Iowa State University Library

Academic Librarian Promotion:
Criteria and Procedures

Approved 4/4/2016
Academic Librarian Promotion: Criteria and Procedures

Policy for the Promotion of Academic Librarians ......................................................... 1
  Introduction..................................................................................................................... 1
  Eligibility for Promotion.............................................................................................. 1

Librarian Ranks & Criteria for Promotion ..................................................................... 3
  Areas for Evaluation across Librarian Ranks.............................................................. 3
  Core Skills and CharacteristicsCore Skills and Characteristics..................................... 4
  Librarian I..................................................................................................................... 5
  Criteria for advancement to Librarian II................................................................. 5
  Librarian II .................................................................................................................. 6
  Criteria for advancement to Librarian III............................................................... 6
  Librarian III ................................................................................................................. 7
  Criteria for advancement to Librarian IV............................................................... 7
  Librarian IV ................................................................................................................. 9

Procedure for Promotion ............................................................................................... 10
  Promotion participants............................................................................................... 10
  Step 1: Notification of Intent to Seek Promotion...................................................... 11
  Step 2: Submission of Candidate’s Documentation.................................................. 13
  Step 3: Selection and confirmation of Evaluators.................................................... 14
  Step 4: Evaluator Feedback....................................................................................... 16
  Step 5: Supervisor Review and Recommendation.................................................. 17
  Step 6: AD Review and Recommendation.............................................................. 18
  Step 7: Dean Review and Promotion Recommendation............................................ 19
  Step 8: Feedback....................................................................................................... 20

Appendix .......................................................................................................................... Error! Bookmark not defined.
Policy for the Promotion of Academic Librarians

Introduction
The promotion process is based on professional growth and achievement rather than on the responsibilities of a particular position. It acknowledges that in a large research library there are many paths toward professional excellence and assumes an underlying premise that each librarian must take responsibility for the direction and pace of their own career. The promotion process provides flexibility for advancement.

Academic Librarians are part of the Professional and Scientific (P&S) classification of employees at Iowa State and must be reclassified in order to advance in rank. Per agreement with University Human Resources, the Iowa State University Library uses its internal promotion process to advance candidates for reclassification. The use of an internal promotion process as the mechanism for determining reclassification enables librarians to advance in their careers based on professional growth and achievement, rather than the acquisition of new duties that is required of other positions for reclassification in the P&S ranks.

Promotion from Librarian I to Librarian II is expected for all Academic Librarians. There is no mandate that requires promotion within a specified time period. Promotion is not a checklist of accomplishments and then a continuation in the same manner as before. The expectation is that once you are promoted that your approach to your position changes slightly. You may or may not get new job duties but there will be a continued increase in expectations.

The ranks other than Librarian I are all considered valid career paths. Librarian IIs are competent and independently able to perform their job according to best practice. Librarian IIIs are actively seeking improving best practice or librarianship in some fashion while continuing to do their assigned job duties. Librarian IVs have made a positive impact on librarianship and continue to engage with the broader community while doing their assigned job duties.

Eligibility for Promotion
Promotion at the Iowa State University Library is a voluntary system established to provide flexibility and choice for each individual in the development of their career and to reward professional growth and accomplishment. The librarian initiates the procedure based on the belief that sufficient change, growth, and development have occurred to warrant reassessment of rank.

Any employee at Librarian I, II, or III level may submit a request for promotion to the next rank if they meet the following requirements for time in rank and positive annual evaluations.

Time in Rank
A promotion request may be submitted if the candidate meets one of the following time in rank requirements.

A minimum of:
• three years since the date of appointment
• three years since the last date of reclassification due to successful promotion
• one year (365 days) since the date of an unsuccessful promotion attempt

Positive Annual Evaluations
Anyone seeking promotion must have at least two positive annual evaluations within 3 years of seeking promotion. This will be indicated within the progress toward promotion section of the annual evaluation.

