

**STONY BROOK UNIVERSITY, STATE UNIVERSITY OF NEW YORK
UNIVERSITY LIBRARIES**

**PROCEDURES FOR PROMOTION AND CONTINUING APPOINTMENT
FOR LIBRARY ACADEMIC FACULTY**

PREAMBLE

The collegial process for promotion and continuing appointment at the Stony Brook University, State University of New York Libraries shall follow the basic operational guidelines established below.

These procedures combine in one document the internal procedures of University Libraries and additional information and guidelines derived from the following documents:

State University of New York, Policies of the Board of Trustees, 2013. (Cited as Policies) [<https://www.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-Dec2013.pdf>].

United University Professions, Agreement between the State of New York and United University Professions, 2011-2016. (Cited as UUP Agreement) [<http://uupinfo.org/negotiations/Contract2011to2016webSECUREv5.pdf>].

Stony Brook University, Promotion and Tenure Committee Procedures, College of Arts and Sciences. (Cited as CAS Procedures) [<http://www.stonybrook.edu/senatecas/PTCGuidelines.shtml>].

This document is a compilation of information from official sources as it applies to the University Libraries. For complete information on University Procedures, refer to the official University documents cited above.

I. Criteria

The criteria used in these procedures will be those specified in the document "Evaluation and Criteria of Library Academic Faculty for Promotion and Continuing Appointment." (4/2014).

II. Promotion in Rank

Promotion is available to Assistant, Senior Assistant and Associate Librarians in accordance with the provisions of the Policies, Article XII (Evaluation and Promotion of Academic and Professional Employees), Title B (Promotion of Academic Employees). No minimum length of service in any academic rank shall be required for promotion. Promotion carries with it no commitment of continuing appointment. Promotion from Assistant to Senior Assistant Librarian is part of an internal review process.

III. Continuing Appointment

The Trustees' Policies (Article XI) define the regulations on continuing appointment: Librarians and Associate Librarians on term appointments must be granted continuing appointment if reappointed at the end of three years of service in the ranks of Associate Librarian or Librarian. Senior Assistant Librarians and Assistant Librarians must be reappointed with continuing appointment if they have completed seven years of service in a position or positions of academic rank in the University of which the last three consecutive years have been as Assistant Librarian or Senior Assistant Librarian. Satisfactory full-time service in academic rank in any other institution of higher education shall be credited as service up to a maximum of three years, but waiver of all or part of this service credit shall be granted upon written request of the employee to the chief administrative officer not later than six months after the date of the initial appointment. Such requests should be submitted to the Dean of University Libraries for forwarding to the administration.

Continuing appointment cases must be considered at least one year prior to the time when continuing appointment would become mandatory or when the final term appointment would expire (Policies, Art. XI, Title D, section 5).

Associate or Full Librarians holding a term appointment must be reviewed for continuing appointment not later than the second year of service in that rank.

Senior Assistant Librarians or Assistant Librarians who have neither been reviewed for tenure at Stony Brook University nor submitted a letter of resignation must be reviewed for continuing appointment not later than the sixth year of service in that rank.

In computing consecutive years of service for the purposes of appointment or reappointment, periods of leave of absence at full salary shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

IV. Administrative Procedures and Responsibilities

This section of the procedures document is arranged in chronological order following the normal sequence of events for a candidate for promotion or continuing appointment.

A. Preliminary Procedures and Initiation of Candidate

Within three months of hire, the candidate will be assigned a Candidate Advisory Committee consisting of three tenured faculty members appointed by the Dean of University Libraries in consultation with the candidate and the candidate's immediate supervisor. The Candidate Advisory Committee shall act on behalf of and in consultation with the candidate in the preparation of his/her file for submission for promotion and/or tenure.

The duties of the Candidate Advisory Committee include but are not limited to the following:

- The committee shall choose in consultation with the candidate a committee chair who shall act as the voice of the committee and if required act as an advocate on behalf of the candidate's file in the event of internal processing errors, lags and any general breakdown in the Library's internal, review processes.
- Review and explain the promotion and/or tenure process to the candidate(s) and to this end answer any questions that may arise from such consultation.
- Advise the candidate as to the preparation and completion of all required administrative documentation related to the candidate's submission for promotion and/or tenure.
- Advise the candidate(s) as to the preparation, organization and content of his/her Biographic File. See appropriate appendix section.
- Advise the candidate as to the scope and nature of the candidate's suggested references, including but not limited to: type of reference sought, total number of references and additional relevant questions that may arise.
- The Committee will provide the candidate with a thorough, candid and confidential review of the file and the candidate's readiness for promotion and/or tenure. To this end, the committee may request an additional readiness interview with the candidate in which all documentation and supporting evidence is reviewed by the group prior to the candidate's submission of his/her file to The Dean of University Libraries or his/her designated representative. Such confidential findings are not to be made part of the candidate's official file.
- The Candidate Advisory Committee may recommend/request that a new committee be assigned to the candidate or new members be assigned due to retirement, illness, sabbatical, etc.

