

K-State Libraries

Department

K-State Libraries

College

**Policy Statement Concerning:**

**Personnel Review and Evaluation Standards/Procedures**

- Performance Evaluation Criteria
- Annual Evaluation
- Reappointment Evaluation for:
  - Annual Reappointment Reviews
  - Mid-Tenure Review
- Tenure
- Promotion
- Professorial Performance Award
- Chronic Low Achievement
- Post-Tenure Review
- Non-Tenure Track Faculty Titles

Approved by Faculty Vote on (July 7, 2022 )

**NEXT REVIEW DATE:**

Department Head's Signature

Date

  
Dean's Signature

03-09-2023  
Date

  
Provost's Signature

3/26/2023  
Date

# Kansas State University Libraries Reappointment, Tenure, and Promotion Criteria and Procedures

\*Revision History found in Appendix J

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## Part I. Criteria and Procedures for Reappointment, Tenure, and Promotion to Associate Professor

For purposes of reappointment, tenure, and promotion, the Kansas State University (K-State) Libraries function as a single department rather than as a college. These procedures, therefore, are based on K-State's *University Handbook (UH)* Section C.<sup>1</sup> As *UH* procedures are revised, updates in the *UH* take precedence over procedures in this document. This document applies only to tenure-track faculty. Additionally, the *UH* Section C (see also B31) uses "department head/chair" in ways that have been applied herein at different points to supervisors, department heads, and the dean.

To achieve reappointment, tenure, or promotion at K-State Libraries, faculty members must demonstrate both excellence and commitment: excellence as demonstrated in their daily work as well as commitment to the library profession and to the goals of the Libraries and K-State. In this document, the terms library profession and librarianship are defined broadly as any of the professions that may be employed in tenure-track positions in the Libraries, including but not limited to archives and information technology. Excellence in Directed Service is essential but insufficient. While the candidate may emphasize one or the other, excellence must also be demonstrated in Non-Directed Service and in Research, Scholarly, and Creative Activities and Discovery (RSCAD). In addition to librarianship, RSCAD in other academic areas are recognized as tools of outreach and fulfillment of the university mission of interdisciplinary scholarship.

No single definition or standard of excellence suitably addresses all aspects of librarianship. The criteria outlined in this document are intended to provide flexibility so each candidate can achieve reappointment, tenure, and promotion through pursuit of activities that reflect their unique skills and talents. This document contains examples throughout of activities that would meet each of the criteria listed below. These lists are intended for illustrative purposes only and are not meant to be prescriptive.

Flexibility in tenure-track careers is essential for helping faculty achieve excellence. It is therefore occasionally necessary for faculty members to have significant changes in their job descriptions to build upon their strengths and to advance the mission of the Libraries. Given the flexibility of the criteria in this document, such changes should not impede a candidate's potential for reappointment, tenure, and promotion.

Some faculty members may have administrative responsibilities prior to earning tenure. Many administrative duties would be included under Directed Service. When an

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<sup>1</sup> The relevant headings and portions of Section C include Reappointment (C50.1–C56), Tenure and related headings (C70–C84), General Guidelines for Tenure (C90–C93), Standard for Tenure (C100–C102), Procedures for Tenure Evaluation (C110–C116.2), and Promotion in Rank and related headings (C120–C156.2).

administrators' duties involve Non-directed Service or RSCAD (e.g., serving on university committees, innovations, grants, professional papers and presentations, partnering on project, etc.), they should be recognized in the other categories, as determined by the candidate's supervisor.

Libraries' faculty are encouraged to actively participate in collaborative efforts, both internally and externally. To attain reappointment/tenure/promotion, it is essential that faculty members demonstrate the ability to work cooperatively and collaboratively with other Libraries personnel and, as appropriate, university personnel and community members to further the goals of the Libraries and K-State.

For the reappointment/tenure/promotion process to work fairly and effectively, candidates must present themselves well, using the guidelines set forth in this document. Also, the Committee on Academic Tenure (CAT) and Committee on Academic Promotion to Associate Professor (CAPAP) (as defined in the *Bylaws of the Kansas State University Libraries Faculty and Professional Staff*) must evaluate each candidate objectively against these criteria and with Libraries' goals in mind. Strong candidates and knowledgeable, impartial members of the committees will ensure that the quality of Libraries' faculty is always maintained at a high level.

Finally, it is recognized that scholarship and activities of value to the library community are evolving. As new avenues of scholarship and service emerge, it is critical that Libraries' faculty develop, through regular discussion and consensus, a means of assessing the value of those contributions. These discussions should occur annually, at a K-State Libraries Faculty and Professional Staff (LFPS) meeting.

Tenure or rank above Assistant Professor may, on occasion, be granted at the time of appointment. For procedures related to this process, refer to Appendix I.

#### A. Criteria for Reappointment, Tenure, and Promotion to Associate Professor

For probationary Assistant Professors, tenure and promotion to Associate Professor are generally granted concurrently. Therefore, Libraries' criteria for promotion to Associate Professor are the same as the criteria for tenure/reappointment.

An Associate Professor or faculty member with tenure should have a solid academic reputation based on sustained performance and show promise of further development and productivity in their academic career. Candidates for tenure and/or promotion to Associate Professor must have mastered the skills and techniques of librarianship, demonstrated a high level of professional performance, and made meaningful professional contributions. The candidate must offer evidence that they have kept abreast

of developments in the field, have retained interest in good basic service and operations, and have a high likelihood of sustained contributions to the profession and to K-State.

For persons appointed at the rank of Assistant Professor, the maximum probationary period for gaining tenure and promotion to Associate Professor consists of six (6) regular annual appointments at K-State at a probationary rank (*UH C82.2*). For persons appointed at the rank of Associate Professor without tenure, the maximum probationary period for gaining tenure consists of five (5) regular annual appointments at K-State at a probationary rank (*UH C82.3*).

Recommendations for tenure and/or promotion are considered annually. A mid-probationary review is conducted during the faculty member's third year (*UH C92.1–4*). Faculty members in the final year of probation will be automatically reviewed for tenure unless they resign.

For purposes of the master calendar review schedule, faculty members who are appointed at the rank of Associate Professor begin with the year 2 schedule, with their mid-probationary review at the end of their second year.