Exceptions
The only exceptions to the minimum requirements for promotion eligibility are as follows:

A candidate who was given credit at time of hire for years in rank may seek promotion when both of the following conditions are met:

• after at least one positive annual evaluation
• AND when credit for time in rank assigned on hire added to years worked in rank at Iowa State University Library equals or exceeds three years.

Exceptions to eligibility for promotion may also be made by the Dean of the library.

Revision Schedule
It is the responsibility of the Academic Librarian Committee to annually review all the documentation for promotion. Any academic librarian or library administrator may submit proposed revision(s) to the Academic Librarian Committee for consideration. Revision(s) to the documentation will be done in collaboration with the Head of Library HR to ensure that there are no conflicts with University Professional and Scientific and/or Library policies and procedures. The proposed revision(s) will be shared for input from academic librarians, unit supervisors, ADs, and the Dean of the Library. When a proposed amendment(s) is ready for action, the Librarian Assembly Officers conduct a vote of the academic librarians for their formal recommendation and notifies the Dean of the result. Following the vote, the Library Management Team considers the proposed amendment and makes a formal recommendation to the Dean. The Dean considers all input before making the final decision.
Librarian Ranks & Criteria for Promotion

Areas for Evaluation across Librarian Ranks

1. Professional Practice
   a. Assigned job duties as defined by an individual’s Position Description
   b. Service within the library on working groups, committees, teams, etc., related to an individual’s position
   c. Engagement and knowledge building to support professional practice and external impact

2. External Impact (one or both of the following)
   a. Service to the profession through participation/leadership on committees, working groups, teams, etc., outside of the university
   b. Outcomes of Research and Scholarship in area(s) of professional interest

3. Institutional Service
   a. Service in regards to governance or policy of the library
   b. Service in support of the University, its mission and strategic plan

4. Core Skills and Characteristics
   a. Traits that all librarians should exhibit
**Core Skills and Characteristics**
The following skills and characteristics should be demonstrated by all librarians.

**Interpersonal Skills and Teamwork:**
Demonstrates collegiality. Treats others with the respect you expect for yourself. Develops and maintains collaborative and effective working relationships. Interacts effectively with diverse constituencies. Maintains good relationships with campus units outside the library. Steps out of comfort zone when necessary. Remains composed in difficult situations. Is assertive when necessary.

**Communication:**
Communicates effectively. Keeps supervisor, peers, and subordinates informed of relevant activities and progress. Uses both formal and informal communication channels appropriately. Listens and considers alternate viewpoints. Asks questions to better understand.

**Initiative and Reliability:**
Persists to attain objectives. Overcomes obstacles to complete job responsibilities and tasks. Takes initiative in identifying and completing tasks that need to be done, even beyond those assigned. Responds to requests for decision/information in a timely manner. Participates in accomplishing library projects and objectives. Shares appropriately in departmental responsibilities and activities.

**Innovation and Vision:**
Develops effective and creative solutions to problems in a rapidly changing environment. Identifies and responds effectively to unexpected situations. Strives to make positive changes to library services, Iowa State University community, and librarianship in the spirit of the Land Grant mission. Works to promote an inclusive, safe, and welcoming environment.

**Planning and Organizing:**
Formulates short- and long-range goals and objectives. Organizes work and competing priorities in order to complete tasks in a timely manner. Makes sound and timely decisions, taking into account relevant information. Handles problems before they escalate into crises, if possible.
Librarian I
These are the expectations for Librarian I.

Expectations
Professional Practice:
Demonstrate effective job performance and professional growth. Establish professional engagement to build depth of knowledge to be applied to professional practice and external impact. Interest in and potential for service. Effective supervisory duties as assigned.

Institutional Service:
Interest in and potential for institutional service.

External Impact:
Success requires activity in one or both of these areas:
- Explore areas of potential research interest and present outcomes outside of the library.
- Participation in professional activities at any level (local, state, regional, national, etc.).

Core Skills and Characteristics:
Maintain effective performance in all facets.

