

# Criteria, Standards, and Procedures for Career-line, Tenure-line, Tenured Marriott Library Faculty

This document constitutes Marriott Library's:

**Statement of Review and Promotion Procedures for Career-line Faculty**  
required by University Policy [6-310](#)

**Statement of Retention, Promotion, and Tenure Criteria, Standards, and  
Procedures**  
required by University Policies [6-303](#) & [6-311](#)

**Statement of Tenured Faculty Reviews Criteria, Standards, and Procedures**  
required by University Policies [2-005](#) & [6-303](#)

Record of Approvals:  
Criteria and Standards Approved by Marriott Library Faculty  
December 3, 2014

Review and Promotion Procedures for Career-line Faculty Approved by Marriott  
Library Faculty  
December 3, 2014

Retention, Promotion, and Tenure Procedures Approved by Marriott Library  
Tenure-line Faculty  
December 3, 2014

Tenured Faculty Review Procedures Approved by Marriott Library Tenured Faculty  
December 3, 2014

Document Approved by Dean  
December 3, 2014

Document Approved by Academic Senate Faculty Review Standards Committee  
January 26, 2015

Updated February 4, 2016

Implementation Date  
April 1, 2015

J. WILLARD MARRIOTT LIBRARY  
UNIVERSITY OF UTAH

# TABLE OF CONTENTS

Introduction, Mission Statement, Effective Date	3
Overview of Criteria and Standards	5
Evaluation Guidelines	7
Procedures for Reviewing Faculty	13
Review, Reappointment, and Promotion Procedures for Career-line Faculty	13
Retention, Promotion, Tenure Procedures for Tenure-line Faculty	15
Review and Promotion Procedures for Tenured Faculty	25
Glossary of Terms	28

# **Introduction, Mission Statement, Effective Date**

## **The Intellectual Role of the Librarian at the University of Utah**

The Marriott Library inspires the creation, discovery, and use of knowledge for Utah and the world by offering world-class resources, user-focused services, expert and responsive faculty and staff, and a technology-rich, inviting library.

Faculty at the Marriott Library connect people to knowledge and information. Library faculty instruct, investigate, and serve with regards to the production, creation, and management of information, the assessment of information, and the ethical use of information. Marriott Library faculty support literacy in its various forms, including information and visual literacy and research and technology literacy. Library faculty advocate for democratic access to information, develop tools in information science, and preserve human culture by selecting, organizing, and preserving knowledge. No matter the area, library faculty strive for excellence.

As a unit of the University of Utah, the Marriott Library remains committed to the overall mission of the institution to achieve excellence. While U Policy [6-303](#) enumerates three criteria in which to strive for excellence--teaching, research/creative activity, and service--the faculty at Marriott Library engage in librarianship (of which teaching is a part), research/creative activity, and service. As an additional element of librarianship, library faculty support the teaching and research activities of U of U faculty colleagues, enrolled students, and university staff.

The intellectual role of the librarian includes establishing accurate connections between searcher and information, facilitating research competencies, developing authentic relationships with learners (whether student, staff, or faculty) in order to ensure that information seekers find the right information at the right time, and integrating information literacy across the University's curriculum.

Librarianship encompasses a wide range of intellectual activities in which library faculty invest significant effort as individuals. Individual achievement depends on unique ability, commitment, and opportunity. While this document acknowledges that members of the library faculty operate as individuals, its primary purpose is to define basic, applicable criteria and standards for judging individual performance and progress as part of a whole—that is, as members of the faculty of the U of U. In turn, these criteria and standards serve as a mechanism to define the services, collections, and instruction the university community (and other learners and information seekers) can anticipate and rely.

To achieve promotion as well as tenure at Marriott Library, candidates must demonstrate excellence in librarianship/teaching, sustained effectiveness in research/creative activity, and excellence in service. Individual personality or personal behavior will have no bearing upon recommendations unless such factors

become detrimental to effective Library and University performance. Race, ethnicity, religion, gender, sexual orientation, gender expression/identity, citizenship, national origin, and political attitudes remain irrelevant in a performance evaluation. Library faculty are expected to uphold the Code of Faculty Rights and Responsibilities (U Policy [6-316](#)) as responsible members of U of U faculty. Library faculty who engage in evaluating the performance of their peers strive to employ reliable and valid indicators. All library faculty bear in mind that judgments about performance are part of a professional peer review process that utilizes both qualitative and quantitative information to comment on what constitutes important librarianship/teaching, research/creative, and service goals. Review, retention, promotion, and/or tenure decisions require judgments about the complete professional performance of an individual on a case-by-case basis.

### **Effective Date and Application to Existing Faculty**

The criteria, standards, and procedures contained in this document are effective as of April 1, 2015 (“the new standards”). All faculty member candidates appointed on or after this date will be considered under these new standards.

Candidates whose appointments began prior to that date who are reviewed either for retention or for promotion with granting of tenure (Assistant to Associate) or the granting of tenure only (candidates hired at the rank of Associate Librarian or Librarian without tenure) will have the option of choosing either 1) the prior standards (those in effect prior to April 1, 2015), or 2) the new standards (those in effect after April 1, 2015). The new standards will apply unless the candidate’s choice of the prior standards is communicated to the responsible Associate Dean by signed letter before review materials are sent to reviewers for external review.

Candidates who were hired prior to the effective date of the new standards but who will be reviewed for promotion to the rank of Librarian after their effective date, must be reviewed according to the standards in effect at the time the candidate’s file is submitted to external reviewers.

Candidates who are under consideration for Tenured Faculty Review (TFR) in 2015 or 2016 will have the option of choosing either (1) the prior standards, or (2) the new standards. The new standards will apply unless the candidate’s choice of prior standards is communicated to the responsible Associate Dean by signed letter by the specified date of the candidate’s review year. Candidates under consideration for TFR in 2017 or subsequent years will be reviewed according to the new standards.

Regardless of the standards being used, review materials prepared and submitted to the candidate file should be based on the academic calendar, from July 1 to June 30 each year.

# Overview of Criteria and Standards

A faculty member under review at Marriott Library is judged according to his or her level of individual performance within three criteria:

- (1) Librarianship/Teaching
- (2) Research/Creative Activity
- (3) Service

The possible standards of performance include:

- Excellent
- Sustained Effectiveness
- Not Satisfactory

Faculty members need to meet certain standards and performance levels for each criteria. The procedures involved in applying the standards of performance depend on the faculty member's category and rank. A general guide is listed here.

The **Evaluation Guidelines** provide more detail on each criteria and the expected standards of performance for each criteria found on the following pages. The **Procedures for Reviewing Faculty** shows the process used and is organized based on faculty category (career-line, tenure-line, tenured) and rank (assistant librarian, associate librarian, librarian).

## CAREER-LINE FACULTY (Review and Promotion)

### *Review at the Rank of Assistant Librarian (Research or Lecturer)*

In accordance with the terms of the employment contract, an Assistant Librarian must demonstrate reasonable potential and progress toward excellence in librarianship/teaching, sustained effectiveness in research/creative activity, and excellence in service.

### *Review and Promotion from Assistant to Associate Librarian (Research or Lecturer)*

Promotion requires ratings of *excellent* in librarianship/teaching, *sustained effectiveness* in research/creative activity, and *excellent* in service to the University, profession, and/or the public.

### *Promotion from Associate to Full Librarian (Research or Lecturer)*

Promotion to the rank of Full Librarian is the pinnacle of rank achievement for Marriott Library Faculty and acknowledges professional promise fulfilled as well as continued professional growth. Advancement to this rank requires ratings of *excellent* in librarianship/teaching, *sustained effectiveness* in research/creative activity, and *excellent* in service to the University, profession, and the public. Attainment of the rank of Full Librarian requires creation of a distinctive body of

work that impacts the leadership of the Marriott Library as well as the University, contributes to the advancement of the profession statewide and nationally, and supports the general public in pursuit of their information needs.