Tenure and/or promotion to Associate Professor may be granted earlier when the faculty member's cumulative performance clearly meets the standards for promotion in this document (*UH C131*). Early tenure and early promotion are usually applied for at the same time. A faculty member may request, by June 1 of the calendar year in which they intend to go up early, an early tenure/promotion review. Ordinarily, this is done after consultation with the dean and the tenured faculty members (*UH C110*).

#### 1. Directed Service

The practice of librarianship is diverse, taking place in a variety of settings and requiring various skills and talents. In keeping with the multifaceted nature of the discipline, Libraries faculty members engage in a broad spectrum of activities. As specialists providing access to information, Libraries faculty are involved in activities such as the development of resources, collections, and information systems, bibliographic control and organization, instruction, reference, administration and planning, and outreach services.

Excellence in one's job-related responsibilities includes, but is not limited to, the following:

- a. High level of performance, working independently, collaboratively, innovatively, and with initiative. Increasing knowledge of one's assigned responsibilities and demonstrated skill in performing those

responsibilities. This includes judgment and decision-making abilities, quality of completed work assignments, and the ability to set and accomplish appropriate short- and long-term performance goals.

- b. Progressive knowledge of the profession, including trends, issues, new ideas, and technological changes in librarianship. This includes a demonstrated effectiveness in applying one's expertise relevant to librarianship, developing timely access to research-level information resources, and offering user-centered library services to support research and teaching in order to meet the needs of the user community.
- c. Commitment to the Libraries' mission as a collaborative partner with members of the Libraries, K-State, and external communities in meeting the information, curricular, and research needs of K-State students, faculty, and staff, as well as the public as required by the land-grant mission.
- d. Understanding of the organization, policies, procedures, and services of K-State Libraries, and a demonstrated ability to serve the user community through interpretation of these policies and procedures.

## 2. Non-Directed Service

A strong service profile at the local, regional, and/or national levels is highly valued among K-State Libraries faculty. Candidates must demonstrate Non-directed Service beyond their assigned area of responsibility (Directed Service). Teaching and/or development of courses or workshops conducted for audiences external to the Libraries may be considered here or as part of RSCAD, based on the decision of the candidate and their supervisor. External activities such as these should be managed so as not to create conflicts of interest and/or time commitment as defined in University Handbook Appendix S. Teaching K-State courses unrelated to librarianship may be considered as long as they fall outside the candidate's directed service. The quality and impact of these efforts will determine their consideration for tenure and promotion.

*UH* Section C6, defines three categories of Non-directed Service: profession-based service, institution-based service, and public-based professional service. The Libraries allow latitude within this category so that candidates may choose the area(s) that best suits their interests and abilities. Any one of the avenues of non-directed service described below is a sufficient criterion for tenure and/or promotion to Associate Professor when pursued to a high level of achievement.



- a. Profession-based service. This type of activity provides leadership and service to the library profession. Profession-based service may include, but is not limited to, the following:
  - i. Active involvement in state, regional, national, and/or international professional associations. Activities at the local level may also be considered. Such participation might include holding office, serving on committees and panels, organizing events at professional meetings.
  - ii. Performing editorial functions for professional publications.
  - iii. Activities garnering professional recognition as evidenced by awards, honors, consultantships, grants, fellowships, etc.
  
- b. Institution-based service. This area of service embraces a broad range of activities involved in establishing and implementing policies at every level of the Libraries and K-State. Institution-based service may include, but is not limited to, active participation in the following:
  - i. University committees.
  - ii. Faculty governance bodies.
  - iii. University-sponsored events.
  - iv. Libraries committees.
  
- c. Public-based professional service. Professional training as an information specialist provides a broad knowledge base. Public-based professional service is not limited to the candidate's area of Directed Service, but must be related to the profession of librarianship. Only civic and personal service that employs professional practice is applicable. Other types of civic activities are viewed as a person's participation as a citizen and indicate personal skills and individual choice in use of private time. Public-based professional service may include, but is not limited to, developing programs and providing training or consultation to a non-academic audience.

### 3. Research, Scholarly and Creative Activities, and Discovery (RSCAD)

In *UH Section C3*, faculty responsibilities for RSCAD include “[e]fforts to make original intellectual or artistic contributions through scholarship; for example, original research, creative artistry, interdisciplinary scholarly work, guiding graduate students’ research, or the use of specialized knowledge to address significant social or professional problems.” Scholarly activity can be demonstrated in several different ways. The scholarship of discovery pursues new knowledge. Scholarship of integration synthesizes and interprets knowledge to provide perspective. Scholarship of application solves problems for a larger

community using knowledge from one's particular field of expertise. Scholarship of teaching and learning contributes to knowledge about how people learn.<sup>2</sup> Any one of these avenues of scholarship is sufficient for promotion when pursued to a high level of achievement. High achievement is characterized by qualities such as impact, renown, creativity, contribution to the body of knowledge, and uniqueness.

Excellence in RSCAD must be demonstrated by the candidate. The Committees on Tenure and Promotion to Associate Professor will look at evidence such as, but not limited to, the following activities. Other activities and achievements that demonstrate excellence are encouraged.

- a. Research as evidenced by publications. Publications will be evaluated in light of purpose, audience, and potential contribution to the goals of K-State Libraries. In general, works that undergo considerable scrutiny before publication (for example by referees, editorial boards, anthology, editors, etc.) will be deemed of highest value.
- b. Presentations at professional meetings, such as papers, workshops, and poster sessions; organizing or chairing committees that produce a research product. In general, presentations/poster sessions that are competitively selected and/or have a demonstrable impact will be deemed of highest value.
- c. Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement. Funded grants and those written to national granting agencies are given greater weight. Awards, internships, and other honors will be evaluated based on their significance.
- d. Creation and/or development of tools that aid the institution or profession, such as focused blogs and websites. The quality and impact of these efforts will determine their consideration for reappointment, tenure, and promotion.
- e. Creative or artistic productions. The quality and scholarly impact of these efforts will determine their consideration for reappointment, tenure, and promotion.

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<sup>2</sup> Ream, Todd C., et al. *Scholarship Reconsidered: Priorities of the Professoriate*, John Wiley & Sons, Incorporated, 2015. *ProQuest Ebook Central*, <https://ebookcentral.proquest.com/lib/ksu/detail.action?docID=4187268>.