Criteria for advancement to Librarian II
A successful candidate for Librarian II has demonstrated institutional service and external impact as well as three years of effective professional practice. To proceed to Librarian II, candidates are expected to enhance their basic skills, build upon their expertise and abilities developed as Librarian I, add new areas of position-related expertise, and exhibit a holistic understanding of the library's operations and how they interrelate. In addition, librarians should continue to gain professional competence and knowledge. Institutional service is expected. They must continue to contribute to the profession through research and/or service.

For successful promotion to the next rank, the Librarian I must have demonstrated:
Professional Practice:
Holistic understanding of library operations and services

Institutional Service:
Active participation in unit-based and/or library-wide committees

External Impact:
Success requires activity in one or both of these areas:
- Active service participation at any level
- Research outcomes presented outside of the library

Core Skills and Characteristics
Maintain effective performance in all facets.
Librarian II
These are the expectations for Librarian II

Expectations
Professional Practice:
Demonstrate continued effectiveness in job performance through evidence of increasing knowledge, understanding, and skill in performing the duties of their position. Maintain professional engagement to build depth of knowledge to be applied to professional practice, and service and/or scholarship. Demonstrate effective service with leadership potential. Effective supervisory duties as assigned.

Institutional Service:
Demonstrate effective institutional service with leadership potential.

External Impact:
Success requires activity in one or both of these areas:
- Establish area(s) of research interest and present outcomes outside of the library.
- Leadership in professional activities at any level (local, state, regional, national, etc.).

Core Skills and Characteristics:
Maintain effective performance in all facets.

Criteria for advancement to Librarian III
A successful candidate for Librarian III requires a large degree of independence, contributions to library policy, high impact external service and/or research, and success at advanced duties, as well as 6 or more years of professional practice (at least 3 of which must be equivalent to Librarian II). Librarians in this rank are expected to have mastered their particular areas of responsibility and must continue to increase their job-related expertise.

For successful promotion to the next rank, Librarian IIs must have demonstrated:

Professional Practice:
Mastery of area of responsibility with the expectation of ongoing development of expertise. Contribution to innovative change in the library.

Institutional Service:
Leadership in university or library service. Policy/procedure/project creation or revision.

External Impact:
Continued growth in one or both of these areas:
- Leadership in service
- Research outcomes presented outside of the library

Core Skills and Characteristics
Maintain effective performance in all facets.
Librarian III
These are the expectations for Librarian III

Expectations
Professional Practice:
Demonstrate continued effectiveness in job performance through evidence of substantial knowledge, understanding, and skill in performing the duties of their position. Maintain professional engagement to build depth of knowledge to be applied to professional practice, and service and/or scholarship. Demonstrate effective service leadership. Effective supervisory duties as assigned.

Institutional Service:
Demonstrate effective leadership in institutional service. Successful performance in both of the following areas:
- Effective leadership within the library
- Demonstrated record of impact and/or service outside of the library

External Impact:
Success requires activity in one or both of these areas:
- Continue to build body of scholarship in area(s) of interest
- Leadership in professional activities at regional, national, or international level.

Core Skills and Characteristics:
Maintain effective performance in all facets.

Criteria for advancement to Librarian IV
Librarian IV requires independence, a positive national and/or international reputation, active high impact external service and/or research, and 9 or more years of successful practice (at least 3 of which must be equivalent to Librarian III). A Librarian IV furthers the image and mission of ISU’s library while setting standards of performance and/or scholarship which other librarians and staff should emulate. Promotion to this rank reflects exceptional merit and an overall evaluation of excellence. A continued record of scholarly achievement and/or professional service outside the library must be maintained.

For successful promotion to the next rank, Librarian IIIIs must have demonstrated:
Professional Practice:
Mastery of area of responsibility with the expectation of innovation and sharing of expertise.

Institutional Service:
- Continuing leadership within the library.
- Continuing leadership on campus.

