

# *Colorado State University Libraries*

## *Faculty Code*

Approved by Libraries Faculty

June 18, 2019

### **INTRODUCTION**

This document is in compliance with Section E of the *Academic Faculty & Administrative Professional Manual* (hereafter referred to as the *Manual*). Tenured and Tenure-Track Faculty should consult Section E of the *Manual* and the Libraries Faculty Code in addition to the *Criteria*.

### **THE ROLE OF LIBRARY FACULTY IN A UNIVERSITY**

The Association of College and Research Libraries (ACRL) Standards for Faculty Status for Academic Librarians states:

The academic librarian makes . . . contributions to the academic community and to higher education itself. These contributions include developing collections, providing bibliographic access to all library materials, and interpreting these materials to members of the college and university community.

Specific services include instruction in the use of print and online library resources and the creation of new tools to enhance access to information available locally, regionally, nationally, or internationally.

Librarians contribute to the sum of knowledge through their research into the information process and other areas of study. Service improvements and other advances in the field result from their participation in library and other scholarly organizations.

(Approved by ACRL Board, June 2007. Revised October 2011. Prepared by the ACRL Committee on the Status of Academic Librarians.)

The Joint Committee on College Library Problems, a national committee representing the Association of College and Research Libraries, the Association of American Colleges (now the Association of American Colleges and Universities), and the American Association of University Professors states:

As the primary means through which students and faculty gain access to the storehouse of organized knowledge, the college and university library performs a unique and indispensable function in the educational process. This function will grow in importance as students assume greater responsibility for their own intellectual and social development. Indeed, all members of the academic community are likely to become increasingly dependent on skilled professional guidance in the acquisition and use of library resources as the forms and numbers of these resources multiply, scholarly materials appear in more languages, bibliographical systems become more complicated, and library technology grows increasingly sophisticated. The librarian who provides such guidance plays a major role in the learning process.

The character and quality of an institution of higher learning are shaped in large measure by the nature and accessibility of its library resources as well as the expertise and availability of its librarians . . .

Librarians perform a multifaceted role within the academy. It includes not only teaching credit courses but also providing access to information, whether by individual and group instruction, selecting and purchasing resources, digitizing collections, or organizing information. In all of these areas, librarians impart knowledge and skills to students and faculty members both formally and informally and advise and assist faculty members in their scholarly pursuits. They are involved in the research function and conduct research in their own professional interests and in the discharge of their duties. Their scholarly research contributes to the advancement of knowledge valuable to their discipline and institution.

In addition, librarians serve and contribute to university governance through their service on campus-wide committees. They also enhance the reputation of the institution by engaging in meaningful service and outreach to their profession and local communities.

. . .

College and university librarians share the professional concerns of faculty members. Academic freedom is indispensable to librarians in their roles as teachers and researchers. Critically, they are trustees of knowledge with the responsibility of ensuring the intellectual freedom of the academic community through the availability of information and ideas, no matter how controversial, so that teachers may freely teach and students may freely learn. Moreover, as members of the academic community, librarians should have latitude in the exercise of their professional judgment within the library, a share in shaping policy within the institution, and adequate opportunities for professional development and appropriate reward.

(Statement last revised and reaffirmed by ACRL in 2007 and endorsed by a subcommittee of ACRL with representatives of the AAUP in 2012.)

## **MISSION OF THE LIBRARIES AT COLORADO STATE UNIVERSITY**

The primary mission of Colorado State University Libraries is to participate in the University community's discovery, communication, and use of knowledge by providing materials, information and other services to support instruction, research and scholarship. Its further mission is to serve as a resource for Colorado residents in supplementing individual, business, cultural, educational, governmental, or professional information requirements. A secondary mission is to share resources with the national and international higher education community.

Librarians are faculty members sharing professional responsibilities with their academic colleagues. In contrast to most faculty members at Colorado State University, Libraries faculty hold a twelve-month service appointment. As do other faculty, Libraries faculty engage in scholarly and service activities appropriate to their discipline. Faculty may be hired as Tenure Track Faculty (TTF) or Non-Tenure Track Faculty (NTTF). Details about appointment types and rank can be found in Section II.

### **I. LIBRARIES CODE**

The Libraries serves both as a department and a college. The Libraries *Code* reflects requirements of both the college and departmental codes as delineated in the *Colorado State University - Academic Faculty and Administrative Professional Manual* (hereafter referred to as *Manual*) sections C.2.4.1.1 and C.2.4.2.1.

**I.A. ADMINISTRATIVE OFFICER**

The Libraries is organized under the Dean of Libraries (see the *Manual* C.2.3.7). This individual shall have the duties assigned to the deans of the colleges as specified in the *Manual* section C.2.6.1 and will act on behalf of the Libraries when a department head action is required. The academic faculty of the Libraries are organized under the Dean to accomplish specific teaching, research and service missions.

**I.B. ADMINISTRATIVE ORGANIZATION**

The Libraries is organized into divisions under the Dean of Libraries. Divisions are comprised of faculty, administrative professionals, classified staff, and student employees.

The academic faculty of the Libraries have organized themselves into the Libraries Faculty Council (LFC).

**I.C. LIBRARIES MISSION AND OBJECTIVES**

The mission of the Colorado State University Libraries is to support the University's academic, research and service goals through dynamic leadership in providing comprehensive informational resources and services.

**I.D. PROCEDURES FOR REVIEW OF CANDIDATES FOR NEW OR VACATED ADMINISTRATIVE OR FACULTY POSITIONS**

All appointments to new or vacated faculty positions are on the authority of the Board of Governors of the Colorado State University System, which is delegated to the President.

The Dean of Libraries shall be appointed by the President. The search and review of candidates for Dean of Libraries shall be conducted according to section E.4.4 of the *Manual*.

Assistant/Associate Dean positions shall be reviewed by the Dean of Libraries, with input from the Libraries Faculty Council. Appointment shall be made by the Dean in consultation with the Provost's office. Review of candidates for new or vacant Assistant/Associate Dean, positions shall be conducted according to procedures for faculty review (see the *Manual*), section E.4.4, selection of Administrators with Academic Appointments.

**I.E. PROCEDURES TO RESOLVE GRIEVANCES THAT MAY ARISE BETWEEN MEMBERS OF THE FACULTY WITH REGARD TO THE EVALUATION OF PERFORMANCE**

See the *Manual*, Section K: Resolutions of Disputes.

## **I.F. LIBRARIES SELF-EVALUATION**

The Libraries undertakes an ongoing self-evaluation in the form of annual goal statements, annual reports, and annual assessments of goal accomplishments. The Libraries will also conduct evaluations of on-going operations as specified in the *Manual* section C.2.4.1.1.d.

## **I.G. ACADEMIC APPEALS**

Students enrolled in credit courses taught by Libraries faculty have the right to appeal academic decisions according to section I.7 of the *Manual* and section 1.7 in the University's *General Catalog*.

For purposes of Section I.7. Student Appeals of Grading Decisions, the Assistant/Associate Dean overseeing instructional programs shall serve in the role of department head.

The appeals committee shall be convened by the Dean of Libraries and shall consist of two Libraries faculty members, an outside faculty member, and the two student representatives to the Faculty Council Committee on Libraries.

## **I.H. FACULTY MEETINGS**

There shall be a minimum of one LFC meeting each semester of the academic year called by the Chair of LFC, with written notice given in advance.

## **I.I. CODE RATIFICATION, REVIEW AND REVISION (See *Manual* C.2.4.2.1)**

The Libraries *Code* shall be consistent with the provisions of the *Manual*, and the *Manual* shall take precedence in all instances. After the Libraries *Code* has been approved with written ballot by a two-thirds majority of the eligible faculty members of the Libraries (as defined in the *Manual* section C.2.4.2), a copy of it and any subsequent changes shall be provided to the Dean of Libraries and the Provost. Upon their acceptance (as specified in the *Manual* section C.2.4.3), the Libraries shall begin to operate in accordance with the procedures of its *Code*. The Libraries *Code* shall be made available on the Libraries intranet.

This *Code* will be reviewed annually by the LFC Committee on Responsibilities and Standing of the Library Faculty.

Suggested amendments, revisions, or other changes to the Libraries Faculty *Code* are handled through the LFC Committee on Responsibilities and Standing of Library Faculty. Procedures for Libraries *Code* changes can be found in the *LFC Bylaws* Article VIII. LFC-approved changes shall be provided to the Dean of Libraries and the Provost for their acceptance.

**I.J. PROCEDURES FOR ELECTING OR APPOINTING FACULTY TO LIBRARY (COLLEGE-WIDE) COMMITTEES**

See Article VII of the *LFC Bylaws*.

**I.K. PROCEDURES FOR ELECTING OR APPOINTING FACULTY TO UNIVERSITY COMMITTEES (FACULTY COUNCIL STANDING COMMITTEES AND OTHER UNIVERSITY COMMITTEES)**

When vacancies on University committees occur, they are filled by the Faculty Council Committee on Faculty Governance (see *Manual C.2.1.9.4*).

**I.L. PROCEDURES FOR APPOINTING ACADEMIC FACULTY TO GRADUATE STUDENT ADVISORY COMMITTEES**

The Libraries has no degree-granting program; however, Libraries faculty may be asked by other academic departments to serve on graduate student advisory committees, subject to the code(s) of the academic department.