#### TENURE-LINE FACULTY (Retention, Promotion, and Tenure)

##### *Retention at the Rank of Assistant Librarian*

During the probationary period, an Assistant Librarian must demonstrate “reasonable potential” (U Policy [6-303](#)) and progress toward excellence in librarianship/teaching, sustained effectiveness in research/creative activity, and excellence in service.

##### *Promotion from Assistant to Associate Librarian with Tenure*

Promotion and tenure are considered at the same time for Marriott Library Faculty and require ratings of *excellent* in librarianship/teaching, *sustained effectiveness* in research/creative activity, and *excellent* in service to the University, profession, and/or the public.

##### *Award of Tenure to Candidates Hired as Associate Librarian or Librarian*

For anyone hired at the rank of Associate Librarian before achieving tenure, the subsequent conferral of tenure requires that the faculty member provide convincing evidence that s/he will continue to achieve the standards expected of an Associate Librarian and is likely to achieve the standards expected for promotion to the rank of Librarian. For anyone hired at the rank of Librarian before achieving tenure, the subsequent conferral of tenure requires that the faculty member provide convincing evidence that s/he will continue to achieve the standards expected of a Librarian.

#### TENURED FACULTY (Review and Promotion)

In accordance with U Policy [2-005](#) and [6-303](#), tenured faculty will maintain standards of *excellent* in librarianship/teaching, *sustained effectiveness* in research/creative activity, and *excellent* in service to the University, profession, and/or the public.

##### *Promotion from Associate to Full Librarian*

Promotion to the rank of Full Librarian is the pinnacle of rank achievement for Marriott Library Faculty and acknowledges professional promise fulfilled as well as continued professional growth. Advancement to this rank requires ratings of *excellent* in librarianship/teaching, *sustained effectiveness* in research/creative activity, and *excellent* in service to the University, profession, and the public. Attainment of the rank of Full Librarian requires creation of a distinctive body of work that impacts the leadership of the Marriott Library as well as the University, contributes to the advancement of the profession statewide and nationally, and supports the general public in pursuit of their information needs.

# Evaluation Guidelines

Members of the Faculty Review Committee and the RPT Advisory Committee ensure that candidates are carefully evaluated in accordance with the criteria and standards specified in this document.

## **1a. Librarianship**

Librarianship refers to professional-level work involved in (1) ensuring accurate connections between searcher and information, (2) facilitating research competencies, (3) developing authentic relationships with learners in order to ensure that they find the right information at the right time, or (4) integrating information literacy across the curriculum.

The four components of librarianship are:

### *Accurate Connections*

Ensuring accurate connections to information includes building, managing, or facilitating access to a collection, describing information, demonstrating searching techniques, and/or displaying or producing information. In judging the candidate's ability to ensure accurate connections to information, consideration shall be given to the following: What is the quality of the techniques used to establish connections to information? How current are the methods used? Does the candidate meet expectations established by his/her division in the library?

### *Facilitating Research and Scholarship Competencies*

Library faculty work in an academic environment where students follow a course of study and collaborate with faculty from unique disciplines. As librarians, we know that a world of information exists beyond disciplinary boundaries and part of our professional role is to make the existence of broader information known and findable, such as research guides. In judging the candidate's ability to facilitate research competencies, consideration shall be given to the following: How has the candidate contributed to the University's mission?

### *Developing Authentic Relationships with Learner and Information Seekers*

Understanding the basic information needs of students, staff, and faculty remains essential in order to meet the library profession's standard of finding the right information at the right time. In judging the candidate's ability to develop authentic relationships with learners and information seekers, consideration shall be given to the following: How effectively has the candidate worked with the university community, including undergraduate/graduate students, faculty, university staff, and university administration?

### *Integrating Information Literacy Across the Curriculum*

Library faculty collaborate with specific programs, individual course instructors, and independent learners in order to integrate information literacy skills broadly

across the curriculum. In support of information literacy goals, librarians engage in activities such as developing lesson plans, assignments, and other course materials; delivering invited lectures; serving as embedded librarians; creating online guides; and/or hosting office hours. Evidence of excellence may be shown through examples of instructional materials and/or letters from faculty and students. Which programs has the candidate worked with to promote information literacy? What has the candidate done to promote information literacy across the curricula, independent of specific programs?

### Standards for Librarianship

Standards below reflect the joint consideration of the four components of librarianship described on previous page:

*Excellent:* The candidate has made significant contributions to the library in areas of information connections, facilitating research competencies, developing authentic relationships with learners and information seekers, or integrating information literacy across the curriculum.

*Sustained Effectiveness:* The candidate has contributed to the area of librarianship. The candidate shows sufficient progress in the areas of information connections, facilitating research competencies, developing authentic relationships with learners and information seekers, or integrating information literacy across the curriculum.

*Not satisfactory:* The candidate has not made sufficient contributions in the area of librarianship given time in rank.

### **1b. Teaching**

Teaching refers to regularly scheduled instruction, curriculum and program development, directing undergraduate and/or graduate student work, service on graduate student committees, and advising students in general. For library faculty directly involved in teaching credit-bearing courses, RPT judgments are made primarily with respect to (1) course instruction, (2) curriculum and program development, and (3) student advising. Peer Teaching Reviews (described below) and Student Advisory Committee (SAC) reports provide the primary evidence used for the evaluation of teaching.

Peer Teaching Reviews should be based on information from the candidate's statement of teaching philosophy, University course evaluations, SAC reports, interviews with the faculty member, class visitation, syllabi and other available artifacts from the course such as assignments and tests.

Peer Teaching Reviews must be conducted by the Peer Teaching Review Committee as a whole (not by a single individual) and should address the following: Course instruction, curriculum and program development, and student advising and mentoring. The Committee's overall evaluation of a candidate's performance as an instructor gives consideration to factors that can affect student ratings and SAC



evaluations. Student Advisory Committee reports should be developed in accordance with the University's Guiding Principles for Student Advisory Committee Evaluations of Faculty Members (U Policy [6-303](#)).

### *Course Instruction*

Course instruction includes the planning and execution of classroom or online instruction for University courses. In judging the candidate's course instruction, consideration shall be given to the following: What is the quality and organization of prepared course materials? How well do instructional practices reflect the teaching philosophy? How current are teaching materials? Do the evaluation practices match the instructional objectives stated in the course syllabi? Does the candidate meet classes as scheduled? Is the candidate regularly available for interaction with students outside of class? How do students respond to the instructor and courses in student feedback forms?

### *Curriculum and Program Development*

The contributions of candidates to ongoing curriculum/program development and maintenance are recognized as an important function within the evaluation of teaching. The development and teaching of courses needed to enhance the Library's curriculum are valued. Program development may include the creation of new programs as well as contributions to self-studies needed for University accreditation and Graduate Council reviews. In judging the candidate's contributions in the area, consideration shall be given to the following: How has the candidate contributed to the Library's teaching needs? How has the candidate contributed to curriculum and program development?

### *Student Advising*

Working with students outside of the classroom is as important as teaching in the classroom. This includes activities such as general student advising and mentoring, and leading or serving on graduate student committees. While there are no quantitative expectations, candidates are expected to contribute a reasonable share of the committee work relative to other teaching library faculty. In judging the candidate's advising and mentoring, consideration shall be given to the following: How effectively has the candidate worked with graduate students? How effectively has the candidate worked with undergraduate students?