External Impact:
Continued growth in one or both of these areas:
- Leadership in professional organizations at the national/international level
- Recognized expertise in area of specialization at the national/international level via exemplary scholarship/research
Core Skills and Characteristics

Maintain effective performance in all facets.
Librarian IV
These are the expectations for Librarian IV

Expectations
Professional Practice:

Demonstrate excellence in job performance through evidence of substantial knowledge, understanding, and skill in performing the duties of their position. Maintain professional engagement to build depth of knowledge to be applied to professional practice, and service and/or scholarship. Demonstrate excellent service leadership. Excellent supervisory duties as assigned.

Institutional Service:

Demonstrate effective leadership in institutional service both within the library and the broad University community.

External Impact:
Success requires activity in one or both of these areas:

- National and/or international reputation as a scholar in area(s) of interest with significant demonstrated impact.
- National and/or international leadership in professional activities in high impact offices or committees.

Core Skills and Characteristics:

Maintain effective performance in all facets.
Procedure for Promotion

Promotion participants

Candidate
An academic librarian pursuing a promotion.

Academic Librarian Committee (ALC)
An elected committee all of whom are Academic Librarians. (HR ex officio is a member of this committee as well). Temporary emergency appointments may be made to the committee by Librarian Council (the executive group for Librarian Assembly) if needed in order to avoid delaying a promotion process due to unforeseen circumstances.

Promotion Coordinator (PC)
A member of the Academic Librarian Committee who is selected by the candidate to solicit feedback on the candidate's performance. (HR ex officio is not eligible to act as PC)

Internal Evaluators (Applicable to all promotion reviews)
Colleagues at Iowa State University, primarily from the library, who can address specific components of the review requirement: professional practice, institutional service, external impact, and interpersonal skills.

External Evaluators (Applicable only in promotion to Librarian III or IV)
Colleagues at other libraries and institutions that can address the candidate's external impact and interpersonal skills.

Supervisor
The person to whom the candidate directly reports. Exceptions to the process will be noted if the candidate reports directly to the Dean, Associate Dean, or Assistant Director.

Associate/Assistant Dean or Director (AD)
The person filling the leadership role for the candidate's division.

Dean
The head of the library.

Human Resources (HR)
The human resources for the library unless otherwise indicated.
**Step 1: Notification of Intent to Seek Promotion**

<table>
<thead>
<tr>
<th>Personnel:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Active:</strong> Candidate, Promotion Coordinator(s), Academic Librarian Committee</td>
</tr>
<tr>
<td><strong>Notified:</strong> Supervisor, AD, Dean</td>
</tr>
</tbody>
</table>

**Time Frame:**
- 2 weeks if intent to pursue promotion was indicated in annual workplan
- 4 weeks if intent to pursue promotion was NOT indicated in annual workplan

The candidate should indicate in their annual workplan that they intend to pursue promotion in the upcoming year and let the Academic Librarian Committee (ALC) know of this intention. If intent wasn’t indicated at the beginning of the year, then an additional 2 weeks’ notice is required so that the ALC can prepare. During this timeframe the candidate and promotion coordinator (PC) will work together to determine if there will be any significant delays in the process due to scheduled absences from the Library. The promotion coordinator will communicate with the Supervisor, AD, and Dean about the upcoming promotion review.

**Promotion from Librarian I to Librarian II**
The candidate will select a promotion coordinator from the members of the Academic Librarian Committee. If a selected ALC member is unable to serve in this role due to time constraints, multiple promotions occurring at the same time, conflict of interest, or other reasons, they may recuse themselves of this duty and the candidate will select another member of the ALC. If two of the members are already recused, the third ALC member will become the PC by default.

**Conflict of interest:** Any conflict of interest should be documented prior to selection of the Promotion Coordinator or the start of the deliberations, whether they are personal or professional. Stated conflicts of interest will be evaluated by the ALC on a case-by-case basis. Except in extreme circumstances, the candidate’s supervisor or Associate/Assistant Dean or Director should not be considered for Promotion Coordinator due to the role they already serve in the promotion process. Additionally, the candidate’s supervisor, Associate/Assistant Dean or Director, and/or formal mentor may not serve as evaluator. The role of the Promotion Coordinator is one of facilitation to keep the process moving, rather than serving as an evaluator, therefore, stated conflicts of interest affecting this role should be rare.