**II. PROCEDURES RELATING TO APPOINTMENT & ASSIGNMENT OF RANK, REAPPOINTMENT, PROMOTION, AND TENURE**

Libraries faculty follow the procedures for appointment, reappointment, tenure, and promotion established for Colorado State University faculty. Expectations specific to the discipline are taken into account in assessing a Libraries faculty member's contributions in the prescribed evaluation areas.

**II.A. APPOINTMENT & ASSIGNMENT OF RANK**

The minimum requirement for appointment to a faculty position is the terminal degree appropriate to the discipline. For librarians, the most typical appropriate terminal degree is a master's degree from a program accredited by the American Library Association or its international equivalent. A librarian may also have an equivalent accredited master's or doctoral degree in a relevant subject area.

Librarians may receive limited term appointments or be appointed at a career rank, which includes Tenure Track and continuing appointment Non-Tenure Track faculty. Career rank librarians are usually appointed at the rank of Assistant Professor unless they meet the criteria for a higher rank. Appointments are in accordance with *Manual E.2*.

**1. Instructor**

The rank of instructor is a limited term appointment that requires little or no prior library experience. Instructors typically work under the direction of their supervisor. Instructor appointments are not career track appointments.

## **2. Assistant Professor**

- a. Assistant Professor is a beginning career rank. Duties at this rank are performed with more independence and initiative than at the Instructor level, in consultation with the supervisor. Librarians at this rank should display a continuing interest in improving knowledge and skills and may have supervisory duties as part of their effort distribution.
- b. Non-tenure track faculty may remain at this rank indefinitely. Faculty on the tenure track must apply for tenure and promotion at the end of the probationary period.

## **3. Associate Professor**

- a. Associate Professor is a career rank. Duties at this rank are generally performed independently and with initiative, in consultation with the supervisor. Librarians at this rank should have recognized knowledge and skills and may have supervisory duties as part of their effort distribution.
- b. Faculty may remain at this rank indefinitely.
- c. Faculty appointed at the rank of Associate Professor will ordinarily meet the following criteria:
  1. A minimum of six years of professional experience in an academic library or relevant setting.
  2. Tenure Track Faculty must have a record of active engagement in research and creative activities that includes peer-reviewed publications and other associated scholarly activities.

## **4. Professor**

- a. Professor is a career rank. This rank is awarded to faculty with outstanding leadership qualities and a high level of expertise in their assigned areas of responsibility in the Libraries. Faculty at this rank will exhibit outstanding achievement in their professional endeavors. They are recognized at the regional, national, or international levels.
- b. Faculty appointed at the rank of Professor will ordinarily meet the following criteria:
  1. A minimum of six years of professional experience in an academic library or relevant setting at the rank of Associate Professor or equivalent.

2. Their record of service should include a leadership role in a relevant regional, national, or specialized professional organization.
3. Tenure Track Faculty must have a record of research and scholarly activities that includes a major contribution to the field employing critical and original thoughts, such as a scholarly monograph or four quality articles in peer-reviewed journals, or the equivalent, as well as associated scholarly activities.

## **II.B. REAPPOINTMENT**

Evaluation for reappointment considers performance in the practice of librarianship, research and creative activity, and service. Minimum requirements for reappointment are job performance at a high level of quality and demonstrated achievement and growth in the areas of research and creative activity and service.

## **II.C. PROCEDURES RELATING TO TENURE AND PROMOTION FOR TENURED/TENURE TRACK FACULTY see Appendix B**

## **II.D. POLICIES AND RELATED MATERIALS FOR NON-TENURE-TRACK FACULTY see Appendix C**

# **III. EVALUATION OF PERFORMANCE OF FACULTY (See *Manual C.2.5.*)**

## **III.A. ADMINISTRATORS. ADMINISTRATIVE EVALUATIONS WILL BE CONDUCTED ANNUALLY IN ACCORDANCE WITH *MANUAL C.2.7***

1. The Libraries Faculty will evaluate the Dean of Libraries annually by providing input to the Provost/Academic President (as in Section C.2.7.b of the *Manual*). Participation will be voluntary.  
The evaluation instrument and procedures for the evaluation will be reviewed periodically by the LFC Committee on Responsibility and Standing (see Appendix D for the instrument and procedures). The Libraries Faculty Council Executive Board will distribute the evaluation instrument to the eligible Libraries faculty, collect and tabulate the results, and forward the evaluations to the Provost.
2. The Assistant/Associate Deans will be evaluated annually by the Dean with input from Coordinators, other professional staff who report to that Assistant/Associate Dean, and other appropriate people as determined by the evaluator.
3. Coordinators will be evaluated annually by the Assistant/Associate Deans with input from faculty members within their unit. Other appropriate faculty members, and professional staff who have knowledge of the Coordinator's work and performance may be asked to provide input.

### III.B. FACULTY

All Libraries faculty members are evaluated annually by their supervisors with input as appropriate from faculty members who have knowledge of their work and performance, on the same basis as their colleagues whose responsibilities are primarily in the areas of teaching and research (see *Manual E.12*). Refer to the “*Criteria*” Appendix A for criteria and guidelines for the assignment of merit. Librarianship, however, has special characteristics which are also recognized in performance appraisal.

1. Performance within the University Libraries. Librarianship at Colorado State University refers to the entire range of activities of the faculty librarian in developing and maintaining library collections and records and in establishing and promoting library services to meet the needs of the University community. Performance for the librarian is reflected in:
  - a. The manner in which assigned responsibilities are discharged.
  - b. The way in which responsibility is sought for innovative changes which will benefit the libraries and the University community.
  - c. Communication skills.
  - d. Rapport with members of the University community and other constituencies.
  - e. Planning and organization.
  - f. Supervision, if applicable.
2. Research and Other Creative Activity. See *Manual E.12.2*.
3. University Service. See *Manual E.12.3.1*.
4. Professional Service. See *Manual E.12.3.2*.

# APPENDIX A

## CRITERIA AND STANDARDS REAPPOINTMENT, PROMOTION, AND TENURE

UNIVERSITY LIBRARIES  
COLORADO STATE UNIVERSITY

Approved by the Libraries Faculty

June 18, 2019

### I. GENERAL AND SPECIFIC CRITERIA FOR EVALUATING LIBRARIES FACULTY FOR PROMOTION, REAPPOINTMENT, AND TENURE

Factors used to evaluate Libraries faculty are those of the discipline. These factors recognize that librarianship is a multifaceted discipline, that libraries are cooperative enterprises, and that successful academic librarianship requires continuing acquisition and application of professional and extra-disciplinary knowledge.

#### I.A. GENERAL CRITERIA

1. General criteria for evaluating Libraries faculty for reappointment, promotion, tenure, and post-tenure review are the (1) practice of librarianship (2) research and creative contributions, and (3) service. Effort distributions for faculty with supervisory responsibilities may also include supervision, which is addressed under Practice of Librarianship Section I.B. Specific criteria related to the general criteria are listed below. The lists are not comprehensive.
2. A faculty member's effort distribution is negotiated with the appropriate Supervisor and Assistant/Associate Dean and should be stated clearly in writing, as it will be used as the framework for annual and periodic comprehensive reviews as well as for tenure and promotion decisions. Because of the applied nature of the discipline of librarianship, activities within librarianship typically accounts for the largest percentage of effort distribution, however, effort distributions can be negotiated with the faculty's Coordinator and/or Assistant/Associate Dean.
  - a. Tenure-Track Faculty  
Pre-tenure, effort distributions are typically 75% Librarianship, 15% Research/Creative Activities, and 10% Service to provide untenured faculty with sufficient opportunity to demonstrate merit and promise for excellence in each area of faculty responsibility. When appropriate, supervision may be a part of the effort distribution.

- b. Tenured Faculty  
Post-tenure effort distributions are typically 80% Librarianship, 10% Research/Creative Activities, and 10% Service. When appropriate, supervision may be a part of the effort distribution.
- c. Non-Tenure Track Faculty  
NTTF positions usually focus on the applied aspects of librarianship, so a typical effort distribution for NTTF is 95% Librarianship and 5% Service. When appropriate, supervision and/or research may be a part of the effort distribution.

## **I.B. SPECIFIC CRITERIA**

### **1. Practice of Librarianship**

In keeping with the multifaceted nature of their discipline, Libraries faculty engage in a broad spectrum of activities. Libraries faculty are specialists in providing access to information and are involved in the development of resources, collections and information systems; bibliographic control and organization; instruction, reference and advisory services; and administration and planning. The practice of librarianship takes place in a variety of settings. For an individual faculty member, the practice of librarianship may or may not involve management assignments, public contact, classroom instruction, etc.

In the CSU Libraries, librarianship includes outreach. For Libraries faculty, outreach is defined as education or information transfer that is conducted by Libraries faculty for constituents. Such constituents include students, non-library faculty, colleges and departments, other on-campus administrative units, and individuals and organizations external to the CSU community. For Libraries faculty, outreach that does not specifically involve education or information transfer constitutes, and is reported as, service.

