  
207 include, but is not limited to: active participation in library, university, state, regional, national, or  
208 international professional committees and task forces; service as a chair of a committee or task  
209 force, or as an officer of a local, state, regional, national, or international professional  
210 organization; consulting services, program or conference planning for professional  
211 organizations; mentorship of new faculty or within the profession; or presentations to community  
212 groups or civic organizations.

213  
214 For promotion and tenure to Associate Librarian/Specialist: The candidate must minimally  
215 demonstrate a solid and high quality record of service at the library and/or university level with  
216 some service at the state or regional level.

217  
218 For promotion to Librarian/Specialist: The candidate must demonstrate an increasingly broader  
219 service record resulting in national or international recognition, with evidence of leadership roles  
220 at the library, university, and any of the following: state, regional, national, or international levels.

221  
222 *Rating for Performance.* Using the criteria described above, the candidate's performance in the  
223 areas of professional performance, scholarship, and service will be rated using the terms  
224 "excellent," "very good," "good," "marginal," or "poor," defined as follows:

- 225  
226 (a) "Excellent" means that the candidate substantially exceeds expectations for tenure and/or  
227 promotion to this rank.  
228 (b) "Very Good" means the candidate exceeds expectations for tenure and/or promotion to this  
229 rank.  
230 (c) "Good" means the candidate meets expectations for tenure and/or promotion to this rank.  
231 (d) "Marginal" means the candidate falls below expectations for tenure and/or promotion to this  
232 rank.  
233 (e) "Poor" means the candidate falls significantly below expectations for tenure and/or promotion  
234 to this rank.

235  
236 Absent exceptional circumstances, no candidate may be recommended for promotion or tenure  
237 without meeting standards in all applicable areas of performance.

### 238 239 Promotion and Tenure Procedures

240  
241 The Libraries conduct the review of the candidate pursuant to the procedures and requirements  
242 of section 5 of Article VI of the *FSRR* in connection with the candidate's responsibility in the  
243 Libraries.

244  
245 *Promotion and Tenure Committee.* The Libraries review committee shall evaluate the  
246 candidate's professional performance, research, and service. In the Libraries, the review is  
247 conducted by the members of the Library Committee on Promotion & Tenure (LCPT). LCPT is  
248 elected by members of the library faculty consisting of five library faculty, either tenured or  
249 having completed their probationary period, with a minimum of three library faculty with the rank

250 of librarian or unclassified academic staff of equivalent rank. A candidate may invoke FSRR  
251 6.1.4.4 if they believe there to be a conflict of interest by any member of LCPT.

252  
253 Members of LCPT shall ordinarily serve three years with overlapping terms to provide continuity.  
254 Members may not ordinarily succeed themselves without one-year intervening. No students or  
255 untenured faculty members, except unclassified academic staff with the rank equivalent to or  
256 higher than associate librarian, shall serve on LCPT or vote on any recommendation concerning  
257 promotion and/or tenure. No librarian who is scheduled for promotion may stand for election or  
258 serve on the committee during the year in which he or she will be reviewed for promotion or  
259 non-reappointment; anyone who has a domestic or familial relationship to the librarian being  
260 considered for tenure or promotion may not serve on the committee during that year; a unit  
261 head or supervisor of a librarian being considered for promotion or tenure may not serve on the  
262 committee during that year; no librarian may serve simultaneously on LCPT and University  
263 Committee on Promotion and Tenure (UCPT).

264  
265 Prior to the beginning of the spring semester, the Provost notifies all faculty whose mandatory  
266 review year will be the following academic year, with copies provided to the unit administrators.  
267 Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year,  
268 the Libraries shall initiate procedures for evaluating the candidate for the award of promotion  
269 and/or tenure.

270  
271 As part of the annual faculty evaluation process, the Libraries shall consider the qualifications of  
272 all tenured librarians and associate specialist faculty members below the rank of full  
273 librarian/specialist, with a view toward possible promotion in rank during the following academic  
274 year. After considering a faculty member's qualifications, if the Libraries determine that those  
275 qualifications may warrant promotion in rank, it shall initiate procedures for reviewing the faculty  
276 member for promotion. Although there may be some variation, continuing productivity should  
277 prepare most librarians for promotion to full librarian within six years of their promotion to the  
278 rank of associate librarian.

279  
280 *Preparation of the Promotion and/or Tenure File.* It is the responsibility of the candidate to  
281 complete the appropriate portions of the form and provide necessary documents and  
282 information in accordance with the Provost's guidelines.

283  
284 LCPT shall receive the form and accompanying materials from the candidate and finish  
285 compiling the record of the candidate's professional performance, scholarship, and service in  
286 accordance with the Provost's guidelines.

287  
288 The candidate and their supervisor recommend separately names of reviewers who are  
289 qualified to provide external evaluations of scholarly activity. Recommended names are  
290 submitted to the Libraries' administrative office and the Dean of Libraries is responsible for  
291 using their judgment in the final selection of reviewers. Emphasis shall be placed on selecting  
292 independent reviewers in the same or related discipline who hold academic rank or a  
293 professional position equal to or greater than the rank for which the candidate is being  
294 considered. The candidate shall have the opportunity to suggest individuals to be excluded  
295 from the list of reviewers.

296  
297 When soliciting external reviews of a candidate's scholarship, the Libraries shall inform  
298 prospective reviewers of the extent to which the candidate will have access to the review. The

299 Libraries' confidentiality policy regarding soliciting external reviewers for the promotion and  
300 tenure review process is as follows:

301  
302 *The promotion process requires that we solicit assessments of (Librarian's) research*  
303 *contributions from academic colleagues and distinguished professionals. These letters*  
304 *will become part of the candidate's promotion dossier and are treated as confidential by*  
305 *the University to the extent we are permitted to do so by law.*

306  
307 The Libraries' administrative office sends requests for review of service and professional  
308 performance to individuals identified by the candidate and places an open call to all members of  
309 the Libraries' faculty and staff to provide input to the file. All submissions are treated  
310 confidentially.