### Standards for Teaching

Standards below reflect the joint consideration of the three components of teaching:

*Excellent:* The candidate has made significant contributions to the library in areas of course instruction, curriculum/program development, and student advising.

*Sustained Effectiveness:* The candidate has contributed to the area of teaching. The candidate shows sufficient progress in the areas of course instruction, curriculum/program development, and student advising to suggest that ongoing or future contributions in these areas will be significant.

*Not satisfactory:* The candidate has not made sufficient contributions in the area of teaching.

## **2. Research/Creative Activity**

Candidates for retention, promotion, and tenure are expected to conduct research and produce scholarly publications or creative works that are presented or distributed publicly in appropriate venues—in print, online (including digital repositories), or face-to-face at conferences, meetings, exhibitions, and/or collections. In general, publication includes books, monographs, and/or bibliographies; professional articles and reviews in journals or blogs; scholarly book chapters; and formal presentations.

Research grants demonstrate excellence in research, but they are not a necessary component for library faculty since sustained effectiveness (rather than excellence) is required for an RPT decision. Where appropriate, the Faculty Review Committee will give positive consideration to the extent an individual has submitted grant applications and has been able to obtain research grant funds to support current and/or future research contributions.

Research/creative activity is evaluated with respect to purpose: (1) creation of new knowledge; (2) novel synthesis of existing knowledge; and (3) new descriptive evidence. Research/creative activity is not judged by simple publication counts. In judging the research/creative activity of a candidate for promotion or tenure, the Faculty Review Committee will ask for opinions from knowledgeable evaluators outside the University.

### *Creation of New Knowledge*

This category includes scholarly/creative products or productions that present new theory, methodology, empirical evidence, studio practice, or interpretations relevant to librarianship or library and information science. Contributions must be novel rather than re-expressions of existing methods.

### *Novel Synthesis of Existing Knowledge*

This category includes research/creative activity that presents a new synthesis of existing knowledge with new implications for future research/creative activity and theory. Examples include a bibliography, literature review, book review or review that proposes new conceptualizations of existing evidence, or a comprehensive meta-analysis that produces a new understanding of existing empirical evidence.

### *New Descriptive Evidence*

This category includes scholarly products that detail new evidence of library science, but have little or no development of new conceptual or theoretical understanding. Examples include description of new or reimagined library services or new approaches to library work based on surveys, focus groups, or other types of testing.

### Standards for Research/Creative Activity

Standards below reflect the joint consideration of the three purposes of research/creative activity:

*Excellent:* The candidate has made significant contributions in the creation of new knowledge, novel synthesis of existing knowledge, or new descriptive evidence and has received grant funding to conduct research or produce creative works. The quality and quantity of scholarly and/or creative activity reflect a substantial, positive impact in at least one area.

*Sustained Effectiveness:* The candidate has contributed to the creation of new knowledge, novel synthesis of existing knowledge, or new descriptive evidence. The quality and quantity of existing scholarly and/or creative activity suggests that significant contributions will be made over time.

*Not satisfactory:* The candidate has not made sufficient contributions given time in rank.

### **3. Service to the University, Profession, and Public/Community**

Service remains an essential element of a candidate's professional growth. Evaluations are made with respect to three areas of service: (1) library and University service; (2) professional service; and (3) community or public service. It is not necessary for a candidate to participate equally in all three service areas. Differing participation in the three service areas typically reflects the unique strengths and interests of individual faculty members.

#### *Library and University Service*

Service on elected or appointed library and University committees, councils, or task forces is expected of every faculty member. Contributions beyond these expected committee assignments are also given consideration in matters of retention, promotion, and tenure.

#### *Professional Service*

As members of a professional community, candidates are expected to perform duties essential to professional associations at regional, national, and international levels. This typically includes such activities as providing editorial services to scholarly journals or presses; participating in the organization or operation of conferences; attending professional meetings; serving as chair, panelist, or reviewer for presentations at meetings; serving on professional association committees or boards; and holding offices in professional organizations. Contributions to the profession beyond normal service activities are also given consideration in matters of reappointment, retention, promotion, and/or tenure.

#### *Community or Public Service*

Service in which the faculty member's professional skills and knowledge are contributed to the local, state, or larger populace for little or no monetary

recompense can also be a significant part of a candidate's service record. (Outside consultation that yields significant payment to the individual is specifically excluded from this definition of service, as is volunteer activity not germane to the individual's professional interests and goals.) Noteworthy contributions to the community are considered in retention, promotion, and tenure.

#### Standards for Service

Standards below reflect the joint consideration of the three components of service:

*Excellent:* The candidate has made significant contributions to his/her profession, the Library, University, and/or the community.

*Sustained Effectiveness:* The candidate has contributed to the area of service. The candidate shows sufficient commitment to service in at least one area, suggesting that the ongoing and future contributions of the candidate will be significant.

*Not satisfactory:* The candidate has not made sufficient contributions in the area of service given time in rank.

# Procedures for Reviewing Faculty

## **REVIEW, REAPPOINTMENT, AND PROMOTION PROCEDURES FOR CAREER-LINE FACULTY**

Career-line faculty members employed by means of an extended, multi-year contract can request to be reviewed for promotion by submitting a formal written request to the responsible Associate Dean by the specified date.

### *Associate Dean / Dean*

The Associate Dean, in consultation with the Dean, shall respond in writing to the candidate request within ten business days.

If the request is granted, the following procedures will apply:

### *Candidate Responsibilities for File Contents*

Prior to the specified date, the candidate is obligated to prepare and submit to the Faculty Review Committee Chair via the applicable document management system a file that shall normally consist of an up-to-date curriculum vita and a personal statement that includes a short narrative of the candidate's progress to date in the areas of librarianship/teaching, research/creative activity, and service and a description of current activities and future plans in these same areas. The candidate may also submit relevant supplementary material if s/he so wishes. The complete promotion file (CV, personal statement with short narrative, description of current activities and future plans, and other relevant materials) should be submitted by the candidate to the Faculty Review Committee Chair by the specified date.

### *Associate Dean*

If applicable, course evaluations are added to the file by the candidate's Associate Dean.

### *Candidate's Rights to See Promotion File*

In accordance with U Policy [6-303](#), candidates have the right to see their promotion file at any time during the review process, upon request to the responsible Associate Dean or the Faculty Review Committee Chair.

### *Career-line Faculty Review Subcommittee*

By the specified date, the Faculty Review Committee Chair will appoint four faculty members to the Career-line Faculty Review Subcommittee as ad hoc reviewers (see the Library Council Charter on committee make-up) to review the candidate's promotion file, meet with the candidate, and write a report that specifies progress toward promotion. A copy of this report will be provided to the candidate.

### *Associate Dean Review*

After studying the candidate's promotion file, the candidate's Associate Dean shall prepare a letter with his/her written assessment to be included in the promotion

file. The Associate Dean will meet with the candidate prior to the specified date to discuss the candidate's progress, the contents of the Career-line Faculty Review Subcommittee report, and the Associate Dean's letter.

*Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her promotion file in response to the Career-line Faculty Review Subcommittee report and/or the Associate Dean's letter. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days. If the candidate submits a written statement within this time limit, the candidate's statement shall be added to the promotion file without comment by the Associate Dean.

The promotion file shall be submitted to the Dean no later than the specified date.

*Action by the Dean*

The Dean will study the promotion file of each candidate and prepare a letter stating a decision on promotion and including specific reasons for the decision. The Dean submits the report to the candidate's review file by the specified date.

*Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her promotion file in response to the Career-line Faculty Review Subcommittee report, the Associate Dean's letter, and/or the Dean's letter. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days of receiving the Dean's letter. If the candidate submits a written statement within this time limit, the candidate's statement shall be added to the promotion file without comment by the Dean.

*Actions and Appeals Procedures Beyond the Library [tbd by the campus]*

## **RETENTION, PROMOTION, TENURE PROCEDURES FOR TENURE-LINE FACULTY**

### *Probationary Period, Schedule of Reviews, and order of Votes*

All non-tenured faculty members shall be reviewed for retention annually during a seven-year RPT probationary period with an informal review conducted in the first, second, third, fifth, and sixth year and a formal review in the fourth and seventh year. U Policy [6-311](#) dictates the following schedule:

For a candidate typically appointed at the rank of Assistant Librarian, a fourth year formal retention review is mandatory and a formal tenure and promotion review is mandatory in the seventh (final) year of the probationary period.

For a candidate initially appointed at the rank of Associate Librarian or Full Librarian without tenure, a formal retention review is required in the third year and a formal tenure review is mandatory in the fifth (final) year of the probationary period.

In line with U Policy [6-311](#), the probationary period may be shortened or extended, credit may be given for prior service, and an early tenure review may be requested. Section 4.C describes the exceptions.

Even though Marriott Library considers tenure and promotion to Associate Librarian simultaneously, separate votes are taken on each action with the vote for promotion preceding that for tenure.

### *Candidate's Rights to See Review File*

In accordance with U Policy [6-303](#), candidates have the right to see their promotion file at any time during the review process, upon request to the responsible Associate Dean or the Faculty Review Committee Chair. The only exception is in the case of a candidate waiving his/her rights to review external evaluator letters.

### **Informal Reviews**

Informal reviews of tenure-line faculty shall normally take place in the first, second, third, fifth, and sixth years of the typical seven-year probationary period (except in the case of a request for early tenure or the case of a triggered formal review – see section below).

### *First-Year Informal Reviews*

The first-year informal review will be conducted by the candidate's Associate Dean during the Spring semester. The Associate Dean will review the candidate's librarianship/teaching, research/creative activity, and service to ensure no serious problems have arisen. No written letter is required from this review.

The candidate's Associate Dean will meet with the candidate to discuss the review and if problems with librarianship/teaching, research/creative activity, or service

appear, the Associate Dean will discuss those with the candidate. The Associate Dean is authorized to trigger a formal review in the second year, if needed.

#### *Second, Third, Fifth, and Sixth Year Informal Reviews*

The following procedures apply to all informal reviews except for the first year when the Associate Dean conducts the review:

##### *Associate Dean*

By the specified date, the Associate Dean will determine the obligatory informal reviews for candidates in his/her area for the upcoming academic year and will notify, by letter or e-mail, faculty members required to be reviewed.

In the case of joint appointments, the responsible Associate Dean shall notify the appropriate program director or department chair in writing of the informal review by the specified date and invite the program director or department chair to submit a letter or a program report on the candidate's progress toward tenure. Program materials should also be submitted to the Library prior to the specified date. Any materials forthcoming from the joint appointment department/program will be added to the candidate file and a copy provided to the candidate.

If applicable, course evaluations are added to the file by the candidate's Associate Dean. The informal review process does not include external reviews nor reports from the Student Advisory Committee.

##### *Candidate Responsibilities for File Contents*

Prior to the specified date, the candidate is obligated to prepare and submit to Faculty Review Committee Chair via the applicable document management system a file that shall normally consist of an up-to-date curriculum vita and a personal statement that includes a short narrative of the candidate's progress to date in the areas of librarianship/teaching, research/creative activity, and service and a description of current activities and future plans in these same areas. The candidate may also submit relevant supplementary material if s/he so wishes. The complete file (CV, personal statement with short narrative, description of current activities and future plans, and other relevant materials) should be submitted by the candidate to the Faculty Review Committee Chair by the specified date.

##### *Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee*

By the specified date, the Faculty Review Committee Chair will convene the ad hoc Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee to review the candidate's file, meet with the candidate, and write a report that specifies progress toward tenure. This report is placed in the candidate's file. A copy of the report will be provided to the candidate. Each member of the subcommittee is responsible for reviewing the candidate file before the meeting.



### *RPT Advisory Committee*

On or before the specified date, the RPT Advisory Committee will meet to consider informal reviews. Each member of the committee is responsible for reviewing the candidate's file before the meeting. Dean and Associate Deans are invited to the RPT Advisory Committee meeting, but do not vote.

Whenever possible, the RPT Advisory Committee Chair will advise all members on leave or otherwise absent of the proposed action and shall request their written opinions and votes in advance of the meeting. Absent members' written opinions shall be disclosed at the meeting and their votes will be counted and recorded the same as other votes. The RPT Advisory Committee will discuss the candidate's file as it pertains to the relevant criteria. Votes will be taken by secret ballot. No individual may cast a vote in the same academic year in any candidate's case in more than one capacity.

The minutes of the meeting should reflect the nature of the discussion with major points on both sides revealed. Both affirmative and negative votes should be explained. From the minutes, others should be able to get the sense of the discussion and not just the conclusions. The committee should then write their report to include the vote, a synopsis of the minutes, and their assessment. The report should be signed by the person designated by the RPT Advisory Committee Chair to serve as secretary, approved by the RPT Advisory Committee Chair, and made available for inspection by the committee members. After allowing an inspection period of not less than two business days nor more than five business days, and after such modifications as the committee approves, the secretary shall forward the official report to the responsible Associate Dean and the candidate, along with a list of all faculty members present at the meeting and notify the Office of the Dean.

The candidate is to be informed of the results by the RPT Advisory Committee Chair as soon as possible. All committee votes and deliberations are personnel actions and must be treated with confidentiality in accordance with University Policy and state and federal law. Members of the RPT Advisory Committee are enjoined not to convey the substance or outcomes of committee deliberations to candidates. Candidates may not ask questions about the committee's deliberations outside of the conversation the candidate has with the RPT Advisory Committee Chair about the committee's meeting.

### *Associate Dean Review*

After studying the candidate's file, the candidate's Associate Dean shall prepare a letter of his/her written assessment to be included in the candidate file. The Associate Dean will meet with each candidate in his/her division under informal review prior to the specified date to discuss the candidate's progress, the contents of the file including the Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee report and the Associate Dean's letter.

### *Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her review file in response to the Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee report, the RPT Advisory Committee report, and/or the Associate Dean's letter. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days of the date upon which the Associate Dean's letter is delivered to the candidate. If the candidate submits a written statement within this time limit, the candidate's statement shall be added to the candidate's file without comment by the responsible Associate Dean.

The informal review material shall be submitted to the Dean no later than the specified date. This concludes the informal review.

### **Formal Reviews**

Formal promotion and/or tenure reviews follow the same format as informal reviews and typically occur during the fourth year (mid-probationary) and the seventh (final) year when both tenure and promotion are considered. Only files of those candidates being reviewed in their tenure decision year or reviewed for promotion will include external evaluator reviews.

In accordance with U Policy [6-303](#), Associate Deans or the Faculty Review Committee may suggest a formal review if a tenure-eligible faculty member does not demonstrate adequate progress during the informal review year. The candidate's Associate Dean or the Faculty Review Committee must provide the candidate written notice of such a review and its timing.

The following procedures apply to all formal reviews except where noted for tenure decision year or promotion reviews only.