**a. Activities encompassed in the term “Practice of Librarianship” include but are not limited to:**

- providing intellectual and physical access to information in the research and instructional collections of the Libraries and other information repositories and resources via a variety of formats and venues, including web pages, research guides, finding aids, learning objects, presentations, instruction sessions, promotional materials, etc.
- furthering the teaching and research missions of the University through administrative, managerial, development and supervisory activities
- improving instruction through integration of information resources into the curriculum, development and application of technological innovations, development of curricular support, new courses, or other related work

- interacting with library users at all levels; developing and maintaining communication and interaction with other members of the University community
- formulating and implementing Libraries' policies and procedures related to the instructional mission of the Libraries and the University
- managing human resources; developing and training effective faculty and staff
- attracting and recruiting talented and effective faculty to the Libraries/University through activities such as serving on a search committee
- managing material and financial resources
- conducting individual or group instruction; delivering course-related lectures external to the Libraries
- teaching or participating in teaching regularly scheduled credit courses
- serving as a major thesis or dissertation advisor, or as member of a thesis committee
- developing the Libraries' collections in support of the University's research and instructional missions, such as recommendations for purchase, identification of special acquisition opportunities, and/or attraction of gifts
- supporting the Libraries' mission in a rapidly changing environment through a variety of activities, including innovative approaches to job duties, collaborations with stakeholders, leveraging partnerships with external organizations, professional development, etc.
- incorporating data-driven assessment and other evaluation methods to improve services
- mentoring/advising students or Libraries faculty.

**b. Measures by which the Practice of Librarianship is evaluated**

Evidence considered in evaluating the Practice of Librarianship includes, but is not limited to: assessments by colleagues or other individuals, including the Coordinator and Assistant/Associate Dean, who may have observed the candidate's performance.

**2. Research and Creative Activities**

Progress in library and information science results from development of new principles and application of existing ones to professional theory and practice. Research may appear in publications authored by separately named individuals or groups and may also be communicated through unpublished papers, presentations and reports to professional organizations, documents and correspondence, and other vehicles for dissemination of scholarship.

In librarianship, participation in cooperative scholarship is acknowledged as requiring application of knowledge and expertise equivalent to that demonstrated in individual

research and publication. Individual contribution should be noted. Libraries faculty advance and develop in their profession through substantive participation in professional associations. Such participation may result in a joint product such as a standard or guidelines for the field. These products are vital to librarianship and to the ability of the University to provide library service. The particular nature of a collective intellectual contribution is evaluated individually for each Libraries faculty member and corroborated by peer review from within and outside the University.

Because librarianship does not exist in isolation from the community, which it serves, but rather co-exists with and contributes to all disciplines, scholarly endeavors of Libraries faculty reflect this symbiosis, and often cross-disciplinary boundaries.

**a. Activities encompassed by the term “Research and Creative Activity” include, but are not limited to:**

- conducting research and engaging in other scholarly activity that may result in published work and that benefits librarianship or scholarship in any discipline. Contributions include, but are not limited to: books, monographs, articles in journals, chapters in books, essays in encyclopedias, papers in proceedings, position papers, technical reports, abstracts, book reviews and reviews of creative activities
- developing and introducing significant innovations with respect to library collections, services or methods
- receiving grant or contract funds, research awards, fellowships and scholarships
- editing journals or performing other editorial work of a scholarly nature
- presenting papers at international, national, regional, state or local conferences and meetings
- producing creative work related to the discipline or specialty, such as films, tapes, exhibits, reports, compositions, audiovisual material, computer programs
- actively pursuing academic degrees additional to the terminal degree

**b. Measures by which Research and Creative Activity is evaluated**

Evidence considered in evaluating Research and Creative Activity includes but is not limited to the record of contributions and impact in the areas listed above as reflected in the annual written evaluation and report of professional activities, and in the *Curriculum Vitae*; copies of publications, papers, grant applications, etc.; photographs or catalogs of exhibits; published reviews; letters of evaluation from professional associates within and outside the Libraries and the University community; indications of role and standing of bodies through which scholarly contributions are made; honors or awards received; critical acclaim or citation by other professionals; and other indications of professional recognition.

Tenure Track Faculty seeking promotion to Associate Professor should be actively engaged in scholarship. It is expected that the candidate will have published, or have accepted for publication, a minimum of three quality articles in peer-reviewed journals, or quality peer-reviewed book chapters, or the equivalent scholarly output. An example of the equivalent could be a substantive scholarly monograph. The candidate should also have a record of associated scholarly activities. Documentation of peer-reviewed publications and other scholarly activities must be provided to the Tenured Faculty no later than 40 days before the Dean's recommendation is due to the Provost according to the current year's TFC calendar.

For Tenured/Tenure Track Faculty seeking promotion to full Professor, the publication record at the rank of Associate Professor would include a major contribution to the field employing critical and original thoughts, such as a scholarly monograph or four quality articles in peer-reviewed journals, or the equivalent, as well as associated scholarly activities.

It is expected that Tenured/Tenure Track Faculty seeking promotion will go beyond the minimum. It is the responsibility of the individual faculty member to demonstrate impact on the profession for a specific research or creative activity.

### **3. Service**

Creation and implementation of programs, standards and guidelines that strengthen the position of the University Libraries in regional, national and international information systems, further the teaching and research missions of the University, and extend the Libraries' teaching function to the community are essential to academic libraries. They require coordination and consensus within the discipline as a whole. Within librarianship, such coordination and consensus are developed and maintained mainly within professional organizations and related associations. Participation in such organizations is a primary vehicle for fulfillment of the service involvement that is expected of Libraries faculty. Libraries faculty are also expected to perform service-oriented activities both within and outside of the University and their Department.

**a. Activities encompassed by the term "Service" include but are not limited to:**

- providing service to the profession through effective participation in international, national, regional, state or local professional associations
- providing service to the profession such as editorship of newsletters, and/or review of manuscripts
- conceiving, planning, organizing or conducting professional conferences, professional seminars, workshops or programs
- performing service within the University through effective participation in committees and other programs which address its goals

- appraising grant proposals, fellowship applications or other awards
- serving on local, state, national, or international commissions, boards, or agencies
- participating in a professional capacity in programs sponsored by student, faculty or community groups
- participating in distance and continuing education instructional activities
- performing public relations activities that serve the University's interests

**b. Measures by which Service is evaluated**

Library faculty workload includes a percentage of effort dedicated to service. Service is expected each year, although the amount of service performed may vary from year to year. Faculty members should demonstrate effective contributions to the library and the University. After promotion and/or tenure, faculty members are expected to sustain a record that corresponds to the expectations of the profession.

Evidence considered in evaluating Service includes but is not limited to the record of contributions in the areas listed above as reflected in the annual written evaluation and report of professional activities and in the *Curriculum Vitae*; indications of the role and standing of the organizations served; letters of evaluation from professional associates within and outside the Libraries and the University community; awards received; and indications of one's professional standing.

It is expected that Tenured/Tenure Track Faculty seeking promotion will engage in professional service beyond the university. It is the responsibility of the individual faculty member to demonstrate impact on the profession.

## **APPENDIX B**

### **PROCEDURES RELATING TO TENURE AND PROMOTION FOR TENURED/TENURE TRACK FACULTY**

UNIVERSITY LIBRARIES  
COLORADO STATE UNIVERSITY

Approved by the Libraries Tenured/Tenure Track Faculty

August 7, 2019

#### **INTRODUCTION**

Section E.10.1 of the *Manual* defines tenure as follows:

“Tenure is the practice of permanent or continuous appointments for academic faculty in higher education, during which their service at a particular institution may be terminated only for (1) adequate cause demonstrated in a hearing before an appropriately selected faculty committee, (2) under the extraordinary circumstances of a bona fide financial exigency, involving retrenchment or discontinuance of an academic program or a department of instruction, or (3) discontinuance of a degree granting program or a department of instruction not mandated by financial exigency.”

Granting of tenure to Libraries faculty normally coincides with promotion to Associate Professor. A tenured appointment carries no permanent commitment respecting the assignment of specific professional responsibilities. (See *Manual* E.13.)

#### **I. CRITERIA FOR TENURE AND PROMOTION**

##### **I.A. DEFINITIONS**

Performance is assessed in relationship to the field of academic librarianship as a whole, and also in terms of its local impact. Commendable performance assumes that the individual demonstrates initiative to achieve results that are effective and significant. Excellent performance is at a level above commendable performance in quality and impact. Indicators of excellent performance may include such things as impact on the discipline or the field, and favorable comparison to others at a similar stage in their careers.

##### **I.B. TENURE/PROMOTION**

Libraries faculty who are awarded tenure/promotion to Associate Professor have demonstrated commendable performance in research and creative activity and service, and in addition have excelled in librarianship. The records of faculty who are awarded

tenure indicate that they will continue to serve with distinction in their appointed roles. Faculty members are not expected to have equal accomplishment in all areas. Activities most often evaluated in making tenure determinations are listed in the *Criteria*, Appendix A I.B.

## **I.C. PROMOTION**

Candidates for promotion to full professor should demonstrate excellence in research and creative activity in addition to excellence in the practice of librarianship and should have commendable service record. Promotion to Professor will signify that the faculty member has matured in scholarship/creative activity and is now an established and recognized expert in their field.

### **1. Associate Professor**

Libraries faculty with the rank of Assistant Professor are normally considered for promotion to the rank of Associate Professor as part of the tenure process. A faculty member may request consideration of promotion to Associate Professor prior to tenure. However, recommendation for promotion to Associate Professor normally accompanies recommendation for tenure.