311  
312 *Recommendations.* Upon completion of the record, LCPT evaluates the candidate's record of  
313 professional performance, scholarship, and service in light of the applicable standards and  
314 criteria and makes recommendations in accordance with the voting procedures detailed below.

315  
316 After extensive discussion, LCPT completes the evaluative sections for professional  
317 performance, research, and service including ratings in all three areas as defined in FSRR  
318 6.3.2.2, a statement of reasons for those ratings, and a final recommendation. Voting is  
319 conducted by secret, paper ballot for each area. The rating assigned is determined by a  
320 majority vote.

321  
322 The forms and recommendations shall be forwarded to the Dean of Libraries who shall indicate  
323 separately, in writing, whether they concur or disagree with the recommendations of the review  
324 committee. The Dean of Libraries shall communicate the recommendations of the review, and  
325 their concurrence or disagreement with the recommendation to the candidate and provide the  
326 candidate with a copy of the summary evaluation section of the promotion and tenure form.  
327 Negative recommendations shall be communicated in writing and, if the review will not be  
328 forwarded automatically, the Dean of Libraries shall inform the candidate that they may request  
329 that the record be forwarded for further review.

330  
331 The candidate may submit a written response to a negative recommendation resulting from the  
332 review to a final rating of professional performance, research, or service below the level of  
333 "good" included in the summary evaluation section. The written response is sent separately to  
334 UCPT.

335  
336 Favorable recommendations shall be forwarded to UCPT. Negative recommendations shall go  
337 forward only if it is the candidate's mandatory review year. If there is an unfavorable  
338 recommendation for a librarian who is not in the mandatory review year, the Dean shall forward  
339 the file to the UCPT only if the candidate requests.

340  
341 A request for information by UCPT shall be sent to the Dean of Libraries who shall immediately  
342 provide a copy to the candidate and inform LCPT. The Dean of Libraries and/or LCPT shall  
343 prepare the Libraries' response. The candidate shall be afforded an opportunity to participate in  
344 the preparation of the Libraries' response and/or to submit their own documentation or comment  
345 to UCPT as applicable.

346  
347

348 **Revision History:**  
 349 Recommended by the Library Faculty Assembly (adopted May 1980)  
 350 Revised: October 1985  
 351 Revised: July 2000  
 352 Revised: June 2006 and approved by the Dean  
 353 Revised: November 2008 to reflect new titles  
 354 Revised: June 2009, July 1st, 2009, by the Library Faculty and Professionals Assembly and approved by  
 355 the Dean, July 2009.  
 356 Revised: December 17, 2009, by the Library Faculty and Professionals Assembly and by the Dean of  
 357 Libraries.  
 358 Revised: July 2014, by the Library Faculty and Professionals Assembly and the Dean to reflect the  
 359 incorporation of Unclassified Academic Staff.  
 360 December 2016, the Library Faculty Assembly voted by ballot to replace the *Discipline Expectations for*  
 361 *Library Faculty at KU* with the *Promotion and Tenure Procedures for the Faculty of The University of*  
 362 *Kansas Libraries*. This new document did not change any requirements. It simply put the content of the  
 363 *Discipline Expectations* into the template preferred by SPPT.  
 364 Approved: Spring 2017, by SPPT  
 365  
 366

367 **Examples of Major and Minor publications or scholarly work.**

<b><i>This is not intended to be a comprehensive list. Major</i></b>	<b>Minor</b>
Peer-reviewed journal article.*	Non-peer reviewed journal article.*
Book or scholarly journal editor or co-editor.	Editorial board service. <sup>1</sup>
Book chapters.*	Poster sessions at conferences, symposium, professional meetings.*
Software development.* <sup>2</sup>	Software development.* <sup>2</sup>
Fellowships or grants.†	Fellowships or grants.†
Reports, white papers or position papers.µ	Reports, white papers or position papers.µ
Curating.‡ <sup>2</sup>	Curating.‡ <sup>2</sup>
Papers given at national or international	Papers given at local/regional meetings.*
Peer reviewed conference proceedings.*	Presentations at local or regional professional meetings.‡
A peer reviewed paper based on a presentation w/conference proceedings	Encyclopedia articles.*
Invited and peer reviewed papers presented to national/international peer	Book reviews. <sup>3</sup>
Scholarly monograph in the field of librarianship or in a related discipline.*	Annotated bibliography.* <sup>1</sup>
Book-length edited bibliographies or reference works.*	A compilation or indexing of specific collections.*

368  
 369 \* Single or co-authored. <sup>1</sup> Depending on the depth, length and rigor of the scholarly contribution, the work might be  
 370 considered major or minor. <sup>2</sup> Depending on the size of the project and impact in the field and/or university, with  
 371 evidence of widespread use (e.g. number of downloads or outside letters, for example). <sup>3</sup> Depending on the depth,  
 372 length and rigor of the scholarly contribution, the book review may be considered a minor scholarly work. Otherwise  
 373 consider it to be service. µ The work represents an important contribution to the discipline and brings documented  
 374 positive reviews or impacts the practice of librarianship, it would be considered major; otherwise a minor work. †  
 375 Depending on the award amount and number of coapplicants, it might be a major or minor work. ‡ The importance  
 376 of a presentation is assessed by the content, preparation, and research required and the forum to which it is  
 377 delivered.