### *Associate Dean*

By the specified date, the Associate Dean will determine the obligatory formal reviews for candidates in his/her area for the upcoming academic year and will notify, by letter or e-mail, faculty members required to be reviewed. The Associate Dean will also invite by letter or e-mail any other tenured or tenure-track faculty in his/her area wishing to be reviewed for either promotion and/or tenure to indicate such in a letter to the Associate Dean by the specified date. For each candidate being reviewed in his/her tenure decision year (typically the seventh, except for early tenure decisions or if appointed at the associate or librarian level), the Associate Dean will also request from the candidate nominations for five evaluators external to the University and request the candidate sign the waiver/non-waiver form governing the confidentiality of external review letters.

On or before the specified date, the Associate Dean shall invite any interested faculty and staff members in the Marriott Library to submit written recommendation

letters for the file of each candidate to be considered, “stating as specifically as possible the reasons for each recommendation” (U Policy [6-303](#)).

If a candidate holds a joint appointment in another academic unit, the responsible Associate Dean will notify the chair/director of the academic unit of the action to be considered. Faculty in that academic unit as defined by their procedures shall meet and provide a letter with their assessment of the candidate that shall be sent to the responsible Associate Dean and added to the candidate’s file, along with any candidate response to that letter, prior to the specified date.

The Associate Dean will notify the Student Advisory Committee (SAC) of candidates undergoing formal review by the specified date and provide SAC with the Library’s approved Criteria and Standards.

#### *External Evaluator*

For each candidate being reviewed in his/her tenure decision year or reviewed for promotion, the Associate Dean provides a list of five possible evaluators external to the University. After consultation with the Faculty Review Committee Chair, the Associate Dean will solicit no fewer than three external reviews for formal tenure review and formal promotion review (both to Associate Librarian and Full Librarian). At least one external evaluator will be from the candidate’s list of evaluators. External evaluators must have a demonstrated record of excellence in the library field. The Associate Dean will use a standard solicitation letter including notification of whether the candidate has or has not waived the right to see the evaluator letters. External evaluators shall be asked to submit their letters no later than the specified date. The ultimate evaluation of the candidate is made in-house, but these external letters provide necessary information upon which the Faculty Review Committee will, in part, base its decision.

#### *Candidate Responsibilities for Responses / File Contents*

By the specified date, the candidate shall submit to responsible Associate Dean the completed External Reviewer Grid and waiver/non-waiver forms, as applicable.

Prior to the specified date, the candidate is obligated to prepare and submit to the Faculty Review Committee Chair via the applicable document management system an up-to-date curriculum vita, copies of publications and papers, reviews of published work, other relevant supplementary materials, and a personal statement that includes a short narrative of the candidate’s progress to date in the areas of librarianship/teaching, research/creative activity, and service and a description of current activities and future plans in these same areas. The complete file (CV, publication copies, reviews of published work, personal statement with short narrative, description of current activities and future plans, and other relevant materials) should be submitted by the candidate to the Faculty Review Committee Chair by the specified date.

### *Library Responsibilities for File Contents*

The Library, through the Associate Dean or the Faculty Review Committee Chair, shall submit to the candidate's file current course evaluations (if applicable), reports from the Student Advisory Committee (if applicable), written recommendation letters from faculty and staff, external evaluator letters, and each of the following materials as required by U Policy [6-303](#):

- a. Past reviews and recommendations. The Associate Dean shall include the recommendations from all previous reports and letters submitted by all voting levels in formal reviews, *i.e.*, SAC, Faculty Review Committee reports, letters from chairs, deans, vice presidents, the president and recommendation from UPTAC (if present), and teaching evaluations and letters or reports from all informal reviews. (See U [Policy 6-100-III-N](#) regarding the "Course Feedback Instrument and Report forms" approved by the Academic Senate for use in development of teaching/course evaluation summaries the Associate Dean shall include in the candidate's file.)
- b. Evidence of faculty responsibility. Letters of administrative reprimand and the latest findings, decisions, or recommendations from University committees or officials, arising from relevant concerns about the faculty member should also be included in the candidate's file.
- c. Recommendation from academic program. In the event that an interdisciplinary academic program with which the department has a shared-appointment agreement regarding the candidate produces a letter of assessment as under [this U [Policy 6-303-III-C-4](#)], the Associate Dean shall include the letter in the candidate's file before the Faculty Review Committee meets to consider the case.

### *Associate Dean Review*

After studying the candidate's file, the candidate's Associate Dean shall prepare a letter with his/her written assessment including specific reasons for the assessment, to be included in the candidate file, by the specified date.

### *Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee*

By the specified date, the Faculty Review Committee Chair will, in consultation with the candidate, convene the Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee. Each subcommittee member is responsible for reviewing candidate files prior to the subcommittee meetings. The subcommittee will discuss the candidate's file as it pertains to the relevant criteria and prepare their report for the RPT Advisory Committee to consider. The subcommittee report will be added to the candidate's file.

Members of the Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee are enjoined not to convey the substance or outcomes of committee deliberations to candidates. All committee deliberations are personnel actions and

must be treated with confidentiality in accordance with University Policy and state and federal law.

#### *RPT Advisory Committee*

The RPT Advisory Committee will meet no later than the specified date. Each committee member is responsible for reviewing the candidate's file prior to the meeting. Dean and Associate Deans are invited to the RPT Advisory Committee meeting, but do not vote.

Whenever possible, the RPT Advisory Committee Chair will advise all members on leave or otherwise absent of the proposed action and shall request their written opinions and votes in advance of the meeting. Absent members' written opinions shall be disclosed at the meeting and their votes will be counted and recorded the same as other votes. The RPT Advisory Committee will discuss the candidate's file as it pertains to the relevant criteria. Votes will be taken by secret ballot. No individual may cast a vote in the same academic year in any candidate's case in more than one capacity.

The minutes of the meeting should reflect the nature of the discussion with major points on both sides revealed. Both affirmative and negative votes should be explained. From the minutes, others should be able to get the sense of the discussion and not just the conclusions. The committee should then write their report to include the vote, a synopsis of the minutes, and their assessment. The report should be signed by the person designated by the RPT Advisory Committee Chair to serve as secretary, approved by the RPT Advisory Committee Chair, and made available for inspection by the committee members. After allowing an inspection period of not less than two business days nor more than five business days, and after such modifications as the committee approves, the secretary shall forward the report to the Faculty Review Committee Chair and the candidate, along with a list of all faculty members present at the meeting and notify the Office of the Dean.

The candidate is to be informed of the results by the RPT Advisory Committee Chair as soon as possible. All committee votes and deliberations are personnel actions and must be treated with confidentiality in accordance with University Policy and state and federal law. Members of the RPT Advisory Committee are enjoined not to convey the substance or outcomes of committee deliberations to candidates. Candidates may not ask questions about the committee's deliberations outside of the conversation the candidate has with the RPT Advisory Committee Chair about the committee's meeting.

#### *Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her review file in response to the Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee report, the Associate Dean's letter, and the RPT Advisory Committee report. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days of the date upon which the RPT Advisory Committee

report is delivered to the candidate. If the candidate submits a written statement to the Faculty Review Committee Chair within this time limit, the candidate's statement shall be added to the candidate file without comment by the responsible Associate Dean, Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee or RPT Advisory Committee.

*Action by the Dean*

In line with U Policy [6-303](#), the Dean will study the candidate file and prepare a letter with a written assessment on retention, promotion, or tenure, including specific reasons for the assessment, to be included in the candidate's file. The Dean will send a copy of his/her letter to the candidate under review by the specified date. The candidate has seven business days in which to respond to the Dean's letter. After that time period, the Dean shall forward the entire candidate file to the Senior Vice President for Academic Affairs.

*Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her review file in response to the Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee report, the Associate Dean's letter, the RPT Advisory Committee report, and/or the Dean's letter. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days of the date upon which the Dean's letter is delivered to the candidate. If the candidate submits a written statement to the Faculty Review Committee Chair within this time limit, the candidate's statement shall be added to the candidate file without comment by the Dean.

*University Promotion and Tenure Advisory Committee (UPTAC)*

Library promotion and tenure cases that have differing recommendations shall be referred to the University Promotion and Tenure Advisory Committee (UPTAC). UPTAC shall review the entire candidate file for all cases referred to it and, after due deliberation, shall submit a written report with its recommendations and vote to the SVPAA.

- a. UPTAC shall determine whether the Library reasonably applied its written criteria, standards, and procedures to each case and whether the Library's recommendations are supported by the evidence presented.
- b. UPTAC shall identify the source(s) of the differences or controversy, determine how each level addressed the issues, and assess the degree to which the file sufficiently supports any conclusive recommendation.
- c. In cases reviewed at the discretion of the SVPAA, UPTAC shall review the file to respond to the specific issues identified.
- d. In making all reviews, UPTAC shall perform its duties consistent with requirements of U Policy [6-304](#) (including disqualification of interested members), and UPTAC shall consider only material in the candidate's file. UPTAC shall summarize its assessment of the issues identified in a, b, c

above in a written report to the SVPAA, but not state a conclusion of its own on the candidate's overall qualification for retention, promotion, or tenure.

*Senior Vice President of Academic Affairs Consideration*

The SVPAA shall review each candidate file, including the recommendations (if any) of UPTAC. If the SVPAA determines that the candidate file is incomplete or unclear, s/he may return the file to the Library with a request to clarify specific matters, materials, and/or issues. All levels of review shall reconsider the file and their votes if appropriate with the candidate responding in writing at the normal points in the process. (SAC need not reconsider the file unless teaching is the issue in question.)

*Senior Vice President of Academic Affairs Decision*

In cases of positive retention decisions, the SVPAA's decision shall be the University's final decision. In all cases of promotion and tenure and in cases of retention when termination is recommended, the SVPAA shall prepare a final recommendation to the President with respect to the candidate's retention, promotion, and/or tenure, stating reasons therefore.

*Notice of the Senior Vice President of Academic Affairs Recommendation*

Favorable

In positive retention cases, the SVPAA shall transmit the final decision and the report of UPTAC (if any) to the candidate, the responsible Associate Dean, and the Dean.

Unfavorable

In all other cases, prior to forwarding the file to the President, the SVPAA shall send an exact copy of UPTAC's report and an exact copy of the SVPAA's recommendation with respect to that faculty member to the candidate, the Dean, the responsible Associate Dean, the chair of the Library's Faculty Review Committee, and the chair of the Student Advisory Committee (SAC) along with a synopsis of U Policy [6-303](#) regarding Appeals of Recommendations. The chairpersons of the Library's Faculty Review Committee and the SAC shall expeditiously notify members of their committees about the SVPAA's recommendation. The SVPAA shall not submit the final recommendation to the President until at least fourteen calendar days have elapsed following the delivery of the recommendation so that parties may notify the SVPAA's office if they intend to appeal. In the interest of fairness, the SVPAA may extend this time limit.

*Candidate's Appeal of Recommendation*

An RPT candidate may appeal to the Senate Consolidate Hearing Committee (SCHC) for review of an unfavorable final recommendation with respect to retention, promotion, and/or tenure by following the procedures outlined in U Policy [6-011](#) and upon the ground enumerated in that section. The SCHC is the hearing body for an appeal brought on any grounds, including academic freedom, but if the candidate alleges that the unfavorable recommendation

violates academic freedom, then the SCHC shall refer that part of the appeal to the Senate Committee on Academic Freedom and Faculty Rights for pre-hearing consideration and report as per U Policy [6-010](#).

*Appeal of Recommendation by Other Parties*

Appeals of the SVPAA's recommendation on promotion and/or tenure may also be initiated by the Student Advisory Committee, a majority of the Library's Faculty Review Committee, the responsible Associate Dean, or the Dean. The appeal is made to the Senate Consolidate Hearing Committee and should follow the procedures provided in U Policy [6-011](#) and upon the ground enumerated in that policy. Authorized parties initiating an appeal may have access to the entire file except that the faculty member RPT candidate may not see any external evaluator letters which s/he waived the right to read.

*Final Action by the University President*

If no proceedings for review have been initiated within fourteen calendar days (or an extended time limit established by the SVPAA), the recommendation of the SVPAA shall be transmitted to the President for action. After reviewing the recommendation, giving such consideration to the documents in the candidate's file, the President shall make a final decision granting or denying retention, or granting or denying promotion, and/or tenure, and shall advise the candidate, the SVPAA, the Dean, and the responsible Associate Dean stating reasons therefore.

If proceedings for review were initiated within fourteen calendar days (or an extended time limit established by the SVPAA), the recommendation of the SVPAA shall be placed in the candidate's file but shall not be transmitted to the President for action. Except as provided below, the President shall not consider the merits of the matter and shall not take final action with respect thereto until the pending review proceedings have concluded. Upon conclusion of the review proceedings, the President shall review the file and make a final decision.

When review proceedings have been timely initiated, the President, on recommendation of the SVPAA, may give a candidate advance written notice of termination pursuant to U Policy [6-311](#), Section 5. Such notice shall be effective as of the date it is given if a final decision to terminate the faculty member's appointment is subsequently made by the President, on or before the termination date specified in the notice, but shall have no force or effect if a final decision is made by the President on or before that date approving retention, promotion, and/or tenure or otherwise disposing of the case in a manner that does not require termination.



## **REVIEW AND PROMOTION PROCEDURES FOR TENURED FACULTY**

Tenured faculty are reviewed for (1) a comprehensive five-year review, and/or (2) a comprehensive review for promotion. The comprehensive five-year review is done in accordance with University Policy [2-005](#) through the Tenured Faculty Review process (TFR). The initial TFR occurs at the fifth anniversary of the award of tenure. When the TFR involves the review of an Associate Dean, the Dean will initiate the review. In addition, tenured faculty may trigger a promotion review at any time beginning five years following their grant of tenure.

### **Promotion to Full Librarian**

The process and requirements for Promotion to Full Librarian follow the Formal Review procedures for the seventh-year review. See the Formal Review section for complete procedures and requirements.

### **Tenured Faculty Review (TFR)**

#### *Associate Dean*

By the specified date, the Associate Dean will determine the obligatory tenured faculty reviews for candidates in his/her area for the upcoming academic year and will notify, by letter or e-mail, faculty members required to be reviewed.

On or before the specified date, the Associate Dean shall invite any interested faculty and staff members in the Marriott Library to submit written recommendation letters for the file of each candidate to be considered, "stating as specifically as possible the reasons for each recommendation" (U Policy [6-303](#)).

If a candidate holds a joint appointment in another academic unit, the responsible Associate Dean will notify the chair/director of the academic unit of the action to be considered. Faculty in that academic unit as defined by their procedures shall meet and provide a letter with their assessment of the candidate that shall be sent to the responsible Associate Dean and added to the candidate's file, along with any candidate response to that letter, prior to the specified date.

The Associate Dean will notify the Student Advisory Committee (SAC) of candidates undergoing tenured faculty review by the specified date and provide SAC with the Library's approved Criteria and Standards, as applicable.