- f. Creation and/or development of courses or workshops conducted for audiences external to the Libraries. Teaching K-State courses unrelated to librarianship may be considered as long as they fall outside the candidate's directed service.

#### 4. Flexibility for Some Activities

Some activities (e.g., grants, teaching courses, consulting) could fit in more than one category. In these situations, candidates should seek guidance from their supervisor to determine where to acknowledge this work.

### B. Procedures for Reviewing Annual Reappointment, Mid-Probation, Tenure, and Promotion to Associate Professor

1. Following each new tenure-track appointment, the Director of Human Resources and Diversity or their designee updates the Annual Status Review Worksheet (See K-State Libraries' Intranet under Information & Forms/Human Resources/Annual Status Review Worksheet). During December, one year prior to a mid-probationary and/or final tenure decision, the Director of Human Resources and Diversity or their designee notifies each library faculty member of the date of their candidacy.
2. By the middle of August, the Chair of the K-State Libraries Faculty and Professional Staff (LFPS), in collaboration with the Director of Human Resources and Diversity or their designee, establishes dates and distributes the Libraries' Unclassified Master Calendar for the CAT and CAPAP deliberations, following university deadlines. Deliberations are always conducted after the annual merit evaluations have been completed.
3. By August 15, candidates for tenure and/or promotion to Associate Professor must submit a list of at least three names and contact information for letters of support from people external to the Libraries to the Director of Human Resources and Diversity. Candidates should solicit letters that are representative of their contributions to the institution and/or profession. Letters of support are not required for mid-probationary candidates.
4. The members of the K-State LFPS Committee on Professional Development organize and schedule a workshop held in early September to assist all probationary faculty in the preparation of tenure deliberation materials. The Dean of Libraries participates in the workshop.

5. The Tenure and Promotion Committee(s) will meet annually to review tenure and promotion documents and standards to help ensure consistency in interpreting the documents in advance of the tenure workshop.
6. Given the substantial overlap between CAT and CAPAP, both committees will meet together as the deliberation committee for discussion of candidates. Only members of the CAT vote for tenure, and only members of the CAPAP vote for promotion.
7. Untenured supervisors of candidates will appear and participate in discussions of those candidates but do not have voting privileges. Faculty with a family relationship to a candidate will not participate in any discussion or vote related to that candidate (see *UH* Appendix S, specifically about conflict of interest, and PPM Chapter 4095). It is essential that all tenured faculty participate fully in reviewing the tenure portfolios and voting.
8. The Chair and Secretary of the deliberation committee will be elected from the group of faculty who are members of both the CAT and the CAPAP (see [election procedures](#)). The Chair and Secretary serve for annual reappointment review, mid-probationary review, tenure review with promotion, and tenure review without promotion. In June of the following year, the Chair polls the Committee regarding internal/external reviewers for next year's reviews.
9. Additional reviewers: In June the current Chair of the deliberation committee will ask the deliberation committee if they desire any internal and/or external reviewers. Members of the CAPAP who are not members of the CAT do not vote unless the candidate is up for promotion.
  - a. Internal reviewers: When deemed appropriate by a simple majority of the committee members, comments are solicited from students and from other faculty members, university support staff, professional staff, and department chairs/heads in the college [i.e., Libraries] or university. (UH C112.2). An appearance before the committee is preferred, but if that cannot happen an internal reviewer can submit comments in response to questions submitted by the committee.
  - b. External reviewers: When deemed appropriate by a simple majority of the committee members, comments from external reviewers may be solicited for final tenure review. **When a candidate requests early tenure/promotion, external reviewers are required.** As defined in *UH* C36.1, external reviewers are "Persons outside the university who are recognized for excellence in the candidate's discipline or profession." When outside

reviewers are used, an equal number (typically three each) is usually selected by the candidate and the supervisor (*UH C112.2*).

- i. Names of potential external reviewers should be given to the Director of Human Resources and Diversity no later than July 15.
- ii. External reviewers cannot be the same people who have been asked to write letters of support.
- iii. On behalf of the Dean, the Director of Human Resources and Diversity will query potential external reviewers regarding their willingness to provide comments on the candidate's qualifications for promotion, noting that the candidate's information will be forwarded to them by August 20.
- iv. **When external reviews are required, the candidate must submit electronic versions of their position description(s) for the time frame being evaluated, summary sheets (statement of accomplishments, directed service, nondirected service, and RSCAD), vita, and selected publications or other RSCAD evidence to the Director of Human Resources and Diversity by August 15.**
- v. The Director of Human Resources and Diversity will send the reviewers electronic versions of the K-State Libraries' criteria for Tenure and Promotion to Associate Professor (Part I, Section A of this document) plus the documents listed above.
- vi. External reviewers will be asked to describe their relationship with the candidate and assess whether the candidate adequately meets the K-State Libraries' criteria.
- vii. External reviewers will be asked to submit their assessment of the candidate by October 1.

10. Candidate's portfolio: It is the responsibility of the candidate to complete the portfolio. Assistance may be sought from the supervisor, mentor, and others, if desired. The statement of accomplishments and summary documents should be cumulative, including substantial professional accomplishment prior to employment at Kansas State University. All required documents may be found in StaffNet at:

<https://staffnet.lib.k-state.edu/display/FP/Documents+Needed+For+Portfolio>

The portfolio should contain, in this order:

- a. Recommendation for Tenure and Promotion (transmittal sheet)
- b. Annual Status Review Worksheet
- c. Statement of Candidate Accomplishments
- d. Statement of Five-Year Goals
- e. Summary of Candidate's Directed Service

- f. Summary of Candidate's Non-directed Service
- g. Evidence of RSCAD
- h. Position descriptions and evaluations for all years of employment at K-State Libraries
- i. Supervisor's previous reappointment recommendation letter(s)
- j. Vita
- k. Other brief supporting documentation the candidate would like to include

For promotion and tenure, the Director of Human Resources and Diversity will make the letters of support and assessment(s) by external reviewer(s), if applicable, accessible for review by members of the deliberation committee.