### **2. Professor**

Libraries faculty with the rank of Associate Professor may periodically be considered for promotion to Professor in accordance with University guidelines.

## **I.D. REVIEW PROCEDURES AND MINIMUM STANDARDS**

### **1. Tenure and Promotion to Associate Professor**

The Libraries Tenured Faculty Committee (TFC) normally conducts facilitates a comprehensive review of candidates for tenure in their third and sixth years of service toward tenure. The sixth year review leads to recommendation for or against tenure. Types of evidence considered include but are not limited to: the record of annual written evaluations of the candidate's performance in the practice of librarianship; publication, creative work and other scholarly achievement; professional involvement and contributions at the international, national, regional, state or local levels; professional standing. A candidate may offer other relevant evidence. Letters of evaluation from professional associates ~~within and~~ outside the Libraries and the University community are sought, and where appropriate, representatives of cognate disciplines relevant to a candidate's performance are also consulted.

The Tenured Faculty makes judgments on the total record regarding sufficiency, currency, quality, and impact of academic work, as reflected by appropriate publications. While the Tenured Faculty weighs the evidence presented, and makes its decision by vote, not by any automatic tabulation or totaling of the evidence

collected in the process, a candidate for tenure and/or promotion to Associate Professor should have published, or have accepted for publication, a minimum of three quality articles in peer-reviewed journals, or quality peer-reviewed book chapters, or the equivalent scholarly output. An example of the equivalent could be a substantive scholarly monograph. The candidate should also have a record of associated scholarly activities. Documentation of peer-reviewed publications and other scholarly activities should be submitted with the dossier, and must be provided to the TFC no later than 40 days before the Dean's recommendation is due to the Provost according to the current year's TFC calendar.

## **2. Promotion**

The review procedure for promotion to full professor is generally the same as that for tenure and promotion to Associate Professor above. A candidate for full Professor is expected to continue a record of excellence in librarianship while in rank as Associate Professor, and in addition, demonstrate excellence in research and creative activity as defined under Definitions. The Committee for promotion to full Professor will pay particular attention to the significance and quality of the candidate's librarianship, published research, and service since appointment to Associate Professor. In addition, the candidate for Professor will show continuing achievement in research and creative accomplishment.

Typically, the publication record at the rank of Associate Professor will include contributions of significant impact to the field employing critical and original thoughts, such as a scholarly monograph or four high quality articles in peer reviewed journals, or the equivalent, as well as associated scholarly activities. Refereed publications are key, but reviews, short notes, non-refereed articles, papers for professional meetings, or conducting workshops may be considered scholarly accomplishments and a valid component of corroborating a person's impact in the field. Service will include a leadership role in national, regional, or specialized professional organizations that are a good match with the faculty member's area(s) of expertise.

## **II. TENURED FACULTY COMMITTEE**

### **II.A. ELECTION OF TFC MEMBERS AND CHAIR; TERMS OF OFFICE**

The TFC consists of three members, each of whom serves for two years. This committee is charged with facilitating tenure and promotion activities for the year. In May or June new members are elected by the Libraries' Tenured Faculty. The outgoing Chair conducts this election, convenes the first meeting of newly elected TFC by June 30 and at this meeting conducts an election to select a new Chair.

## **1. Eligibility**

- a. All Tenured Libraries Faculty at the rank of Associate Professor or Professor are automatically included as candidates on the ballot for election to the TFC. The Dean of Libraries does not vote or serve on TFC.
- b. Libraries Tenured Faculty may remove their names from the ballot only if they are aware of upcoming sabbatical, administrative, or sick leave which will necessitate an absence of one month or longer during the fall/spring semesters of the two-year term of election.
- c. Tenured Faculty on transitional retirement are eligible to serve on the TFC if they are available during the fall and spring semesters for the two-year term of election.
- d. Supervisors and/or subordinates of candidates under consideration for tenure/promotion are eligible to serve as fully participating members of the TFC.
- e. After serving on the TFC, an individual is not eligible for reelection to the TFC for one year.
- f. Individuals may serve as TFC Chair no more than once per TFC 2-year term.
- g. Assistant/Associate Deans holding an administrative appointment of more than half time are eligible to serve on TFC. If a faculty member holding an administrative appointment does serve on the TFC, it is expected that they will not participate in discussions of the case at higher administrative levels.

## **2. Election Procedures**

- a. A sufficient number of persons will be elected to bring the total TFC membership to three persons. Terms are staggered such that a maximum of two new members will be elected each year.
- b. The persons with the most votes will be considered elected.
- c. In the event that too few tenured Libraries faculty at the rank of Associate Professor or Professor exist within the Libraries, to complete the membership of the TFC, the Dean, in consultation with the tenured faculty, together shall complete the formation of TFC in an unbiased manner, such as by lot, from faculty (non-administrative) members in College departments with interests complementary to the Libraries. When selecting faculty from other colleges to complete the formation of the TFC, the TFC ballot shall be considered complete when the minimum of three tenured faculty at the rank of Associate and full Professors has been obtained.

TFC members are expected to attend all meetings. If any member of the TFC is unable, for emergency reasons or for extended leave, to attend meetings that affect committee business, the TFC can consider the following alternatives:

- i. They can renegotiate the time frame for submission of the TFC's recommendations to the Dean.
- ii. If a TFC member retires or resigns during their elected term, the vacancy will be filled by the person receiving the next greatest number of votes in the most recent TFC election. If this substitution is for less than one academic year, that individual will be eligible to be elected to a full two-year term the following year.
- iii. An election can be held from the membership of the entire tenured faculty. All Libraries faculty will be informed of substitutions.

## **II.B. ADMINISTRATIVE SUPPORT**

The Dean will designate an Administrative Assistant to facilitate the work of the TFC. The Administrative Assistant will be assigned the following duties:

1. Compiles a list of persons eligible for reappointment, comprehensive mid-term reviews, tenure, and promotion. The list shall include date of anticipated tenure/promotion review for all untenured faculty. This list shall be sent to the TFC and the Promotion Committee (PC) (if there is application for promotion to (full) Professor) no later than July 31.
2. Maintains the calendar of TFC/PC deadlines for promotion, tenure, comprehensive reviews and reappointment. The calendar will include the deadline for the report of recommendations to the Dean.
3. Provides the Chair of the TFC with the University form used for tenure and promotion.

## **II.C. CALL FOR CANDIDATES**

1. The Dean initiates the tenure and/or promotion process by issuing a call by June 1.
2. All candidates must submit their written response to the Dean, with a copy to the Chair of the TFC and the candidate's immediate supervisor.

## **II.D. TFC ORGANIZATION**

1. A quorum for a TFC meeting shall be three members. No abstaining votes may be cast by Tenured Faculty. TFC members may not vote by proxy.
2. In the case of promotion to the rank of (full) Professor, the Promotion Committee shall consist of at least three Libraries Professors with tenure, with the exception of the Dean, as appointed by the Chair of TFC. In the event that a minimum of three full Professors does not exist within the Libraries, the Dean shall complete the formation of a PC in an unbiased manner, such as by lot, from faculty (non-administrative) members in College departments with interests complementary to the Libraries and the candidate under consideration. When selecting faculty from other Colleges to complete the formation of a PC, the committee shall be considered complete when the minimum of three Professors has been obtained.

## **II.E. GENERAL PROCEDURES OF TFC AND ITS SUBCOMMITTEES**

1. Evaluation forms are used to solicit feedback when necessary.
  - a. Testimony of Colorado State University Libraries classified staff will not be solicited.
  - b. If appropriate, testimony may be solicited from individuals outside the Libraries at the University. An explanatory letter will accompany each request for information.
  - c. For tenure and/or promotion, external reviews (from evaluators outside the University) will be requested for research, scholarship and creative activity and for service if appropriate.
    - i. The candidate should not contact possible qualified evaluators, but will be invited to submit a list of names (including contact information) of possible evaluators as required by the provost.
    - ii. The list of possible qualified evaluators should be submitted to the TFC/PC when the candidate submits their written intent to the Dean.
    - iii. When possible, external reviewers should be faculty members or librarians with faculty status of the aspirational or higher rank.
    - iv. External reviewers will conform to the guidelines in “Documentation for Tenure and Promotion Application” issued by the Provost’s office. External evaluators will be sent a letter and appropriate materials identified by the candidate. A sample letter can be found in “Documentation for Tenure and Promotion Application.”