#### *Candidate Responsibilities for File Contents*

Prior to the specified date, the candidate is obligated to prepare and submit to the Faculty Review Committee Chair via the applicable document management system an up-to-date curriculum vita, copies of publications and papers, reviews of published work, other relevant supplementary materials, and a personal statement that includes a short narrative of the candidate's progress to date in the areas of librarianship/teaching, research/creative activity, and service and a description of current activities and future plans in these same areas. The complete file (CV, publication copies, reviews of published work, personal statement with short

narrative, description of current activities and future plans, and other relevant materials) should be submitted by the candidate to the Faculty Review Committee Chair by the specified date.

#### *Library Responsibilities for File Contents*

The Library, through the Associate Dean or the Faculty Review Committee Chair, shall submit to the candidate's file current course evaluations (if applicable), reports from the Student Advisory Committee (if applicable), written recommendation letters from faculty and staff, external evaluator letters, and each of the following materials as required by U Policy [6-303](#):

- a. Past reviews and recommendations. The Associate Dean shall include the recommendations from all previous reports and letters submitted by all voting levels in formal reviews, *i.e.*, SAC, Faculty Review Committee reports, letters from chairs, deans, vice presidents, the president and recommendation from UPTAC (if present), and teaching evaluations and letters or reports from all informal reviews. (See U [Policy 6-100-III-N](#) regarding the "Course Feedback Instrument and Report forms" approved by the Academic Senate for use in development of teaching/course evaluation summaries the Associate Dean shall include in the candidate's file.)
- b. Evidence of faculty responsibility. Letters of administrative reprimand and the latest findings, decisions, or recommendations from University committees or officials, arising from relevant concerns about the faculty member should also be included in the candidate's file.
- c. Recommendation from academic program. In the event that an interdisciplinary academic program with which the department has a shared-appointment agreement regarding the candidate produces a letter of assessment as under [this U [Policy 6-303-III-C-4](#)], the Associate Dean shall include the letter in the candidate's file before the Faculty Review Committee meets to consider the case.

#### *Tenured Faculty Review Subcommittee*

The Faculty Review Committee Chair will convene the Tenured Faculty Review Subcommittee which consists of three tenured peers of equivalent or higher rank. The Tenured Faculty Review (TFR) Subcommittee reviews the candidate's file, meets with the candidate under review, and creates a report. Should the review process identify significant deficiencies, the Tenured Faculty Review Subcommittee may:

- a. Recommend actions by the tenured faculty member and/or administration to address the area of the deficiency, and/or
- b. Recommend another TFR comprehensive review to occur earlier than the ordinary five-year schedule (e.g., after a 1- or 2-year period).

The subcommittee submits a copy of the final report to the candidate's review file, by the specified date.

*Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her review file in response to the final report adopted by the TFR Subcommittee. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days. If the candidate submits a written statement within this time limit, the candidate's statement shall be added to the candidate file without comment by the TFR Subcommittee. The candidate's review file shall be submitted to the Associate Dean by the specified date.

*Associate Dean Review*

After studying the candidate's file, the candidate's Associate Dean shall prepare a letter with his/her written assessment including specific reasons for the assessment, and submits the report to the candidate's review file, by the specified date.

*Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her review file in response to the Associate Dean's letter. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days of the date upon which the Dean's letter is delivered to the candidate. If the candidate submits a written statement to the Faculty Review Committee Chair within this time limit, the candidate's statement shall be added to the candidate file without comment by the Associate Dean.

*Action by the Dean*

The Dean will study the candidate's file and prepare a letter with a written assessment, including specific reasons for the assessment. The Dean submits the report to the candidate's review file by the specified date.

*Candidate's Right to Respond*

The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her review file in response to the Dean's letter. If the candidate chooses to respond, the statement must be submitted to the Faculty Review Committee Chair within seven business days. If the candidate submits a written statement within this time limit, the candidate's statement shall be added to the candidate's review file without comment by the Dean.

*Action Taken Outside the Library*

Action taken outside the Library is under University consideration.

## GLOSSARY OF TERMS

### Definitions

The following definitions are used in faculty reviews conducted in the Marriott Library:

#### *Associate Dean*

The administrative head of a library division. The Associate Dean is involved with the review and promotion process from the time a candidate is hired to either a career-line or tenure-line position at the University of Utah.

#### *Candidate*

The faculty member under review for promotion (career-line) or retention, promotion, and tenure (RPT) (tenure-line).

#### *External Evaluators*

Librarians outside the University of Utah selected by the Faculty Review Committee Chair and the Associate Dean, in consultation with the candidate, to provide reviews of the candidate's professional performance during the candidate's tenure decision year (typically the seventh, except for early tenure decisions or if appointed at the associate or librarian level) or during the candidate's review for promotion to Librarian.

#### *Faculty Appointments Advisory Committee*

The membership structure and responsibilities of the Faculty Appointments Advisory Committee are in accordance with U Policy [6-302](#) (Appointments). The Committee represents Marriott Library faculty as a whole to produce formal recommendations on each potential faculty appointment (including initial appointments and reappointments). As described below, the Committee's voting membership is structured in particular ways for purposes of particular decisions regarding appointments of particular candidates. However, it is the policy of the Marriott Library that for any appointment of any candidate to any faculty category, in discussions leading up to voting, any tenure-line or career-line faculty member not eligible to vote may nevertheless participate in discussion and put forward considerations of faculty in light of the stated objective in U Policy [6-302](#) "of developing a faculty with diverse educational backgrounds, varying intellectual experiences, and broadly ranging academic interests." If approved by a majority of the library faculty, other interested persons may attend (but not vote): faculty from outside the library, staff, students, and community representatives.

The Dean or designee will serve as the non-voting chairperson of the Committee and will schedule meetings of the Committee to review and make recommendations regarding possible additions to the faculty. The Dean or designee may participate in discussions, but shall not vote on actions of the Committee.

#### Quorum and Voting Options

A quorum of the Committee shall consist of two-thirds of the members entitled to vote on the particular case. Preferably, voting shall be conducted in person, but can also be done through telephone, electronic mail, or similar means of communication (albeit only in rare exigent circumstances for any appointment to a tenure-line position). Faculty members on formal leave of absence or absent because of medical conditions shall not be counted to determine a quorum.

Whenever possible, the Dean or designee “shall advise each eligible member on leave or otherwise absent and unable to participate in the meeting of the proposed action and shall request his/her written opinion and vote. Absent members’ written opinions shall be disclosed during the meeting, and their votes will be recorded and counted the same as other votes. Absentee votes must be received prior to the meeting during which a vote is taken by the committee.” 6-302-III-B-4

#### Confidentiality in Appointment Deliberations

All Committee deliberations and votes are personnel actions and should be treated with confidentiality in accordance with policy and law. Committee votes on specific candidates shall normally be conducted by secret ballot. Open ballots are possible if the voting members of the Committee, through a secret ballot at or before the meeting, unanimously determine that open balloting is appropriate under the circumstances for any particular vote.

#### Voting Procedures

The Committee produces a written recommendation regarding each appointment action based on votes of the eligible members.

For appointments of tenure-line faculty, all tenure-line members of the Committee shall first vote on a recommendation as to the making of the appointment. (Generally appointment is considered at the lowest rank first—assistant librarian.) If it is proposed that the appointment be made at any higher rank, then there shall be a separate vote taken among only those tenure-line members holding a rank equivalent to or higher than the proposed appointment rank.

For appointments of career-line faculty members (including initial appointments, reappointments, and reappointments with promotion), adjunct, or visiting faculty members, the voting eligible members of the Committee include all tenure-line faculty members, and by policy of the Marriott Library (hereby adopted through this Charter in accord with U Policy [6-302-III-B-1](#)) also all existing career-line members of the faculty. These eligible members shall take a single vote encompassing both the category—lecturer, clinical, research—and the specific rank—assistant librarian, associate librarian, or librarian.

