

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

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

General Provisions

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

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

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

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

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

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

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.

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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
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 366

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

<i>This is not intended to be a comprehensive list. Major</i>	Minor
Peer-reviewed journal article.*	Non-peer reviewed journal article.*
Book or scholarly journal editor or co-editor.	Editorial board service. ¹
Book chapters.*	Poster sessions at conferences, symposium, professional meetings.*
Software development.* ²	Software development.* ²
Fellowships or grants.†	Fellowships or grants.†
Reports, white papers or position papers.µ	Reports, white papers or position papers.µ
Curating.‡ ²	Curating.‡ ²
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. ³
Scholarly monograph in the field of librarianship or in a related discipline.*	Annotated bibliography.* ¹
Book-length edited bibliographies or reference works.*	A compilation or indexing of specific collections.*

368
 369 * Single or co-authored. ¹ Depending on the depth, length and rigor of the scholarly contribution, the work might be
 370 considered major or minor. ² 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). ³ 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.