- d. The Tenured Faculty/TFC/PC does not consider unsolicited input.
2. Tenured Faculty/TFC/PC deliberations are confidential and must not be discussed outside Tenured Faculty/TFC/PC membership. All committee correspondence will be sent under confidential cover; candidate's files will be maintained in a secure place and made available to all Tenured Faculty. Subject headers for e-mail should be noted "confidential."
3. In matters of tenure and/or promotion, the testimony of the immediate supervisor appears on the appropriate University form and is not requested separately. The Chair of the TFC provides the candidate with the University form and assures that the appropriate sections are completed by the individual under consideration, the immediate supervisor and/or Assistant/Associate Dean. In matters of reappointment after the first year, input from the supervisor is sought on the official evaluation form. Input from the Assistant/Associate Dean is sought through the reappointment evaluation form of the TFC. Faculty members who report to the Dean of Libraries are reviewed on the tenure/promotion form by the Dean writing as immediate supervisor/department head, by the Tenured Faculty, and by the Dean in the official capacity of Dean. Finally, the Dean incorporates the recommendations of the TFC/PC, which in the case of promotions to Associate includes the entire Tenured Faculty, in the final recommendation.
4. TFC/PC requests from each candidate their current vita, publications, works in progress, and other pertinent material (dossier). TFC/PC shall make the dossier available to Tenured Faculty and shall send copies of appropriate materials from the dossier to external evaluators. Colorado State University Libraries evaluators are expected to review all of a candidate's publications and other documents that are made available to them.
5. The Chair of the TFC forwards the Tenured Faculty's recommendations to the Dean of Libraries. Tenure and promotion recommendations include a vote summary. If there is a split vote, a statement of reasons representing the majority and minority points of view shall be included. PC recommendations are forwarded to the Chair of the TFC, who forwards them to the Dean. The TFC notifies each candidate of TFC/PC action, together with a narrative evaluation. When forwarding the recommendation for tenure and/or promotion, the TFC will also copy the faculty member on each reviewing administrator's narrative and recommendation. Copies of notifications and recommendations for candidates for reappointment, tenure and/or promotion are also sent to the supervisor, the appropriate Assistant/Associate Dean, and the Dean.
6. To allow time for administrative review, the Chair of the TFC submits all recommendations to the Dean of Libraries at least thirty days before the deadline for submission of recommendations to the Provost.

7. Prior to the Dean's submission to the Provost, a copy of the TFC's and Dean's recommendations will be provided to the candidate, the candidate's supervisor, and candidate's Assistant/Associate Dean. The candidate will be given five working days to write a rebuttal, if desired. The rebuttal would become Part IV: Candidate Response to Evaluations/Recommendations, which is optional and limited to no more than three pages.
8. All completed application packets of candidates for tenure and/or promotion shall be forwarded to the Provost after action by the TFC and the Dean.
9. After the Provost has made a decision, the candidate will receive back the dossier, which includes the supervisor's and Assistant Dean's evaluations.

#### **II.F. CHAIR OF THE TFC RESPONSIBILITIES**

1. Calls and presides over the TFC and Tenured Faculty meetings.
2. Appoints members of the Promotion Committee as needed.
3. Conveys the Tenured Faculty recommendations.
4. Communicates with the Dean of Libraries on behalf of the Tenured Faculty. Acts as a spokesperson for the Tenured Faculty.
5. Calls meetings of the Tenured Faculty when relevant issues arise that should be brought to the attention of that body. These meetings require a quorum of 50% of the Tenured Faculty on active appointment. A simple majority vote shall be sufficient to conduct business.
6. Convenes an annual meeting of the elected TFC with tenure-track faculty to review the procedures and the "*Criteria*" and answer any questions which arise.
7. Provides supervisor and Assistant/Associate Dean with necessary forms for evaluating the candidate.
8. Maintains a folder of sample documents relevant to the tenure, promotion, and reappointment processes.
9. Brings items of business to LFC and/or Tenure-Track faculty as appropriate. (Deliberations and recommendations about individuals must remain confidential.)
10. Conducts elections for new TFC members and calls the first meeting to elect the new TFC Chair by June 30.

## II.G. NEW FACULTY

1. Procedures for Recommending Rank for Incoming Faculty
  - a. The TFC meets with all final candidates interviewing for tenure-track faculty positions to discuss the role of the TFC and the Tenured Faculty in relation to reappointment, tenure and promotion.
  - b. Interviewing candidates will be asked to provide copies of selected publications or products of research, etc. In addition, the candidate is asked to provide information on other service activities not included in their resume. These are provided to the TFC, which reviews these materials and forwards to the Dean a recommendation for rank.
  - c. If a candidate has been awarded tenure at another academic institution with the rank of Associate Professor or Professor, the Tenured Faculty may recommend that the candidate be hired with tenure, per Section E.10 of the *Manual*. In this case, a ballot is sent to the entire Tenured Faculty. At least two thirds must approve the recommendation. The vote is called for by the current Chair of TFC.
2. Procedures for Assigning Mentors
  - a. Mentors will be assigned to tenure-track faculty members by the TFC. Before the assignment, TFC will meet with the tenure-track faculty member to discuss professional interests in order to make the best matches possible. Mentorship is a professional obligation and will be addressed and credited under Librarianship in a mentor's annual evaluations. The mentors are to serve as professional, not personal, mentors. Mentors are to help guide the tenure-track faculty member through the tenure/promotion process, and assist as needed in the three areas of each assignment: Librarianship, Research and Creative Activity, and Service, as well as with the assembly of the formal dossier. The faculty member may independently seek out additional informal mentors. If conflicts of interest or other concerns arise in the mentoring relationship, mentors or mentees may confidentially request a new mentor/mentee assignment in consultation with their supervisor and the TFC Chair.
  - b. Each tenure-track faculty member will be assigned two tenured faculty mentors who are expected to meet with the tenure-track faculty member a minimum of two times per calendar year (fall and spring) for a minimum of one hour (each meeting). One mentor will be specifically assigned to assist primarily in Librarianship and the other specifically assigned to assist primarily in Research and Creative Activity and Service.

- c. Mentors and mentees will not be in the same chain of supervision as one another.
- d. The same mentors will serve throughout the duration of the new faculty member's pre-tenure status through the submission of the dossier for tenure to the TFC. However, if a mentor becomes the tenure-track faculty member's supervisor or if a mentor leaves CSU, a new mentor will be assigned by TFC.
- e. One member of the TFC, who is not that year's Chair, will be assigned the task of reminding mentors and mentees in March and October that a meeting is expected to be scheduled and to take place.
- f. Care will be taken to ensure that mentoring responsibilities are equitably distributed among tenured faculty. Questions regarding interpretation of the tenure and promotion criteria should be addressed to the current TFC Chair.

### **III. PROCEDURES FOR REVIEW OF RECOMMENDATIONS FOR REAPPOINTMENT, TENURE, AND ADVANCEMENT IN RANK**

Evaluations are conducted in accordance with Sections C and E of the *Faculty/Admin Pro Manual* and the latest edition of "*Criteria and Standards: Reappointment, Promotion and Tenure*" ("*Criteria*"). The Tenured Faculty also recommends rank for incoming faculty. Prior service in an academic library or relevant setting may or may not count toward time in rank, and any credit for prior service will be unambiguously stated in the appointment letter. Before granting credit for prior service, the Dean should consult with the TFC. All eligible faculty may make recommendations and vote regarding the "*Criteria*" and Procedures.

Starting with the second annual review of a tenure-track faculty member's appointment, input to the Tenured Faculty Committee (TFC) from the entire body of Tenured Faculty, which includes Assistant/Associate Deans, is expected. To assist in giving input, Tenured Faculty will be provided access to key documents (SAR, CV, recent publications) in electronic format for the faculty member under review. For the comprehensive review, tenure, and advancement in rank, the Tenured Faculty will examine the candidate's dossier, which includes the immediate supervisor's and the corresponding Assistant/Associate Dean's written annual evaluations.

For promotion and tenure, documentation of peer-reviewed publications and other scholarly activities should be submitted with the dossier by the calendar deadline. Any dossier updates must be provided to the TFC no later than 40 days before the Dean's recommendation is due to the Provost according to the current year's TFC calendar.

The entire Tenured Faculty is expected to attend an annual confidential meeting convened by the TFC Chair (see II.A below), to discuss the candidate's progress toward tenure and promotion. A quorum of the Tenured Faculty for all annual reviews is all three

members of the TFC plus half of the rest of the Tenured Faculty. Those who cannot attend should notify the TFC Chair and give input on the candidate at that time.

Based on the written evidence, and its own deliberations, the Tenured Faculty will recommend for or against reappointment using the *Criteria*. Written evidence will include supervisor's evaluation, Assistant/Associate Dean's evaluation (who may be same person as the supervisor), other evaluations if appropriate, and information supplied by the candidate. The Tenured Faculty shall also address the candidate's progress toward tenure beginning with the third year reappointment.

Incorporating input from the meeting, the TFC will write a narrative evaluation and share it with the rest of the Tenured Faculty, to be certain that all relevant aspects are addressed. The final wording is at the discretion of the elected TFC members. The narrative evaluation will be forwarded by confidential mail to the faculty member under review, with copies to the Dean, Assistant/Associate Dean, and Coordinator (if applicable).

### **Annual Reviews/Reappointments**

The first annual review is completed by the tenure-track faculty member's Service Coordinator and Assistant/Associate Dean.

Starting with the second annual review, the entire body of the Tenured Faculty will meet to provide input regarding the faculty member for a narrative evaluation to be written by TFC, that speaks directly to progress toward tenure and promotion.

### **Comprehensive Reviews**

After the TFC compiles a review based on the initial meeting, the evaluation will be voted on via ballot in a second meeting of the entire Tenured Faculty, including Assistant/Associate Deans. Ballots will have names on them and will be shredded shortly afterwards by the Chair of TFC. The vote would be taken to determine sufficient progress of the candidate towards tenure and/or promotion in each of the three areas: Librarianship, Research & Creativity, and Service. The results of the area votes will be shared with the candidate on the narrative evaluation. No abstaining votes may be cast by Tenured Faculty. TFC members may not vote by proxy.