11. Portfolios are available to the deliberation committee fourteen (14) calendar days prior to the beginning of deliberations. Each member of the committee must be familiar with all materials prior to the beginning of deliberations and must be prepared to discuss each candidate.
12. The Chair of the deliberation committee schedules the deliberation meeting with the committee members and probationary supervisor(s).
  - a. Associate Deans, Assistant Deans, Department Heads/Directors, and supervisors with tenure may participate as regular members of the tenured faculty. The Dean does not attend unless acting in the role of supervisor of one or more candidates to be evaluated.
  - b. Supervisors (including probationary supervisors, and the Dean only when acting as a supervisor of one or more candidates) offer testimony regarding their candidate(s). Probationary supervisors and the Dean remain for the discussion of their candidate(s).
  - c. If a candidate is being reviewed only for reappointment/tenure and not promotion, committee members who are not members of the CAT will be excused from the presentation/deliberations for that candidate. If a candidate is being reviewed only for promotion and not reappointment/tenure, committee members who are not members of the CAPAP will be excused from the presentation/deliberations for that candidate.
13. The deliberation committee must be prepared to devote sufficient time to the deliberations so all candidates can be discussed thoroughly. Attendance at the deliberation meeting is mandatory for all committee members. Absences must be approved by the Dean. The Dean will notify the Chair of the deliberation committee of approved absences.
14. Deliberation meeting

- a. It is the responsibility of the Chair and Secretary of the deliberation committee to assure that all applicable procedures have been followed and that the committee fairly applies established criteria, standards, and guidelines for tenure. The Secretary's minutes will include the names of those present and record the procedures followed. The Secretary's minutes do not record the deliberations.
- b. The Chair determines the order of candidates to be discussed. All testimony and evidence is based on direct observation and/or written documents. Hearsay evidence is not accepted. It is the duty of the Chair to disallow hearsay evidence. Each candidate is judged on (1) criteria given in Part I, Section A of this document, (2) the contents of the candidate's portfolio, and (3) testimony given before the deliberation committee during its discussion.
- c. All proceedings are confidential. They are not revealed to the candidate(s) or to anyone not a member of the deliberation committee except department heads and supervisors of candidates.
- d. Order of business for each candidate
  - i. The candidate will appear before the Committee to make a brief statement (no more than five minutes) of accomplishments and answer questions related to the portfolio. Candidates at mid-probationary review and tenure review may use up to ten minutes for their statement. After answering questions from the committee, the candidate leaves the meeting. Candidates with extenuating circumstances can be excused from appearing.
  - ii. The supervisor testifies about the candidate's qualifications for reappointment/tenure/promotion and participates in the discussion. After the supervisor's testimony, the committee may ask the supervisor questions about the candidate.
  - iii. The committee discusses the candidate's progress towards tenure/suitability for reappointment or suitability for tenure and/or promotion. The supervisor may take notes, but no formal minutes are taken.

15. Within three (3) working days after the deliberations, the Secretary of the deliberation committee will prepare minutes of the meeting and send them to the Chair and the Director of Human Resources and Diversity or their designee to be filed in the Administrative Office.

#### 16. Voting

- a. Any individual who is not able to conduct a thorough review of the portfolios during their two-week availability (e.g., due to sabbatical, FMLA leave, etc.) will be excluded from voting.

- b. Within two (2) working days after the meeting, each eligible faculty member submits an online ballot for each candidate. Each ballot must include an indication of whether the faculty member finds the candidate acceptable, acceptable with reservations [reappointment only], not acceptable, or abstains. Acceptable/acceptable with reservations/not acceptable votes must be accompanied by supporting comments. “Acceptable with reservations” is only to be used when significant improvements are needed, to the extent that the candidate is in danger of a no vote in the next voting cycle without substantial improvement (i.e. comparable to a “D” on a grading scale). Thus, the voter must specify the reasons for their reservations. Abstentions are allowed only for extenuating circumstances (e.g., extended leave resulting in inability to review portfolio). Abstentions are required as outlined in *UH Appendix S*, specifically about conflict of interest, and PPM 4095. Justifications must accompany the abstention when voting.
- c. Within three (3) working days of the deadline, the Chair and Secretary of the deliberation committee and the Human Resources designee will check to see if each faculty member who was eligible to vote completed their ballot. The Human Resources designee retrieves the total votes for each candidate on the electronic Summary of Votes and ensures that each vote/abstention and all the comments for the candidate are present on the Summary of Votes but that no voting faculty member’s name is attached to their votes or comments – unless a voting faculty member explicitly states in the comments that they can be contacted about their comments. The Chair and Secretary of the deliberation committee must be present when the total votes for each candidate are recorded.
- d. The Chair of the deliberation committee reviews the abstentions on the ballots and the list of voting members. The Chair notifies the appropriate supervisor, department head/chair and the Dean of abstentions and faculty members who failed to vote.
- e. Upon verification, the Human Resources designee immediately sends the unedited comments and vote summary for each candidate to the appropriate supervisor.
- f. In the event of illness or other absence of the Chair or Secretary the Director of Human Resources and Diversity or their designee shall serve in that capacity to ensure the master calendar deadlines are met.
- g. The unedited comments for each candidate are filed in their individual reappointment/tenure/promotion file in the Administrative Office. The unedited comments are not shared with the candidate but may be available to courts and/or grievance boards as required by law or university procedures.



17. Within five (5) working days of receiving the unedited comments and vote summary, the supervisor reviews them and makes their own recommendation on reappointment, tenure, and/or promotion to the Dean. The supervisor prepares a brief letter to the Dean with their recommendation (see Appendix F) and forwards the following documents to the Dean for each candidate:
  - a. Their recommendation letter.
  - b. Vote summary sheet with unedited faculty comments.
18. The supervisor prepares a more detailed letter to the candidate (see Appendix G) including the results of the vote, the supervisor's recommendation with their supporting comments, and substantive comments supporting the faculty recommendation. In instances of tenure with promotion, the tenure and promotion information may be conveyed in a single letter. The following statement should appear at the bottom of the letter: "I have met with [supervisor's name and title] and discussed the contents of this letter. My signature does not imply agreement with the contents of this letter." Meetings with candidate(s) to review their reappointment/tenure/promotion letters will be completed within four weeks following completion of the committee deliberations. Review letters are distributed to candidate(s) at least one day prior to the meetings. For tenure, a copy of the supervisor's written recommendation to the Dean is also forwarded to the candidate with the letter.
19. After the letter is sent to the candidate, the supervisor notifies the deliberation committee members of the results of the vote via email.
20. The supervisor meets with the candidate and the candidate signs the letter acknowledging the discussion of its contents. After the meeting and signing of the letter, the signed letter is filed in the candidate's individual reappointment/tenure/promotion file in the Administrative Office and a copy is sent to the candidate for their portfolio.
21. The Dean makes an independent recommendation and notifies the candidate and supervisor of their decision.
22. For tenure and promotion to Associate Professor, the Dean forwards their recommendation and other specified documentation to the Deans Council as outlined in *UH C113.3* with further procedures explained in *UH C113–C115*.
23. At the end of the process, the documents are retained as follows
  - a. In the faculty member's individual reappointment/tenure/promotion file in the Administrative Office:
    - i. Copy of Dean's recommendation letter.