**Promotion from Librarian II to III or Librarian III to IV**
All members of the Academic Librarian Committee will serve jointly in the role of the promotion coordinator unless the candidate is a member of the ALC. If the candidate is a member of the ALC, the remaining two members of the ALC will jointly serve in the role of PC and the candidate will be excluded from participating as a PC in their own promotion.
<table>
<thead>
<tr>
<th>Documentation Submitted to CyBox:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intent form</td>
</tr>
<tr>
<td>Reference Materials:</td>
</tr>
<tr>
<td>Promotion review workflow</td>
</tr>
</tbody>
</table>
Step 2: Submission of Candidate's Documentation

Personnel:

**Active:** Candidate, Library Human Resources

**Notified:** Promotion Coordinator(s), Supervisor, AD, Dean

Time Frame:

*Official start of promotion review may begin at any point once the minimum time below has been met and Step 1 is complete.*

- 3rd Anniversary of appointment
- OR Anniversary when time in rank plus rank credit received upon hire equals 3 years
- OR 3rd Anniversary of reclassification due to last promotion
- OR 1st Anniversary of negative decision in regards to promotion

Candidate will submit documentation and send confirmation of promotion documentation completion to the Promotion Coordinator(s) and HR.

HR will open Box and all documents for PC, Supervisor, AD, and Dean while closing access for the candidate.

**Documentation Submitted to CyBox:**

CV

Summary Statement (500-1500 words)

Position Description(s)–Should already be present in CyBox (Candidate is responsible for making and retaining copies of their PD.)

List of recommended evaluators: at least 2 internal and 2 external (as needed). Candidate may also select 1 person to be excluded as an evaluator.

**Reference Materials:**

CV template—(highlight additions since previous promotion if applicable)

Summary Statement requirements
**Step 3: Selection and confirmation of Evaluators**

<table>
<thead>
<tr>
<th>Personnel:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Active:</strong> Promotion Coordinator(s)</td>
</tr>
<tr>
<td><strong>Notified:</strong> 5-8 Internal Evaluators, 3 External Evaluators (only for promotion reviews to Librarian III or IV)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time Frame:</th>
</tr>
</thead>
<tbody>
<tr>
<td>At most 5 working days for Promotion to Librarian II</td>
</tr>
<tr>
<td>At most 15 working days for Promotion to Librarian III or IV</td>
</tr>
</tbody>
</table>

Promotion Coordinator(s) will review candidate's documentation to make informed selections of evaluators. At least 1 internal evaluator and 1 external evaluator, when necessary, from the candidate's list of potential reviewers will be included.

Evaluators should be people who can provide a more complete view of the candidate.

- Internal evaluators (5-8) can include but are not limited to: committee chairs or members, project co-workers, supervisees, and departmental colleagues. The Promotion Coordinator(s) selects the number of evaluators such that there are representative evaluators for the various aspects of the candidate's professional practice and service. Therefore those with a broader range of job responsibilities would most likely have a larger number of evaluators.
- If needed for the promotion review, External evaluators (3) can include:
  - Professional practice service: Chair or member of a committee or working group on which the candidate serves.
  - Scholarship: Expert in the field (defined as publishing or presenting in a related research area).

The Promotion Coordinator(s) will email potential evaluators to solicit agreement to participate in the review of the candidate.

The Promotion Coordinator(s) will work with HR to allow evaluators to have access to the candidate’s CV and Summary Statement.

Evaluators will receive promotion criteria documents and provide feedback through a survey.

**Documentation Submitted to CyBox:**

- Justification of evaluator selection (Submit this completed form)
<table>
<thead>
<tr>
<th><strong>Reference Materials:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Promotion Matrices</td>
</tr>
<tr>
<td>Templates (Emails to evaluators, Surveys)</td>
</tr>
</tbody>
</table>
### Step 4: Evaluator Feedback

#### Personnel:

**Active**: Internal Evaluators, External Evaluators (promotion to Librarian III or IV)

**Notified**: Promotion Coordinator(s)

#### Time Frame:

- At most 5 working days for Promotion to Librarian II (unless quota not met)
- At most 15 working days for Promotion to Librarian III or IV (unless quota not met)
- At most 1 working day once the survey closes for the PC(s) to generate the survey reports for the Supervisor's review

Evaluators receive the survey and promotion materials as noted in step 3.