### **Final Year**

A written vote of the Tenured Faculty, including Assistant/Associate Deans, will determine whether or not a candidate will be recommended for Promotion/Tenure. Ballots will have names on them and will be shredded shortly afterwards by the Chair of TFC. If there is a split vote, the Chair of TFC will contact minority voting members for the creation of the minority report and then the ballots will be shredded to ensure confidentiality. The result of the vote will appear as a section of the final narrative

evaluation. No abstaining votes may be cast by Tenured Faculty. TFC members may not vote by proxy.

### **III.A. ELIGIBILITY FOR REAPPOINTMENT, ADVANCEMENT IN RANK AND TENURE**

#### **1. Reappointment**

Reappointment recommendations for individuals with one year or less in the position will be made by the supervisor. Recommendations for individuals with more than one year in the position will be made by the TFC.

#### **2. Tenure (All procedures must comply with E.10.4 of the *Manual*)**

- a. Beginning in 1996-97 and thereafter, when tenure is granted to an Assistant Professor, the individual will be promoted concurrently to Associate Professor. The recommendation will be made by the Tenured Faculty.
- b. A normal probationary period before the tenure award is six years of continuous employment for faculty initially appointed as Assistant Professors, four years of employment for Associate Professors, and three years of employment for Professors. See E.10.4.c of the *Manual*. Candidates with negotiated prior service credit, as noted in their job offer letter, may apply this credit towards the probationary period. For questions about prior service see E.10.4.1.1.
  - i. Tenure recommendations must be made by the sixth year of employment.
  - ii. The entire available and relevant record of the candidate's work will be considered. The candidate will determine which materials from the entire record will be included in the dossier.

#### **3. Advancement in Rank**

- a. Advancement in rank from Associate Professor to Professor is based upon the “*Criteria*” and the *Manual* section E.13. Faculty normally are eligible for consideration for promotion from Associate Professor to Professor after five years in rank. Advancement from Associate Professor to Professor may occur prior to five years in rank in those cases in which the faculty member's performance clearly exceeds the standards for promotion to Professor.
- b. Faculty members make written requests, with supporting documentation for advancement in rank, in response to the annual call from the Dean of Libraries.

### **III.B. COMPREHENSIVE MID-PROBATIONARY PERIOD REVIEWS OF TENURE-TRACK FACULTY**

Procedures for comprehensive reviews of tenure-track faculty are delineated in E.14.2 of the *Manual*. Procedures specific to the Libraries are delineated here.

1. A comprehensive review of untenured faculty shall be conducted during the mid-probationary period year by the Tenured Faculty. This review will replace the regular reappointment review.
2. The candidate will provide a dossier to the TFC, which will be examined by the entire Tenured Faculty. The dossier must include the candidate's record for the tenure-track years, including years of awarded service credit, if applicable.
3. Based on the written evidence, and its own deliberations, the Tenured Faculty will provide a written summary of its conclusions and recommendations. The results of Tenured Faculty votes for each area are included as part of the summary. The written evidence will include the candidate's record, including the TFC requested supervisor and Assistant/Associate Dean's evaluations, Tenured Faculty evaluations for both current and previous years, vita, and the candidate's dossier, as defined in the Libraries calendar for tenure, promotion, and reappointment.
4. The written summary prepared by the TFC will include one of the following possible outcomes:
  - a. The faculty member is making satisfactory progress toward tenure and promotion, and sustained progress may result in a favorable recommendation for tenure and promotion.
  - b. There are deficiencies that, if satisfactorily corrected, may lead to a favorable recommendation for tenure and promotion.
  - c. The faculty member has not met the stated requirements for the position in one or more areas of responsibility, and the Tenured Faculty recommends against further contract renewals.
5. The report shall include any written comments provided by the supervisor, Assistant/Associate Dean, Dean and Provost/Academic Vice President, as well as the faculty member. A final comprehensive performance review is required prior to recommendations concerning tenure.
6. The Chair of the TFC forwards the summary to the Dean with copies to the faculty member, their supervisor, and Assistant/Associate Dean. The Dean will forward a copy of the summary with comment(s) to the Provost.

### **III.C. PERIODIC COMPREHENSIVE REVIEWS OF TENURED FACULTY (POST-TENURE REVIEW)**

In order to facilitate continuing faculty development, faculty members who have achieved tenure undergo a periodic comprehensive evaluation (see *Manual* E.14.3).

#### **1. Phase I Comprehensive Performance Reviews**

The Dean will identify and notify tenured faculty who are candidates for a comprehensive review. The tenured faculty member's Assistant/Associate Dean or, if appropriate, the Dean will conduct the review in accordance with E.14.3.1 of the *Manual*.

If a faculty member's Phase I Comprehensive Performance Review is not satisfactory, a Phase II Comprehensive Performance Review shall be conducted.

#### **2. Phase II Comprehensive Performance Reviews**

- a. A review committee comprised of three tenured faculty of the same or higher rank than the faculty member under review will conduct this review in accordance with E.14.3.2. of the *Manual*.
- b. To select the committee, the TFC will draw names from among eligible tenured faculty members. At least one member of the committee shall be from the faculty member's division, if possible, but the faculty member's immediate supervisor will not be eligible for this committee.
- c. The faculty member shall present a record of accomplishments in librarianship, research and creative activity, and service that indicates the faculty member is continuing to make positive contributions to the Libraries and the University.
- d. The faculty member under review may submit examples of professional projects, reports, publications and other creative activity, products of service efforts, evaluations by students or peers as appropriate, recognition by external sources, and other evidence deemed useful to reflect their performance. Works in progress will be evaluated to the extent possible.
- e. The committee will have access to Phase I documents and may request letters from peers as appropriate.
- f. The review committee will recommend further action including whether conditions set forth in section E.15 of the *Manual*. (Disciplinary Action for Tenured Faculty) are present. Recommendations will be forwarded to the Dean of Libraries as outlined in E.14.3.2 of the *Manual*.

## **APPENDIX C**

### **POLICIES AND RELATED MATERIALS FOR NON-TENURE-TRACK FACULTY**

#### **UNIVERSITY LIBRARIES COLORADO STATE UNIVERSITY**

Approved by Libraries Faculty

June 18, 2019

#### **I. INTRODUCTION**

In certain cases, the CSU Libraries hires librarians as Non-Tenure Track Faculty (NTTF). The CSU Libraries may offer continuing or multi-year contracts on a case-by-case basis to NTTF, based on financial resources and library need.

##### **I.A. DEFINITION**

NTTF Librarians are faculty members who typically hold 12-month service appointments and share professional responsibilities with their Tenure-Track librarian colleagues. In accordance with Section E.2.1 of the Colorado State University Academic Faculty & Administrative Professional Manual, NTTF appointments are “at will” and are subject to termination by either party at any time unless the faculty member has a multi-year contract, in which case the terms of the contract shall stipulate its ending date.

##### **I.B. EFFORT DISTRIBUTION**

A NTTF member’s effort distribution is negotiated with the appropriate Coordinator and Assistant/Associate Dean and should be stated clearly in writing, as it will be used as the framework for annual and periodic comprehensive reviews. NTTF positions usually focus on the applied aspects of librarianship, so a typical effort distribution for NTTF is 95% Librarianship and 5% Service. In some cases, NTTF may have supervisory and/or research responsibilities. Effort distributions for service and/or research (if applicable) will not exceed 10% in each area.

NTTF may negotiate to have applied research directly related to their job duties included in the Librarianship distribution. Awarding a research component to Librarianship is at the discretion of the direct supervisor, and the adjustment to Librarianship should be in writing and include a specific start and end date with anticipated outcomes.

## **I.C. EVALUATION**

General criteria for evaluating NTTF are (1) practice of librarianship and (2) service. In some cases, research and creative activities and/or supervision may be part of the negotiated distribution. The areas evaluated may vary based on negotiated distributions, and NTTF may or may not have responsibilities in all areas. Criteria and standards for evaluation are outlined in Appendix A of the *Code*.

## **II. ELIGIBILITY FOR PROMOTION AND ADVANCEMENT IN RANK**

### **II.A. ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR**

Advancement in rank from Assistant to Associate Professor is based upon the *Criteria and Standards: Reappointment, Promotion, and Tenure* (Appendix A) and the *Manual* section E.13. Promotion to the rank of Associate Professor is contingent upon maintaining a high level of performance in carrying out job-related duties and responsibilities as an Assistant Professor or an equivalent rank. Candidates will submit a Statement of Professional Achievements (SOPA) in support of their promotion as outlined in Appendix C IV.A.

In addition, to apply to be promoted to the rank of Associate Professor, the individual will meet the following criteria:

1. Normally the candidate must have served a minimum of the equivalent of 60 months full-time at the CSU Libraries at the rank of Assistant Professor. At least the equivalent of 36 months full-time must have been served at the CSU Libraries as an Assistant Professor with an appointment of 50% or greater. Up to 24 months of prior service in an academic library or relevant setting may or may not count toward time in rank, and any credit for prior service will be unambiguously stated in the appointment letter (see the *Manual* E.13.).
2. The candidate must have a record of excellence in performance of professional assignment and a developing record of service within the Libraries. Candidates must submit a dossier that includes a portfolio demonstrating effective and/or innovative approaches to job duties in fulfillment of the *Criteria* as outlined in Appendix A. Accomplishments will be evaluated in terms of outcomes, results, and impact.
3. Growth in leadership in both librarianship and service should be demonstrable.
4. In those cases where research has been approved along with Librarianship, sustained engagement in a program of research and creative activity should be demonstrated.