- ii. Copy of supervisor's recommendation letters to the Dean and the candidate.
  - iii. Ballots for the individual.
  - iv. Vote summary sheet with unedited comments for the individual.
  - v. Letters of support and external review letters
- b. In the general Reappointment/Tenure/Promotion file in the Administrative Office.
  - i. Minutes of the deliberation meeting.
  - ii. List of qualified voters from the Secretary.

## Part II. Criteria and Procedures for Promotion to Professor

### A. Criteria for Promotion to Professor

Promotion to the rank of professor is a critical step in the development of the Libraries. Faculty in this senior rank serve as leaders in the organization and assist the Dean to determine the direction of the Libraries.

Promotion to professor is based on attainment of excellence in the assigned responsibilities of the faculty member and recognition of excellence by all appropriate constituencies (*UH C120.2*), as defined below. It is not an entitlement based on time in rank, but rather a privilege based on achievements and recognition sustained at the highest level. Excellence in directed service is required but not sufficient to attain the rank of professor.

To qualify for promotion to professor, a faculty member must demonstrate national and/or international recognition of contributions to scholarship and professional service. Quality of the contributions will be weighed more heavily than quantity.

Performance at the professor level must be well balanced: Directed Service, Non-directed Service, and Research, Scholarly, and Creative Activities and Discovery (RSCAD) achievements all taken to and sustained at a high level of excellence. RSCAD and professional contributions in librarianship, archival studies, or other academic areas will be evaluated for quality and professional significance as evidenced through recognition of the candidate's expertise and stature at the national or international level.

Faculty seeking to attain the rank of professor must demonstrate continuing significant contributions to the Libraries, K-State, and the broader profession. Professors are expected to share their knowledge and expertise through active engagement with these communities.

As a guide, these and similar questions can be used to assess a candidate's level of achievement for promotion to professor:

- What is their stature in the library profession?
- What is the impact of their scholarship and professional service?
- What is the rigor and originality of the work?
- What is the level of contribution to the Libraries and K-State?
- Has the candidate maintained excellence across changing times and circumstances?
- Have they demonstrated an ability to recognize, assess, and adapt positive trends in the external environment to the Libraries?

Faculty are encouraged to strive for attainment of the level of excellence required of professors and are encouraged to pursue promotion. At the level of professor, the committee members are encouraged to offer mentoring to their colleagues related to pursuing the rank of professor.

It is possible to apply multiple times if promotion is not granted initially. The Committee on Academic Promotion to Professor (CAPP) is available to provide guidance to unsuccessful candidates, indicating areas for improvement to achieve the goal. An unsuccessful attempt at promotion to professor does not affect the applicant's employment status or evaluation.

## B. Procedures for Promotion to Professor

1. According to the *Bylaws of the Kansas State University Libraries Faculty and Professional Staff*, the CAPP is composed of all faculty within the K-State Libraries with academic rank of professor, excluding the Dean.
2. Additional reviewers

For promotion to the rank of professor, external reviewers will be required. The CAPP may also request internal reviewers for any candidate.

  - a. Internal reviewers

When deemed appropriate by a simple majority of the committee members, comments are solicited from students and from other faculty members, classified staff, and department chairs/heads in the college [i.e., Libraries] or university (*UH C152.2*).

    - i. In early June, the Chair of the committee will ask the members if they desire any internal reviewers.
    - ii. By August 15, the Chair will contact internal reviewer(s) (if needed per committee decision), to request their input during the committee's deliberations.
  - b. External reviewers

Review by external professionals is required for promotion to the rank of professor. As defined in *UH C36.1*, external reviewers are "Persons outside the university who are recognized for excellence in the candidate's discipline or profession." An equal number are usually selected by the candidate and the supervisor (*UH C112.2*). The following guidelines will apply to external reviewers:

    - i. Names of potential external reviewers should be given to the Director of Human Resources and Diversity no later than July 15.
    - ii. External reviewers cannot be the same people who have been asked to write letters of support.

- iii. On behalf of the Dean, the Director of Human Resources and Diversity will query potential external reviewers regarding their willingness to provide comments on the candidate's qualifications for promotion, noting that the candidate's information will be forwarded to them by August 20.
  - iv. External reviewers will be asked to describe their relationship with the candidate and assess whether the candidate adequately meets the K-State Libraries' criteria.
  - v. External reviewers will be asked to submit their assessment of the candidate by October 1.
  
- 3. By July 31 (or date as determined on Master Calendar), the CAPP elects a Chair and a Secretary for the coming year. Faculty promoted to professor the previous academic year are not eligible to serve as Chair or Secretary.
  - a. The Chair of the committee will conduct the deliberations.
  - b. The Secretary takes minutes of the procedures conducted during the deliberations.
  
- 4. By the middle of August, the Chair of the Libraries Faculty and Professional Staff, in collaboration with the Director of Human Resources and Diversity, establishes dates and distributes the Libraries' Unclassified Master Calendar for the tenure and promotion deliberations, following university deadlines. Deliberations are always conducted after the annual merit evaluations have been completed.
  