The duties of the Candidate include but are not limited to the following:

- The candidate, in requesting the initiation of a promotion and/or tenure review, is expected to meet all the requirements of the review process.
- The candidate will respect all schedules, deadlines, appointments as set and agreed upon by the Candidate Advisory Committee and the candidate.

- The candidate understands and accepts that the Candidate Advisory Committee advises the candidate in the preparation, organization and content of his/her Biographic File. Any decision made by the candidate regarding his/her file is his/her own and sole responsibility.
 - The candidate understands and accepts that the Candidate Advisory Committee is comprised of individual faculty, with his/her own opinion and views, and as such, should hold no expectation of support for his/her file or candidacy beyond the member's role on his/her Advisory Committee.
 - The candidate may request that the Dean of University Libraries appoint a new Candidate Advisory Committee.
1. The Dean of Libraries and Associate Director for Library Administration shall coordinate and facilitate aspects of the promotion and tenure process:
 - a. solicit and manage letters of evaluation and
 - b. facilitating faculty review of the candidate's file;
 - c. scheduling, coordinating and recording faculty meeting and vote on candidate's file.
 2. The Associate Director for Library Administration notifies the Dean of Libraries of those academic faculty whose mandatory year it is for consideration for continuing appointment. The Dean of Libraries contacts those individuals to confirm that they wish to be considered.
 3. The Associate Director for Library Administration notifies the library academic faculty of those candidates to be considered for continuing appointment. An academic faculty member may request that the Library initiate action for a promotion and/or continuing appointment.
 4. The Associate Director for Library Administration establishes a calendar for the notification of candidates, meeting dates and deadlines in accordance with established library procedures. Copies of this calendar are available to the members of the Library academic faculty.

B. Candidate's File

1. Biographic File
The candidate is responsible for the preparation of a Biographic File (which must be signed and dated by the candidate - CAS Procedures 2.4) that should contain the following information:

BF-1 Education and Experience.

- a. Education. List institutions attended, dates attended, degrees, dates of degrees, field of study, and thesis topics.

- b. Experience as a Librarian. List institutions, title/rank and dates.
- c. Other Professional Experience. Include dates.

BF-2 Personal Statement of Accomplishments & Goals. Provide a description of aims, methods and activities as a member of the University library system. Discuss any activities or materials designed to improve the library program. Attach sample materials of interest (manuals, handbooks, bibliographies, reports, etc.).

BF-3 Teaching Activity. For each course, workshop or internal training program taught, provide title, enrollment, and level of group for which it is/was intended. Attach sample instructional materials of interest. Describe your teaching aims and methods.

BF-4 Professional Participation outside the University. Supply evidence (e.g. committee reports, description of activities in newsletters and journals). Describe your specific participation in detail.

BF-5 Invited Lectures and Papers. Include representative copies, reviews and appraisals.

BF-6 Publications. Include representative copies, reviews and appraisals. For works in press, supply evidence of acceptance.

BF-7 Honors and Grants Received. Supply letters of award if relevant.

BF-8 Recent Library Service. Describe your specific participation in detail. Supply evidence of achievements (e.g. committee reports).

BF-9 Recent University Service. Describe your specific participation in detail. Supply evidence of achievements (e.g. committee reports).

BF-10 Continuing Growth Activities. (Coursework, attendance at workshops, professional meetings, institutes, etc.)

BF-11 Additional Relevant Information.

2. Supporting Documents

The candidate's file shall include such materials and information as: letters from outside expert referees, review of work, reprint citations, letters from publishers (especially in the case of as yet unpublished work), qualified evaluation of unpublished work, instructional materials including syllabi for librarians whose responsibilities include teaching credit-bearing and course-integrated instruction, copies or detailed descriptions of work completed or in progress, professional and service citations.