### **II.B. ASSOCIATE PROFESSOR TO PROFESSOR**

Advancement in rank from Associate Professor to Professor is based upon the *Criteria and Standards: Reappointment, Promotion, and Tenure* (Appendix A) and the *Manual*

section E.13. Promotion to the rank of Professor is contingent upon maintaining a high level of performance in carrying out job-related duties and responsibilities as an Associate Professor or an equivalent rank. Candidates will submit a Statement of Professional Achievements (SOPA) in support of their promotion as outlined in Appendix C IV.A.

In addition, to be promoted to the rank of Professor, the individual will meet the following criteria:

1. Normally the candidate must have served a minimum of the equivalent of 60 months full-time at the CSU Libraries at the rank of Associate Professor. At least 36 of these months must have been served at the CSU Libraries as an Associate Professor with an appointment of 50% or greater. Up to 24 months of prior service in an academic library or relevant setting may or may not count toward time in rank, and any credit for prior service will be unambiguously stated in the appointment letter (see the *Manual E.13.*).
2. Continued record of excellence in librarianship while in rank as Associate Professor and evidence of the highest levels of performance in professional assignment. Accomplishments will be evaluated in terms of outcomes, results, and impact.
3. A demonstrable record of substantial contributions of a continuing nature to the Libraries. The dossier must include a portfolio of impactful projects or initiatives that might include major library-related projects with significant organizational impact, collaborations that support the Libraries' strategic initiatives, and/or a variety of other library-related activities beyond the candidate's primary job duties. For each project/initiative, the candidate's SOPA must include the name of the project/initiative, a short description that includes the project's impact, and specific examples of the ways that the candidate contributed to the outcomes. The candidate must also provide a separate document with the names of the members of each project/initiative and identify 2-3 committee members who could speak to the candidate's contributions to the project. If a candidate has worked on a self-directed project, the names of individuals familiar with the project/initiative's outcomes and impacts should be submitted.
4. Service accomplishments should have achieved a measure of regional, national, or international recognition. Service will include leadership in national, regional, or specialized professional organizations that are a good match with the faculty member's area(s) of expertise. This criteria will also apply to candidates who have a negotiated research component in their effort distribution.

### **III. ELECTION OF PROMOTION REVIEW COMMITTEE (PRC) MEMBERS AND CHAIR; TERMS OF OFFICE**

The PRC is comprised of Libraries faculty at the rank of Associate Professor and Professor and consists of three members, each of whom serves for two years. This committee is charged with

facilitating Non-Tenure Track promotion activities for the year and meets with incoming NTTF to discuss the promotion process. After the Tenured Faculty Committee has been seated, new members of the Promotion Review Committee are elected by all Libraries' Associate Professors and Professors. The outgoing Chair conducts this election, convenes the first meeting of newly elected PRC by July 30, and at this meeting conducts an election to select a new Chair.

### **III.A. ELIGIBILITY**

1. All Libraries Faculty at the rank of Associate Professor or Professor are eligible to vote in the PRC election.
2. All Libraries Faculty at the rank of Associate Professor or Professor who have been at the Libraries for two or more years are automatically included as candidates on the ballot for election to the PRC. Faculty serving on TFC are not included on the ballot, and the Dean of Libraries does not vote or serve on PRC.
3. Libraries Faculty may remove their names from the ballot only if they are aware of upcoming sabbatical, administrative, or sick leave which will necessitate an absence of one month or longer during the fall/spring semesters of the two-year term of election.
4. Faculty on transitional retirement are eligible to serve on the PRC if they are available during the fall and spring semesters for the two-year term of election.
5. Supervisors and/or subordinates of candidates under consideration for promotion are eligible to serve as fully participating members of the PRC.
6. After serving on the PRC, an individual is not eligible for reelection to the PRC for one year.
7. Individuals may serve as PRC Chair no more than once per PRC 2-year term.
8. Assistant/Associate Deans holding an administrative appointment of more than half time are eligible to serve on PRC. If a faculty member holding an administrative appointment does serve on the PRC, it is expected that he or she will not participate in discussions of the case at higher administrative levels.

### **III.B. ELECTION PROCEDURES**

1. A sufficient number of persons will be elected to bring the total PRC membership to three persons. Terms are staggered such that a maximum of two new members will be elected each year.
2. The persons with the most votes will be considered elected.

3. In the event that there are too few Libraries faculty at the rank of Associate Professor or Professor, to complete the membership of the PRC, the Dean, in consultation with the outgoing PRC, together shall complete the formation of PRC in an unbiased manner, such as by lot, from faculty (non-administrative) members in College departments with interests complementary to the Libraries. When selecting faculty from other colleges to complete the formation of the PRC, the PRC ballot shall be considered complete when the minimum of three faculty at the rank of Associate and full Professors has been obtained.
4. PRC members are expected to attend all meetings. If any member of the PRC is unable, for emergency reasons or for extended leave, to attend meetings that affect committee business, the PRC can consider the following alternatives:
  - a. They can renegotiate the time frame for submission of the PRC's recommendations to the Dean.
  - b. If a PRC member retires or resigns during their elected term, the vacancy will be filled by the person receiving the next greatest number of votes in the most recent PRC election. If this substitution is for less than one academic year, that individual will be eligible to be elected to a full two-year term the following year.
  - c. An election can be held from the membership of the entire faculty who hold the rank of Associate Professor or Professor. All Libraries faculty will be informed of substitutions.

### **III.C. ADMINISTRATIVE SUPPORT**

The Dean will designate an Administrative Assistant to facilitate the work of the PRC. The Administrative Assistant will be assigned the following duties:

1. Maintains a list of persons eligible for promotion. The list shall include date of anticipated eligibility for promotion.
2. Notifies the PRC of deadlines for the report of recommendations to the Dean.
3. Provides the Chair of the PRC with the University form used for promotion.

### **III.D. PRC ORGANIZATION.**

1. A quorum for a PRC meeting shall be three members. No abstaining votes may be cast by PRC faculty, and members may not vote by proxy.
2. In the case of promotion to the rank of (full) Professor, the Promotion Committee shall consist of at least three Libraries Professors, with the exception of the Dean, as appointed by the Chair of PRC. In the event that a minimum of three full Professors does not exist within the Libraries, the Dean

shall complete the formation of a PC in an unbiased manner, such as by lot, from faculty (non-administrative) members in College departments with interests complementary to the Libraries and the candidate under consideration. When selecting faculty from other Colleges to complete the formation of a PC, the committee shall be considered complete when the minimum of three Professors has been obtained.

### **III.E. CALL FOR CANDIDATES**

1. The Dean initiates the promotion process by issuing a call by June 1.
2. All candidates must submit their written response to the Dean, with a copy to the Chair of the PRC, and the candidate's immediate supervisor.

### **III.F. GENERAL PROCEDURES OF PRC AND ITS SUBCOMMITTEES**

1. The PRC is charged with facilitating the promotion process and convening the appropriate faculty to vote on promotion cases. For promotion to Associate Professor, all Libraries Faculty at the rank of Associate Professor or Professor are eligible to vote. For promotion to Professor, only faculty who hold the rank of full Professor are eligible to vote.
2. PRC calendars for promotion are developed by the Libraries in accordance with deadlines established annually by the Office of the Provost.
3. Evaluation forms are used to solicit feedback when necessary.
  - a. Supervisors and Assistant/Associate Deans will be asked to submit letters that document the candidate's suitability for promotion.
  - b. Evaluations will be requested from a minimum of two other CSU Libraries faculty at the rank of Associate Professor or Professor who are familiar with the candidate's work.
  - c. Testimony of Colorado State University Libraries classified staff will not be solicited.
  - d. If appropriate, testimony may be solicited from individuals outside the Libraries at the University. An explanatory letter will accompany each request for information.
    - i. A minimum of three external reviews (from evaluators outside the University) will be requested for librarianship, service and, if appropriate, research, scholarship and creative activity. The candidate should not contact possible qualified evaluators, but will be invited to submit a list of three names (including contact information) of

possible evaluators.