- 5. Candidate's portfolio
 

It is the responsibility of the candidate to complete the portfolio. Assistance may be sought from the supervisor, mentor, and others, if desired. The statement of accomplishments and summary documents should be cumulative, including substantial professional accomplishment prior to employment at Kansas State University. The evidence accompanying the summary sheets should focus on the previous six years plus substantial accomplishments from previous years. All required documents may be found in StaffNet at <https://staffnet.lib.k-state.edu/display/FP/Documents+Needed+For+Portfolio>

The portfolio should contain, in this order:

  - a. Recommendation for Tenure and Promotion (transmittal sheet).
  - b. Annual Status Review Worksheet.
  - c. Statement of Candidate Accomplishments.
  - d. Statement of Five-Year Goals.
  - e. Summary of Candidate's Directed Service.
  - f. Summary of Candidate's Non-directed Service.
  - g. Evidence of RSCAD.

- h. Position descriptions and evaluations since the last promotion at K-State Libraries or the last six years, whichever is less.
- i. Vita.
- j. Other brief supporting documentation the candidate would like to include.

The Director of Human Resources and Diversity will insert the letters of support and assessments by external reviewers into the portfolio for review by members of the CAPP.

6. By August 15:
  - a. Candidates for promotion submit a list of three names and contact information for letters of support from people external to the Libraries to the Director of Human Resources and Diversity or their designee.
  - b. Candidates submit electronic versions of their position description(s) for the time frame being evaluated, summary sheets (statement of accomplishments, directed service, nondirected service, and RSCAD), vita, and selected publications or other RSCAD evidence to the Director of Human Resources and Diversity or their designee.
  - c. The Director of Human Resources and Diversity or their designee will send the external reviewers electronic versions of the K-State Libraries' criteria for Tenure and Promotion to Professor (Part I, Section A and Part II, Section A of this document) plus the documents listed above.
  - d. Chair will contact internal reviewer(s) (if needed per decision from June discussions of the committee), to request their input during the committee's deliberations.
7. Portfolios for promotion candidates are available to the committee members fourteen (14) calendar days prior to the beginning of deliberations. Each member of the committee must be familiar with all materials prior to the beginning of deliberations and must be prepared to discuss each candidate.
8. The Chair of the Committee of Promotion to Professor schedules the deliberation meeting with the committee members, supervisor(s) of the candidate(s), and the candidate(s).
  - a. Associate Deans, Assistant Deans, Department Heads/Directors and supervisors may participate if they are eligible members of the CAPP.
  - b. Supervisors who are not part of the CAPP offer testimony regarding their candidate(s) and remain for discussion.
  - c. The candidate(s) will appear before the committee to discuss their qualifications for promotion and answer questions but will leave prior to the discussion.
  - d. The Dean does not attend unless acting in the role of supervisor of one or more candidates to be evaluated; in this instance the Dean offers testimony

and participates in the discussion. The Dean serves both as department head and Dean in this circumstance.

9. Faculty with a family relationship to a candidate will not participate in any discussion or vote related to that candidate (see *UH* Appendix S & PPM Ch. 4095).
10. The CAPP must be prepared to devote sufficient time to the deliberations so candidates can be discussed thoroughly. Attendance at the deliberation meeting is mandatory for all committee members. Absences for exceptional circumstances must be approved by the Dean in advance. The Dean will notify the Chair of the CAPP of approved absences.
11. Deliberation meeting
  - a. It is the responsibility of the Chair and Secretary of the CAPP to assure that all applicable procedures have been followed and that the Committee fairly applies established criteria, standards, and guidelines for promotion. The Secretary's minutes will include the names of those present, and record the procedures followed. The Secretary's minutes do not record the deliberations.
  - b. The Chair determines the order of candidates to be discussed. All testimony and evidence is based on direct observation and/or written documents. Hearsay evidence is not accepted. It is the duty of the Chair to disallow hearsay evidence. Each candidate is judged on (1) criteria given in Part I, Section A and Part II, Section A of this document, (2) contents of the candidate's portfolio, (3) external reviewers' assessments, and (4) testimony given during the deliberation meeting.
  - c. All proceedings are confidential. They are not revealed to the candidate(s) or to anyone not a member of the CAPP except as noted below.
  - d. Order of business for each candidate
    - i. Internal reviewers will appear first.
    - ii. The candidate will appear before the Committee to make a brief statement of accomplishments and answer questions related to the portfolio. The candidate then leaves the meeting.
    - iii. The supervisor testifies about the candidate's qualifications for promotion and answers questions. The department head/chair may want to take notes, but no formal minutes are taken. If the supervisor is not a member of the CAPP, they leave the meeting after the questions.
    - iv. The committee will discuss the candidate's suitability for promotion.

12. Within three (3) working days after the deliberations, the Secretary of the CAPP will prepare minutes of the meeting. Minutes will be signed and dated by both the Chair and Secretary and given to the Director of Human Resources and Diversity to be filed in the Administrative Office.

13. Voting

- a. Any individual who is not able to conduct a thorough review of the portfolios during their two-week availability (e.g., due to sabbatical, hospitalization, etc.) will be excluded from voting.
- b. Within two (2) working days after the meeting, each eligible faculty member submits an online ballot for each candidate. Each ballot must include an indication of whether the faculty member finds the candidate acceptable, not acceptable, or abstains. Acceptable/not acceptable votes must be accompanied by supporting comments. Abstentions are allowed only for extenuating circumstances (e.g., personal relationship, extended leave resulting in inability to review portfolio, etc.). Abstentions must be accompanied by reasons justifying the abstention.
- c. Immediately after the deadline (or the next working day), the Chair and Secretary of the deliberation committee and the Director of Human Resources and Diversity will check to see if each faculty member who was eligible to vote participated fully.
- d. Within three (3) working days of the deadline, the Director of Human Resources and Diversity records the total votes for each candidate on the Summary of Votes form and ensures that each vote/abstention and all of the comments for the candidate are present on the Summary of Votes form but that no voting faculty member's name is attached to their comments – unless a voting faculty member explicitly states in the comments that they can be contacted about their comments. The Chair and Secretary of the deliberation committee must be present when the total votes for each candidate are recorded.
- e. The Chair of the deliberation committee reviews the abstentions on the ballots and the list of voting members. The Chair notifies the appropriate department head/chair and the Dean of abstentions and faculty members who failed to vote.
- f. Upon verification, the Director of Human Resources and Diversity immediately gives the unedited comments and vote summary for each candidate to the appropriate supervisor.
- g. In the event of illness or other absence of the Chair or Secretary, the Director of Human Resources and Diversity or their designee shall serve in that capacity to ensure the master calendar deadlines are met.
- h. The unedited comments for each candidate are filed in their individual reappointment/tenure/promotion file in the Administrative Office. The unedited comments are not shared with the candidate but may be available



to courts and/or grievance boards as required by law or university procedures.