### *Faculty Review Committee and Chair*

The Faculty Review Committee oversees Marriott Library's faculty review processes. It functions with an overall Committee, and a set of subcommittees responsible for specified categories of faculty and types of reviews. The Office of the Dean will provide an administrative assistant to manage the candidate review files. The Chairperson shall be elected from the tenured members of Marriott Library Faculty for a term of two years and may be re-elected to one additional term. The Chairperson remains ineligible for re-election for a minimum of two years following the end of his/her term. In this election, all tenure-line faculty members of the rank of librarian, associate librarian, and assistant librarian shall be entitled to vote.

#### General provisions:

The Committee has primary responsibility for developing the faculty review systems, including contents of the statement of criteria, standards, and procedures governing each type of review, and for ensuring that all required reviews of individual faculty members are being conducted in a timely, effective, and efficient manner.

Each member has the following responsibilities for activities of the Committee as a whole (and for activities of a specific subcommittee): (1) to independently review all of the materials in each candidate's file; (2) to review the materials in light of Marriott Library's Statement of Criteria, Standards, and Procedures; (3) to share determinations and rationale as called upon by the Chair in scheduled Committee meetings; (4) to contribute to the reporting process as required by University regulations; (5) to maintain the highest standards of professional judgment and conduct in completing each element of the review process; and (6) to preserve the confidentiality of the materials and the proceedings.

Membership consists of sixteen elected tenured faculty members serving terms of two years (staggered) plus the elected Chairperson. No member will serve for more than two consecutive two-year terms. A faculty member may be re-elected after two years off the committee.

The elected Chair of the RPT Advisory Committee will also chair the Faculty Review Committee and will form the subcommittees described below according to the faculty category and type of review being undertaken, and may select a chairperson (or co-chairs) for any subcommittee:

#### Career-line Faculty Review Subcommittee

A minimum of four faculty members. The Chair will choose two career-line faculty from the library faculty, if available. If only tenure-line faculty are available, then the Chair can utilize the Tenure-line Faculty Retention, Promotion, and Tenure Subcommittee

Tenure-line Faculty Retention, Promotion, and Tenure Review Subcommittee

For cases other than promotion to the rank of full librarian, a minimum of six tenured faculty members drawn from the main Committee, selected by the Chair to achieve appropriate representation from divisions within Marriott Library.

For cases involving proposed promotion to the rank of full Librarian, a minimum of three tenured librarians with the rank of full Librarian selected by the Chair in consultation with the Dean.

Tenured Faculty Review Subcommittee

A minimum of three tenured faculty members drawn from the main Committee, selected by the Chair.

*File*

Candidates for promotion, tenure, and/or retention assemble documents including a current CV, a personal statement with short narrative, description of current activities and future plans, and other relevant materials into their file. Their file is then read by the cognizant committees and administrators.

*Formal Reviews*

Tenure-line faculty member's mid-probationary and final review years. Typically the mid-probationary review occurs during the candidate's fourth year. The final review and consideration of promotion and tenure typically takes place during the candidate's seventh year.

*Informal Reviews*

Annual review of tenure-line faculty during the probationary period. During the candidate's first year, the Associate Dean conducts the informal review. During the candidates second, third, fifth and sixth years, the Associate Dean and the Faculty Review Committee oversee the review.

*Letter*

In this document, letters are written by administrators, supervisors, faculty or staff members, or external evaluators and provide an assessment of the candidate.

*Peer Teaching and Curriculum Committee*

The committee develops and maintains Marriott Library's curriculum and considers new courses, program changes, course fees, and certificate programs. The Committee recommends for or against approval of requests. The committee evaluates the teaching-related contributions of library faculty members for purposes of official reviews of such faculty (e.g. Retention, Promotion, Tenure (RPT), or Tenured Faculty Reviews (TFR) of the tenure-line faculty, or reappointment and promotion reviews of career-line faculty). **These evaluations are of library faculty members who teach Marriott Library's curriculum as well as those who significantly contribute to the design or teaching of courses offered by other**

**academic units, or who advise students.** Evaluations will consider course instruction, curriculum and program development, and student advising and mentoring. The Committee's overall assessment of a candidate's teaching-related performance as an instructor gives consideration to factors that can affect student ratings and SAC evaluations.

Membership on the committee shall consist of cognizant Department Chairs/Directors/Heads that administer Marriott Library curriculum. The Dean will consult with the Executive Committee on the selection of teaching library faculty to serve as peer reviewers. Members of the committee will annually elect a committee member to serve as chair for a one-year term.

*RPT Advisory Committee and Chair*

The RPT Advisory committee, stipulated by U Policy [6-303](#), advises and votes on matters of retention, promotion, and tenure. The Committee consists of all tenured library faculty regardless of rank, but with specific voting procedures listed below. The elected chairperson of the Faculty Review Committee also chairs the RPT Advisory Committee.

Voting Procedures

For recommendations on retention, all tenured faculty members, regardless of rank, are eligible to participate in the consideration of and to vote on recommendations in individual cases.

For recommendations on promotion, all tenured faculty members of equal or higher rank than that proposed for the candidate for promotion are eligible to participate in the consideration of and to vote on recommendations in individual cases.

For recommendations on tenure, tenured faculty members, regardless of rank, are eligible to participate in the consideration of and to vote on recommendations in individual cases.

Votes will be taken by secret ballot. No individual may cast a vote in the same academic year in any candidate's case in more than one capacity.

Whenever possible, the RPT Advisory Committee Chair will advise all members on leave or otherwise absent of the proposed action and shall request their written opinions and votes in advance of the meeting. Absent members' written opinions shall be disclosed at the meeting and their votes will be counted and recorded the same as other votes.

The minutes of the meeting should reflect the nature of the discussion with major points on both sides revealed. Both affirmative and negative votes should be explained. From the minutes, others should be able to get the sense of the discussion and not just the conclusions. The committee



should then write their report to include the vote, a synopsis of the minutes, and their assessment. The report should be signed by the person designated by the RPT Advisory Committee Chair to serve as secretary, approved by the RPT Advisory Committee Chair, and made available for inspection by the committee members. After allowing an inspection period of not less than two business days nor more than five business days, and after such modifications as the committee approves, the secretary shall forward the report to the Faculty Review Committee Chair and the candidate, along with a list of all faculty members present at the meeting.

All committee votes and deliberations are personnel actions and must be treated with confidentiality in accordance with University Policy and state and federal law. Members of the RPT Advisory Committee are enjoined not to convey the substance or outcomes of committee deliberations to candidates. Candidates may not ask questions about the committee's deliberations outside of the conversation the candidate has with the RPT Advisory Committee Chair about the committee's meeting.

#### *Report*

Committees generate reports that provide an assessment, a synopsis of the meeting, and the vote, as applicable.

#### *Specified Date*

In this document, dates are listed as "by specified date." Each year, the Office of the Dean will create a calendar for each task or assignment in this document that needs a specific date applied. This calendar will be provided to the faculty in accordance with the standards.

#### *Student Advisory Committee*

A primary function of the Committee is to provide information and recommendations regarding teaching-related performance of Marriott Library faculty members for purposes of the faculty review processes described above in conjunction with the Faculty Review Committee. In particular, it serves as the "SAC" referred to in U Policy [6-303](#) for RPT and TFR reviews of tenure-line faculty members. Membership consists of a representative group of students enrolled in credit-bearing courses/programs which the Marriott Library offers (or cooperates with other academic units to offer) and one or more ASUU-elected representative(s). Members of the Committee will annually elect a committee member to serve as chair for a one-year term.