3. Unsolicited Letters

Unsolicited, signed letters and statements, or letters and statements submitted by persons other than an authorized University official do not have confidential status and are available to the candidate. Before placing such letters in the file, the Associate Director for Library Administration shall send a letter to persons who have submitted unsolicited letters of evaluation advising the writer that the recommendation is not confidential and will be made available to the candidate, other members of the library faculty, and administrative officials. The sender should then be given the opportunity to withdraw the letter.

4. Review of Non-Confidential Material

The Advisory Committee shall review the vita and file as supplied by the candidate and may suggest changes for consideration by the candidate. The Advisory Committee shall also make suggestions concerning appropriate material to be included in the candidate's file. The candidate is ultimately responsible for ascertaining that all relevant non-confidential material is in the file.

5. Standard Inclusions in the File

The Associate Director for Library Administration is responsible for including the following two items in each candidate's file:

- A. A copy of the University Libraries' current statement of interpretation of the criteria for promotion and/or continuing appointment.
- B. A list of scholarly works the candidate has published in along with a brief description of each. Descriptions may include (1) a statement of specialization or topics covered; (2) audience; (3) editorial policy, i.e. blind refereed, selected by editorial board; (4) publisher; and, (5) evaluative comments where appropriate.

C. Non-Confidential General Evaluative File

The general evaluative file will contain all supervisory evaluations. These include the candidate's immediate supervisor's evaluation letter, reports of the Dean and the Provost as well as the letter summarizing the views and recommendations of the appropriate faculty group. These letters should provide a clear and specific summary of the case while still preserving the confidentiality of

solicited opinions. This may be done by referring in the letters to "such and such a point raised by Professor X," or "the statement from Referee Y." A key identifying X and Y by name should be provided for these references and included in the special evaluative file, but not seen by the candidate (CAS Procedures 2.4.4)

D. Confidential Special Evaluative File

Definition and Confidentiality

A solicited letter of evaluation is any letter, memorandum, statement, or report of recommendation solicited by an authorized University official from another individual in connection with the appointment, renewal of term appointment, promotion, or continuing appointment of any faculty or professional staff member. Solicited documents may or may not be confidential, within the provisions of Article 31 (Personnel Files) of the UUP Agreement.

The solicited letters should contain substantive written evaluations from at least five authorities from outside the University in all cases of promotion to higher rank or continuing appointment or both. At least three of the letters must be from scholars who are not current or former collaborators, departmental colleagues, members of the candidate's graduate department during the time he or she was a graduate student, or recommended by the candidate. At least two of the letters must be from referees suggested by the candidate. Each outside letter in the file should have attached to it a statement identifying the writer, explaining why she or he has been chosen to evaluate the case, and indicating the relationship, if any, with the candidate if that is not stated in the letter of reference. These letters of evaluation should ordinarily not be more than two years old. All letters written in a language other than English must be accompanied by a translation. Candidates for promotion to Senior Assistant Librarian require reference evaluations of at least three authorities suggested by the candidate plus their supervisory directors (head and associated director, excluding dean). Evaluations may come from staff/faculty in other library departments, or staff/faculty from other campus departments. Reference evaluations from authorities outside the University are preferred but not mandatory.

- A. The candidate may suggest a list of no more than five and no less than three referees from which the Dean will choose at least two. At least three other referees are to be chosen independently by the Dean.
- B. The Dean should take care to choose a group of reviewers who can provide a comprehensive evaluation of the candidate's professional accomplishment. All correspondence to potential reviewers must be included in the file.
- C. The letters sent by the Dean to solicit the referees' opinions should be accompanied by the candidate's curriculum vitae as well as by reprints and/or preprints selected by the candidate. The solicitation letter should contain all the substantive points included in the sample provided in CAS Procedures, section 8.2.

It should request the referee:

- a) to include specific evaluation of the candidate's scholarly or professional achievements, especially with reference to the candidate's most recent work (rather than merely to comment on the general character or promise of the candidate),

b) to compare the candidate's scholarly or professional contributions with those of national or international leaders in the candidate's field who are at a comparable career stage,
c) to supply information when possible about the candidate's teaching effectiveness,
e) to indicate whether his/her letter of evaluation is to be held confidential or whether the candidate may read it either as it stands or with all identification of source and writer expunged. Prospective writers must be told that confidentiality will be maintained to the extent possible under current legal principles unless they explicitly specify otherwise. All letters soliciting opinions from outside authorities, all responses received from them, (including those who decline or are unable to write), and all solicited letters (those contributed under these procedures) from within the University must be included in the file (CAS Procedures, 2.4.5.1).