14. Within five (5) working days of receiving the unedited comments and vote summary, the supervisor reviews them and makes their own recommendation on promotion. They prepare a brief letter to the Dean (see Appendix F) with their recommendation and forward the following documents to the Dean for each candidate:
  - a. Their recommendation letter
  - b. Vote summary sheet with unedited faculty comments
15. The supervisor prepares a more detailed letter to the candidate including the results of the promotion vote, the supervisor's recommendation with their supporting comments, and substantive comments supporting the faculty recommendation (see Appendix G). A copy of the supervisor's written recommendation to the Dean is also forwarded to the candidate.
16. After the letter is sent to the candidate, the supervisor notifies the deliberation committee members of the results of the vote via email.
17. The Dean makes an independent recommendation and notifies the candidate and supervisor of their decision.
18. If the Dean's decision is negative or contrary to the majority vote of the Committee, they also inform the Chair and members of the CAPP. The Dean will include reasons for their decision in the communication.
19. If the decision is negative, the Dean, CAPP Chair, supervisor and the candidate meet to discuss the result and provide mentoring suggestions.
20. The Dean forwards their recommendation to the Provost along with the supervisor's recommendation, the results of the vote, and the unedited comments of the CAPP faculty. The candidate's complete portfolio will be available to the Council of Deans upon request.
21. At the end of the process, the documents are retained as follows
  - a. Faculty member's individual reappointment/tenure/promotion file in the Administrative Office:
    - i. Copy of Dean's recommendation letter
    - ii. Copy of supervisor's recommendation letter to the dean and the candidate
    - iii. Vote summary sheet with unedited comments for the individual.

- b. General Reappointment/Tenure/Promotion file in the Administrative Office
  - i. Minutes of deliberation meeting.
  - ii. List of qualified voters from the Secretary.

## Appendix A: Components of the Online Ballot for Reappointment

This ballot is administered via an online survey that the Director of Human Resources and Diversity or their designee distributes to the deliberation committee. It includes the elements noted below. Further, after the candidate's name, language preceding the vote options should state, "For the purposes of Reappointment, I find the candidate:". Also, the option for "Acceptable with reservations" shall be followed with an asterisk (\*) that is explained on the same screen thus: "\*\*To be used when significant improvements are needed, to the extent that the candidate is in danger of a no vote in the next voting cycle without substantial improvement (i.e., comparable to a "D" on a grading scale). You must clearly specify the reasons for your reservations."

- A. Candidate's Name
- B. Vote of Acceptable/Acceptable with reservations\*/Not acceptable
- C. Comments in support of acceptable/acceptable with reservations/not acceptable recommendation
- D. Abstention option and explanation for its use
- E. Name of committee member completing survey

## Appendix B: Components of the Online Ballot for Mid-probation Review

This ballot is administered via an online survey that the Director of Human Resources and Diversity or their designee distributes to the deliberation committee. It includes the elements noted below. Further, after the candidate's name, language preceding the vote options should state, "For the purposes of Mid-probation Review, I find the candidate:". Also, the option for "Acceptable with reservations" shall be followed with an asterisk (\*) that is explained on the same screen thus: "\*To be used when significant improvements are needed, to the extent that the candidate is in danger of a no vote in the next voting cycle without substantial improvement (i.e., comparable to a "D" on a grading scale). You must clearly specify the reasons for your reservations."

- A. Candidate's Name
- B. Vote of Acceptable/Acceptable with reservations\*/Not acceptable
- C. Comments in support of acceptable/acceptable with reservations/not acceptable recommendation
- D. Abstention option and explanation for its use
- E. Name of committee member completing survey

## Appendix C: Components of the Online Ballot for Tenure Without Promotion

This ballot is administered via an online survey that the Director of Human Resources and Diversity or their designee distributes to the deliberation committee. It includes the elements noted below. Further, after the candidate's name, language preceding the vote options should state, "For the purposes of Tenure, I find the candidate:".

- A. Candidate's Name
- B. Vote of Acceptable/Not acceptable
- C. Comments in support of acceptable/not acceptable recommendation
- D. Abstention option and explanation for its use
- E. Name of committee member completing survey

## Appendix D: Components of the Online Ballot for Tenure and Promotion to Associate Professor

This ballot is administered via an online survey that the Director of Human Resources and Diversity or their designee distributes to the deliberation committee. It includes the elements noted below. Further, after the candidate's name, language preceding the vote options should state, "For the purposes of Tenure and Promotion to Associate Professor, I find the candidate:".

- A. Candidate's Name
- B. Vote of Acceptable for tenure/Not acceptable for tenure
- C. Vote of Acceptable for promotion/Not acceptable for promotion
- D. Comments in support of acceptable/not acceptable recommendation
- E. Abstention option and explanation for its use
- F. Name of committee member completing survey

## Appendix E: Components of the Online Ballot for Promotion to Professor

This ballot is administered via an online survey that the Director of Human Resources and Diversity or their designee distributes to the deliberation committee. It includes the elements noted below. Further, after the candidate's name, language preceding the vote options should state, "For the purposes of Promotion to Professor, I find the candidate:".

- A. Candidate's Name
- B. Vote of Acceptable for promotion/Not acceptable for promotion
- C. Comments in support of acceptable/not acceptable recommendation
- D. Abstention option and explanation for its use
- E. Name of committee member completing survey

## Appendix F: Report of Voting for Reappointment, Mid-probationary Review, Tenure, and/or Promotion

This report is generated from the online survey that the Director of Human Resources and Diversity or their designee distributes to the deliberation committee. It is generated for each candidate separately and includes the following elements:

- A. Candidate's Name, preceded by "For the purposes of reappointment/mid-probationary review/tenure/promotion, I find [candidate's name]:"
- B. Vote totals for Acceptable, Not acceptable, I abstain, and Acceptable with reservations (when applicable).

The Director of Human Resources and Diversity or their designee prints the report and reviews it with the chair and secretary of the deliberation committee to ensure all committee members have voted and commented. The chair and secretary sign and date the printed report.