- ii. The list of possible qualified evaluators should be submitted to the PRC/PC when the candidate submits their written intent to the Dean.
    - iii. When possible, external reviewers should be non-tenure track faculty members or librarians with equivalent faculty status of the aspirational or higher rank.
  - e. External evaluators will be sent a letter and appropriate materials identified by the candidate. Templates for external reviews will be adapted from the guidelines in “Documentation for Tenure and Promotion Application” issued by the Provost’s office.
4. PRC/PC deliberations are confidential and must not be discussed outside PRC/PC membership. All committee correspondence will be sent under confidential cover; candidate's files will be maintained in a secure place and made available to all faculty who are eligible to vote for a given promotion. Subject headers for e-mail should be noted “confidential.”
  5. PRC/PC requests from each candidate their current vita and other pertinent material (dossier) to support their application. PRC/PC shall make the dossier available to eligible voting faculty. Colorado State University Libraries evaluators are expected to review all of a candidate's materials before voting.
  6. The Chair of the PRC forwards recommendations to the Dean of Libraries. Promotion recommendations include a vote summary. If there is a split vote, a statement of reasons representing the majority and minority points of view shall be included. PC recommendations are forwarded to the Chair of the PRC, who forwards them to the Dean. The PRC notifies each candidate of PRC/PC action, together with a narrative evaluation. When forwarding the recommendation for promotion, the PRC will also copy the faculty member on each reviewing administrator's narrative and recommendation. Copies of notifications and recommendations for candidates for promotion are also sent to the supervisor, the appropriate Assistant/Associate Dean, and the Dean.
  7. To allow time for administrative review, the Chair of the PRC submits all recommendations to the Dean of Libraries at least thirty days before the deadline for submission of recommendations to the Provost.
  8. Prior to the Dean’s submission to the Provost, a copy of the PRC’s and Dean’s recommendations will be provided to the candidate, the candidate’s supervisor, and candidate’s Assistant/Associate Dean. The candidate will be given five working days to write a rebuttal, if desired. A rebuttal is optional and limited to no more than three pages.

9. All completed application packets of candidates for tenure and/or promotion shall be forwarded to the Provost after action by the PRC and the Dean.
10. After the Provost has made a decision, the candidate will receive back the dossier, which includes the supervisor's and Assistant/Associate Dean's evaluations.
11. Unsuccessful candidates must wait a minimum of 24 months from the initial date of application to reapply and are required to meet with PRC for a pre-promotion review.

## **IV. PROMOTION PROCESS**

### **IV.A. CANDIDATE'S RESPONSIBILITIES**

Successful promotion applications require letters of support from the candidate's immediate supervisor and/or Assistant/Associate Dean. Potential candidates should confirm their supervisor and/or Assistant/Associate Dean's support for the anticipated promotion timeline prior to initiating any action regarding promotion, including requesting a pre-promotion review.

1. Twelve months before a candidate plans to apply for promotion, they may request a pre-promotion review from the PRC. The PRC will review the candidate's dossier and make suggestions to improve the dossier in preparation for promotion. [optional].
2. Each candidate for promotion will inform the Dean of Libraries and the Chair of the Promotion Review Committee of their intention to apply for promotion after the Dean issues a call for candidates for or promotion by June 1.
3. Each candidate for promotion to Associate Professor or Professor shall submit the following:
  - a. Cover letter stating their intention to apply for promotion
  - b. Position description
  - c. Vitae
  - d. Statement of Professional Achievements (SOPA)  
*Note: Limit SOPA to six (6) pages, Times New Roman 11 pt., single-spaced. Brevity and conciseness are greatly encouraged.*  
The candidate should relate their accomplishments to the criteria listed in the appropriate library rank description. The SOPA is not a self-evaluation; however, it provides an opportunity for the candidate to discuss what inspires their work. The statement should address the individual's work in each area of their effort distribution, and candidates are encouraged to focus on

accomplishments that clearly demonstrate the impact and value of their work, rather than just present a list of activities. Candidates may include unsuccessful efforts at innovation and experimentation; professional growth may be demonstrated through insights gained and lessons learned.

- e. Candidates for full Professor must provide a document with the names of the members of each project/initiative described in the SOPA. For each project, 2-3 committee members who could speak to the candidate's contributions should be identified. If a candidate has worked on a self-directed project, the names of individuals familiar with the project/initiative's outcomes and impacts should be listed.
- f. A dossier that includes a portfolio of supporting documentation to demonstrate fulfillment of the promotion guidelines outlined in Appendix C Section II. The documentation will include examples of Librarianship, Service, and, if applicable, Research & Creative Activity as outlined in the *Criteria* (Appendix A).
- g. Summary of Activities Reports (SARs) or equivalent output from Digital Measures for the past 5 years. Faculty who received prior service credit may have fewer CSU SARs to submit.

#### **IV.B. SUPERVISOR'S RESPONSIBILITIES**

- 1. Supervisors are responsible for mentoring their faculty for promotion and professional development.
- 2. At a minimum, the supervisor is expected to discuss promotion and professional development with the faculty member during each annual evaluation. Library Human Resources will remind supervisors of this during the annual performance review process.
- 3. Supervisors should refer to the Promotion and Tenure Faculty Calendar.
- 4. Supervisors will be asked to submit a letter that documents the candidate's suitability for promotion. Letters should address the candidate's fulfillment of the Criteria for promotion and address the candidate's job performance, giving evidence of the candidate's excellent performance from recent performance evaluations. Letters supporting early promotion should specifically justify why the candidate is qualified for early consideration.
- 5. Supervisors should suggest 3-5 CSU Libraries Faculty who are familiar with the candidate's work and might serve as internal reviewers.

#### **IV.C. ASSISTANT/ASSOCIATE DEAN'S RESPONSIBILITIES**

1. The Assistant/Associate Dean will be asked to submit a letter that documents the candidate's suitability for promotion. Letters should address the candidate's fulfillment of the Criteria for promotion and address the candidate's job performance, giving evidence of the candidate's excellent performance from recent performance evaluations. Letters supporting early promotion should specifically justify why the candidate is qualified for early consideration.

#### **IV.D. CHAIR OF THE PRC RESPONSIBILITIES**

1. Calls and presides over the PRC Associate Professor/Professor Faculty meetings.
2. Appoints members of the full Professor Promotion Committee as needed.
3. Conveys the Associate Professor/Professor Faculty recommendations.
4. Communicates with the Dean of Libraries on behalf of the PRC. Acts as a spokesperson for the PRC and Associate Professor/Professor Committee.
5. Calls meetings of the Associate Professor/Professor Faculty when relevant issues arise that should be brought to the attention of that body. These meetings require a quorum of 50% of the Associate Professor/Professor Faculty on active appointment. A simple majority vote shall be sufficient to conduct business.
6. Convenes an annual meeting of the elected PRC with the NTTF to review the procedures and the "*Criteria*" and answer any questions which arise.
7. Maintains a folder of sample documents relevant to the NTTF Promotion process.
8. Ensures that minutes are kept of PRC meetings to reflect items of business other than deliberations and recommendations about individuals.
9. Conducts elections for new PRC members and calls the first meeting to elect the new PRC Chair by July 30.

#### **V. PROCEDURES FOR ASSIGNING MENTORS**

1. Each NTTF member should have at least one identified mentor for no less than the first three years of their appointment at CSU. The role of the mentor(s) is to support the NTTF member in the successful performance of librarianship duties and to help the NTT librarian achieve professional goals. It is recognized that individuals may wish to identify their mentor(s); however, to initiate the mentoring process, supervisors will assign a mentor to the NTTF member at the time the person arrives on campus. After a period of 6-12 months, if desired, the NTTF member may identify an individual who may be better suited to their mentoring needs. The NTTF member will be responsible for obtaining

agreement from the potential mentor and notifying both supervisors and the former mentor of the change.

2. Any faculty member who has worked at the CSU Libraries for more than three years in a faculty position may serve as an NTTF mentor during the first three years of the NTTF member's appointment. If after three years a formal mentor is still desired, the NTTF member may work with their supervisor to select another appropriate mentor from the CSU Libraries faculty or administrative professional staff.
3. If conflicts of interest or other concerns arise in the mentoring relationship, mentors or mentees may confidentially request a new mentor/mentee assignment in consultation with their supervisor.
4. Mentors and mentees will not be in the same chain of supervision as one another.
5. Care will be taken to ensure that mentoring responsibilities are equitably distributed among eligible faculty.

## **APPENDIX D**

### **EVALUATION OF THE DEAN OF COLORADO STATE UNIVERSITY LIBRARIES**

**Approved by LFC 03/07/2018**

#### **Purpose:**

The evaluation allows faculty members to provide regular, ongoing, and constructive input into the Dean's management of and planning for the Libraries.

#### **Goals of the evaluation process:**

1. To document the achievements and progress of the Libraries' Dean.
2. To provide helpful feedback to the Provost regarding the Dean's performance vis-à-vis faculty expectations.
3. To serve as the basis for a dialogue between administration and faculty.

#### **Procedures for the Dean's evaluation**

##### **Eligible Participants**

All faculty of the CSU Libraries.

##### **Detailed Procedures**

- The instrument for the Dean's evaluation will be based on the Dean's current position description, with input from all faculty and the Dean. It will be reviewed every two years in November or as needed by the Committee on Responsibilities and Standing of Libraries Faculty.
- A "Roles and Responsibilities" document will be requested from the Dean each January to address the broad range of leadership roles and responsibilities from the previous year and add context to any issues. The creation of this document is optional for the Dean.
- The "Roles and Responsibilities" document (if available) and the Dean's Evaluation Instrument will be distributed to all eligible participants by the Libraries Faculty Council Executive Board at the beginning of February.
- The faculty will have two weeks to complete and return the evaluation to the LFC Executive Board.
- During the last two weeks of February, the LFC Executive Board will:
  - collect the evaluations
  - tally the ratings
  - organize the evaluations into signed and unsigned
  - deliver evaluations to the Provost by the Provost's deadline, generally March 1.
- It is at the Provost's discretion whether information will be shared directly or indirectly with the Dean.