E. Completion of File

The Associate Director for Library Administration shall insure that all evidence in the case is available to the library academic faculty at least one week before the scheduled faculty meeting(s).

V. Academic Review Procedures

A. Definition of Levels of Academic Review

1. The members of the library academic faculty with full-time term or continuing appointments shall constitute the "initial academic review committee" as defined in the current UUP Agreement (Article 33.I). Academic faculty holding temporary appointments as defined in the Policies of the Board of Trustees, (2011 Article XI, Title F) are not members of the academic review committee.
2. For cases of continuing appointment and promotion to any rank above Senior Assistant Librarian, the subsequent academic review committee shall be the College of Arts and Sciences Promotions and Tenure Committee. For promotions to the rank of Senior Assistant Librarian, the subsequent academic review committee shall consist of the group of appropriate University Libraries faculty (as defined below).

B. Initial Academic Review, Candidate Evaluation and Vote

1. Consultation of Library Faculty
All appropriate library academic faculty are obligated to attend the initial academic review meeting in all cases of promotion and/or continuing appointment. Voting shall occur only among appropriate group of those present during a meeting of the academic faculty and shall be conducted

by an open discussion and ballot.

- A. Promotion: The appropriate group shall consist of all members of the University Libraries Faculty who are of higher rank than the candidate.
- B. Continuing Appointment: The appropriate group shall consist of all members of the University Libraries Faculty with continuing appointment.
- C. Promotion to Full Librarian: The appropriate group shall consist of all members of the University Libraries Faculty who hold the rank of Full Librarian or university equivalent.

The appropriate faculty group in advance of making its recommendation shall have ready access to the completed file and to a copy of these Procedures. The file shall carry on its face the names of all those faculty members eligible to consult it, with space provided for their signatures. Each eligible faculty member consulting the file shall sign the cover sheet to indicate that his or her examination of the file has been completed.

Library Faculty members are encourage to write letters for the file. Such letters will normally be addressed to the Dean of University Libraries. This may be done either in the case of positive or negative opinions.

Library Faculty members who wish to express their views in writing about a Library decision may do so. These letters will be treated as solicited letters and must be reviewed by the faculty voting in this case. The appropriate faculty group shall have an opportunity to review the letters and shall sign a cover sheet to indicate that they have read the additional material. No Library Faculty member(s) shall be hindered from contributing to a file while a case is under consideration after the Library recommendation has been formulated, so long as those eligible to vote review the contribution.

The list of the appropriate faculty group and their signatures shall be a part of the Special Evaluative File. The Dean of University Libraries supplies a standard cover sheet for this purpose. The cover shall bear the total tally of all the votes as follows: Recommend, Do not recommend or Abstain. The individual ballots and actual voting record shall be attached to the file prior to submission of the file but after all signatures have been obtained, and shall remain private and confidential.

2. Officials for Meetings

The Associate Director for Library Administration (and an assistant if needed to serve as recorder) shall conduct the meetings, count the votes, and be responsible for recording and summarizing the major issues discussed during the meetings.

3. Documentation of the Initial Academic Review

- A. The library academic faculty shall listen to the readback of the discussion by the recorder, make suggestions for changes to clarify intent and to correct grammatical errors. The Faculty shall then vote and the meeting shall be adjourned.

- B. The chair of the meeting and the recorder shall edit the document in a timely manner and forward the summary, along with all notes and drafts, to the Faculty no more than three (3) working days after the meeting. The Associate Director for Library Administration shall call a meeting of Faculty to review the summary and revise it if necessary, in a timely manner. The summary shall be signed and dated by the Faculty.
- C. The Associate Director for Library Administration shall forward the complete file to the Dean of Libraries.

C. Dean of Libraries

- 1. The Dean of Libraries shall write a letter to the Provost containing his/her own recommendation of each case. The recommendation of the Dean of Libraries, together with the vote and summarized contents from the initial review and the candidate's file, shall be transmitted to the College of Arts and Sciences Promotion and Tenure Committee through the appropriate administrative office by the date listed in the current "Calendar for Completion of Actions".
- 2. The Dean of Libraries shall retain all documents including the ballots from the initial academic review until all possible action of that year has taken place. A copy of the letter of transmittal, the vote tally and the edited comments shall be retained in the candidate's unofficial personnel file.