The evaluators will fill in all areas where they have personal experience or knowledge in regard to the candidate.

Once the survey closes, the PC(s) will assess whether or not the survey quota was met:

- 80%+ of internal evaluator surveys have been returned
- AND (if applicable) all external evaluator surveys have been returned

Failure to meet these requirements may necessitate the PC(s) to solicit additional reviewers resulting in a delay in the promotion process.

Once the quota(s) has been met, the PC(s) will generate a non-anonymized report for the supervisor. The report will be added to CyBox and the account will be closed to the PC(s).

#### Documentation Submitted to CyBox:

- Completed Surveys
- Survey report
- PC Signature on intent form

#### Reference Materials:

- Qualtrics report template
### Step 5: Supervisor Review and Recommendation

<table>
<thead>
<tr>
<th>Personnel:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Active:</strong> Supervisor</td>
</tr>
<tr>
<td><strong>Notified:</strong> AD</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time Frame:</th>
</tr>
</thead>
<tbody>
<tr>
<td>At most 10 working days for Supervisor to complete their promotion recommendation</td>
</tr>
</tbody>
</table>

After notification that the survey report is available, the Supervisor will prepare a recommendation in the form of a letter or memo for the AD regarding promotion. This is not a repetition of the other materials but an assessment of the candidate in regards to the criteria for promotion. Additional relevant information should be included if necessary. It should include a clear statement whether or not they recommend the candidate for promotion.

<table>
<thead>
<tr>
<th>Documentation Submitted to CyBox:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor's promotion recommendation report/letter</td>
</tr>
<tr>
<td>Supervisor signature on Intent form</td>
</tr>
</tbody>
</table>
Step 6: AD Review and Recommendation

**Personnel:**

**Active:** AD  
**Notified:** Dean, Library HR

**Time Frame:**

At most 5 working days

The AD will review the Supervisor's recommendation report/letter and indicate on the intent form whether or not the AD supports promotion.

The AD has the option to prepare an additional recommendation report/letter for the Dean at this time.

**Documentation Submitted:**

(Optional) AD's Promotion recommendation report/letter  
AD signature on intent form
Step 7: Dean Review and Promotion Recommendation

**Personnel:**

- **Active:** Dean, Library HR
- **Notified:** Candidate

**Time Frame:**

At most 5 working days

The Dean reviews all promotion documentation and decides whether or not to promote the candidate.

The Dean has the option to prepare comments regarding the recommendation for the supervisor to share with the candidate.

Once the Dean has decided, Library HR is notified.

Library HR notifies candidate of the decision.

**Documentation Submitted:**

- Promotion recommendation report/letter
- Dean’s signature on Intent Form
## Step 8: Feedback

**Personnel:**

**Active:** Candidate, Supervisor, AD, Library HR

**Time Frame:**

Within 2 weeks after the promotion review is completed.

The supervisor schedules a time to meet with the candidate within the two weeks following notification of the promotion decision.

The supervisor will provide feedback to the candidate regarding the decision and discuss with the candidate possibilities for future growth. Together, they will identify areas of continued strength and areas with growth opportunities.

A candidate receiving a negative decision is eligible to reapply for promotion no sooner than one year from notification of a negative decision. The purpose of this delay is to give the librarian sufficient time for further growth. If the candidate believes that the outcome has been negatively affected by a procedural discrepancy in the process, they may appeal to the Dean of the library. The Dean is responsible for determining on a case-by-case basis what remedial action, if any, is appropriate.

The final step in a successful promotion, is that the candidate will work with the supervisor and Library HR to update the Position Description (PD) to be submitted to University Human Resources/Classification & Compensation department. Upon review and approval, the promotion will be backdated to the original PD submission date.