## Appendix G: Contents of Supervisor's Recommendation Letter to Dean for Reappointment, Mid-probationary Review, Tenure, and/or Promotion of Candidate

As outlined in Part I.B.17 and II.B.13 in this document, the supervisor will write a recommendation letter to the Dean within five (5) working days of receiving the unedited comments and vote summary. The supervisor reviews them and notifies the Dean of their own recommendation on reappointment, tenure, and/or promotion of the candidate. The contents should include the following:

- A. Candidate's name
- B. Supervisor's recommendation and brief rationale
- C. Summary of deliberation committee's vote
- D. Separately included is the vote summary sheet with unedited faculty comments

Other information may include further supporting information about the candidate that may help the Dean as they review the candidate's progress.

## Appendix H: Contents of Supervisor's Recommendation Letter to Candidate for Reappointment, Mid-Probationary Review, Tenure, and/or Promotion

As outlined in Part I.B.18 and II.B.14 in this document, the supervisor will write a letter to the candidate within three (3) weeks of committee deliberations. The supervisor shall meet with the candidate to review this letter within four (4) weeks of committee deliberations, and letters are distributed to the candidate at least one (1) day prior to this meeting. The contents should include the following:

- A. Candidate's name
- B. Supervisor's recommendation and rationale
- C. Vote totals for Acceptable, Not acceptable, I abstain, and Acceptable with reservations (when applicable)
- D. Themes of significance derived from committee comments (these could be divided into progress toward tenure comments and mentoring comments)
- E. Signature of supervisor and date
- F. Space for signature of candidate and date of discussion with supervisor (text preceding this portion should be "I have met with my supervisor, [position and name], and discussed the contents of this letter. My signature does not imply agreement with the contents of this letter.")

Other information can be included in the letter, such as introductory comments outlining the date of the deliberation committee meeting; categorizing the supervisor's rationale and committee's themes of significance into Directed Service, Non-directed Service, and RSCAD efforts; and concluding comments that the supervisor and candidate will meet soon to discuss the contents of the letter.

## Appendix I: Appointment at Rank/Appointment with Tenure Procedure

In accordance with the *UH C20*, faculty members “who have acquired tenure and hold a rank equal to or higher than the position to be filled” make a recommendation to the Dean. Although it is customary for new faculty to be hired at the rank of Assistant Professor, the Dean has the discretion to request hiring at a higher rank and/or with tenure when deemed necessary for a particular candidate.

### **Library Procedures:**

#### **1. Appointment at the Rank and Tenure Status Advertised**

- a. The Director of Human Resources and Diversity will conduct an online feedback survey as part of the interview process. The results are forwarded to the search committee and the Dean.
- b. This survey will constitute the advising feedback to the Dean that is specified in *UH C20*.

#### **2. Appointment at a Higher Rank or Tenure Status than Advertised (Negotiated by candidate)**

- a. Upon making the hiring determination and extending an offer contingent on faculty recommendation, the Dean will initiate the faculty review process.
- b. The Dean, through the office of the Director of Human Resources and Diversity, makes the candidate’s file available to the eligible faculty. (The proposed rank/tenure status determines which tenure or promotion committee is used.) The file will contain the letter of application, complete vita, and a memo from the Dean with the rationale for the particular rank.
- c. The chair(s) of the appropriate committee(s) (tenure and/or promotion) will promptly schedule a deliberation meeting, which may be held virtually.
- d. Online ballots will be created and distributed before the deliberation meeting by the Director of Human Resources and Diversity. Ballots will be due within two days of the deliberation meeting.
- e. Immediately after the deadline (or the next working day), the Director of Human Resources and Diversity records the total votes for each candidate on the Summary of Votes form and ensures that each vote/abstention and all of the comments for the candidate are present on the Summary of Votes form, but that no voting faculty member’s name is attached to their comments. The Chair and Secretary of the deliberation committee should be present when the total votes for each candidate are recorded. In the event of illness or other absence of the Chair or Secretary, the Director of

Human Resources and Diversity or their designee shall serve to ensure that votes are counted promptly.

- f. The Chair of the deliberation committee reviews the abstentions on the ballots and the list of voting members. The Chair notifies the appropriate department head/chair and the Dean of abstentions and faculty members who failed to vote.
- g. Upon verification, the Director of Human Resources and Diversity immediately gives the unedited comments and vote summary to the Dean.

## Appendix J: Document Revision History

**Current version: Approved [date] 2022**

- **Combined and updated previous documents listed below**

**2022 Tenure/Promotion Criteria/Procedures Committee:**

Livia Olsen (chair), Laura Bonella, Cliff Hight, Irina Rogova, Michelle Bowen (ex officio)

**Previous documents:**

1. Tenure Criteria and Procedures for Annual Reappointment/Tenure Review, Mid-Probationary Review and Final Tenure
  - Approved May 16, 2006
  - Revised December 5, 2006
  - Revised May 15, 2007
  - Revised July 26, 2007
  - Revised May 12, 2008
  - Revised March 2, 2011
  - Corrected September 25, 2012
  - Revised February 26, 2015 (to be submitted to OAP with full review in 2017)
  - Revised October 19, 2018 to include “acceptable with reservations” option in voting
2. Promotion Criteria and Procedures: Part I. Associate Professor Part II. Professor
  - Part I. approved by KSUL Faculty April 21, 2006
  - Part II. Approved by KSUL Faculty July 27, 2006
  - Revised December 5, 2006
  - Revised May 15, 2007
  - Revised July 7, 2007
  - Revised July 26, 2007
  - Revised May 12, 2008
  - Revised March 2, 2011
  - Corrected September 25, 2012
  - Revised February 26, 2015
  - Revised May 10, 2019

**2006 Tenure/Promotion Criteria/Procedures Task Force:**

Debbie Madsen, chair; Roger Adams, Dave Allen, Michelle Turvey, Daryl Youngman

**2011 Tenure/Promotion Criteria/Procedures Committee:**

Sara Kearns, chair; Beth Turtle, Adam Wathen, Antoinette Satterfield

**2015 Tenure/Promotion Criteria/Procedures Committee:**

Jason Coleman, chair; Regina Beard, Meagan Duever, Christina Geuther