D. College of Arts and Sciences Promotion and Tenure Committee

- 1. In all cases except those of promotion to Senior Assistant Librarian, it is be the responsibility of the Dean of University Libraries to forward the recommendation letter and the completed file to the Chair of the College of Arts and Sciences Promotion and Tenure Committee.
- 2. The Promotion and Tenure Committee will review and evaluate the file. Prior to reaching a decision the Committee may seek additional information, either on its own or through the agency of the Dean. Substantively new information affecting the evaluation of the candidate will be shared with the department in keeping with the principle of confidentiality respecting the sources of that information.
- 3. Members of the Committee who are in the candidate's department abstain from voting.
- 4. If a prior recommendation is not likely to be upheld by the Committee, the reasons for such possible action will be summarized in writing and sent to the Dean. The Committee will then entertain a written response from the Dean within one week of its informing the department or program of its likely decision not to uphold the prior recommendation. After this communication, the Committee will formulate its formal recommendation, which will follow the procedures outlined at the beginning of this section.
- 5. After completing its deliberations, the Committee will report its vote and recommendations to the Administration. The report may include an explanation of the Committee's recommendations if it is signed by each voting member of the Committee. The Committee will communicate its recommendations to the Dean of University Libraries after fourteen days or when the President's action (see CAS Procedures 6) is known, whichever occurs sooner. The Dean will communicate the Committee's recommendation to the candidate.

6. Apart from official communications by the Committee Chair, all members of the Committee are expected to maintain strict confidentiality about the deliberations of the Committee.
7. In all cases where files have been submitted by March 1, and have been acceptably completed according to the specifications given in these Procedures, the Committee's recommendation will be forwarded to the Dean not later than April 30 (CAS Procedures 4).

F. Notification of Academic Faculty Member

The action of the President in each case shall be communicated to the Academic Faculty member involved on or about May 1.

VI. Withdrawal of Candidacy

A. A candidate for promotion and/or continuing appointment may elect to withdraw his/her candidacy at any time by submitting a written request to the Dean of Libraries. A letter of resignation by a candidate shall be interpreted as a withdrawal of his/her candidacy.

B. If a member of the Library academic faculty withdraws his/her candidacy for promotion candidacy at any time by submitting a written request to the Dean of Libraries. A letter of resignation by a candidate shall be interpreted as a withdrawal of his/her candidacy and/or continuing appointment at any time after the list of candidates is distributed to the Library academic faculty the Faculty Executive Committee shall be notified by the Dean of Libraries of such withdrawal. The Faculty Executive Committee shall then be responsible for notifying the Library academic faculty of the withdrawal.

VII. Reconsideration After the Mandatory Year

When a member of the Academic Faculty has been considered for continuing appointment in the mandatory year and a negative decision has been rendered, this action should be considered final. Exceptional circumstances may cause a candidate to feel that substantial new evidence justifies reconsideration of his/her case. In such exceptional circumstances the following procedure shall apply:

A. The candidate must notify the Dean of Libraries of the request for reconsideration

B. The candidate shall provide the Library academic faculty with the new evidence no later no later than October 15.

C. The Library academic faculty will meet to evaluate the new evidence. Only if the academic faculty concludes that the new evidence establishes a substantial change from the situation during the previous consideration, will the case be reconsidered and votes be taken as in an original consideration. If the reconsideration results in a negative vote by the academic faculty and a negative recommendation by the Dean of Libraries, the action is final. The request will not be

forwarded for further consideration and the President will be notified. If the reconsideration results in a positive recommendation by either the Library academic faculty or the Dean of Libraries, the recommendation for continuing appointment will be transmitted to the College of Arts and Sciences Promotion and Tenure Committee.

D. When a positive recommendation is forwarded by the Library academic faculty, each subsequent level of review shall determine to its own satisfaction whether or not there is substantial new evidence warranting reconsideration. This determination will involve a comparison between the total record on which the University decision in the mandatory year was based and the new evidence, available since that decision date, presented by the candidate.

E. The College of Arts and Sciences Promotion and Tenure Committee shall inform the President if it declines to reconsider the case. If the Committee concludes that there is substantial new evidence, it will then send forward in the usual manner its votes for or against continuing appointment.

F. Final actions will be communicated to the candidate by the President on or before November 17 of the reconsidered year.

Approved and ratified by the faculty June 2014.