PROMOTION AND TENURE
POLICIES AND PROCEDURES

IOWA STATE UNIVERSITY LIBRARY

Table of Contents

PART I. POLICIES ........................................................................................................................................... 1

A. General Policies on Tenure ...................................................................................................................... 1
   1. Eligibility for Tenure .............................................................................................................................. 2
   2. Terms of Probationary Service ............................................................................................................. 2
      a. Extension of Probationary Period ...................................................................................................... 2
      b. Credit for Prior Service .................................................................................................................... 3
   3. Criteria for Awarding Tenure .............................................................................................................. 3

B. Standards for Promotion and Tenure ...................................................................................................... 4
   1. Introduction .......................................................................................................................................... 4
   2. Scholarship .......................................................................................................................................... 4
   3. Areas of Position Responsibilities and Activities .................................................................................. 6
      a. Teaching .......................................................................................................................................... 6
      b. Research/Creative Activities ........................................................................................................... 7
      c. Extension/Professional Practice ...................................................................................................... 7
      d. Institutional Service .......................................................................................................................... 8

C. Qualifications for Academic Rank and Tenure ...................................................................................... 9
   1. Assistant Professor ............................................................................................................................. 9
   2. Associate Professor and/or Tenure ..................................................................................................... 9
   3. Professor ............................................................................................................................................. 9

PART II. PROCEDURES .................................................................................................................................... 10

A. Review Process ......................................................................................................................................... 10
B. Documentation .......................................................................................................................................... 10
C. Committees .............................................................................................................................................. 11
   1. Review Committee ............................................................................................................................... 11
      a. Purpose .......................................................................................................................................... 11
      b. Responsibilities ............................................................................................................................... 11
      c. Composition ................................................................................................................................... 11
      d. Election .......................................................................................................................................... 11
      e. Deliberations ................................................................................................................................... 12
         (1) Process ......................................................................................................................................... 12
         (2) Voting ........................................................................................................................................ 12
         (3) Candidate Comments on References or Review Committee Membership .................................. 12
         (4) Conflict of Interest .................................................................................................................... 12
      f. Confidentiality ................................................................................................................................ 13
PART II. PROCEDURES. COMMITTEES (continued)

2. Advisory Committee ................................................................. 13
   a. Purpose ................................................................. 13
   b. Responsibilities .................................................. 13
   c. Composition ....................................................... 13
   d. Election ............................................................... 13
   e. Deliberations .......................................................... 13
      (1) Process ..................................................... 13
      (2) Voting ......................................................... 14
      (3) Conflict of Interest .................................... 14
      (4) Confidentiality ........................................ 14

D. Administrative Roles ................................................................. 14

   1. Associate Dean/Department Chair ......................................... 14
      a. Notification Regarding Review Committee Members Participating in
         Assessment of Cases ........................................ 14
      b. Assessment of Review Committee Recommendations ........ 14
      c. Recommendation for Promotion and Tenure Form .............. 14
      d. Notification procedure ........................................ 15

   2. Dean .............................................................................. 15
      a. Forwarding of Review Committee/Department Chair
         Recommendations to the Advisory Committee ............... 15
      b. Review and Recommendation by Dean ....................... 15
      c. Notification Procedure ........................................ 15

   3. University Review ................................................................ 15

E. Amendments ............................................................................. 16
In this document the term “department” is understood to refer to the Library as a whole. Library associate deans function as Department Chairs for their divisions in the promotion and tenure process; they are referred to elsewhere in this document simply as Department Chairs. In cases when the immediate faculty supervisor is not the Department Chair, the Department Chair ensures the participation of the supervisor in the administrative assessment and notifies the supervisor of all formal actions.

Part I. Policies

A. General Policies on Tenure

Academic freedom is the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression and to speak or write as a public citizen without institutional discipline or restraint. Academic responsibility implies the faithful performance of academic duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that the individual is not speaking for the institution in matters of public interest.

Tenure is the keystone for academic freedom; it is essential for safeguarding the right of free expression and for encouraging risk-taking inquiry at the frontiers of knowledge. Both tenure and academic freedom are part of an implicit social compact, which recognizes that tenure serves important public purposes and benefits society. The public is best served when faculty are free to teach, conduct research, provide extension/professional practice services, and engage in institutional service without fear of reprisal or without compromising the pursuit of knowledge and/or the creative process.

In return, faculty have the responsibility of furthering high-quality programs of research, teaching, and extension/professional practice, and are fully accountable for their performance of these responsibilities. Additionally, a well-designed tenure system attracts capable and highly qualified individuals as faculty members, strengthens institutional stability by enhancing faculty members’ institutional loyalty, and encourages academic excellence by retaining and rewarding the most meritorious people. Tenure and promotion imply selectivity and choice; they are granted for scholarly and professional merit. The length and intensity of the review leading to the granting of tenure ensures the retention of only productive faculty; periodic performance reviews ensure the continuance of a commitment to excellence.

The system of academic tenure at Iowa State University emphasizes

(1) recruitment of the most highly qualified candidates available, (2) creation of an opportunity for scholarly performance in teaching, research/creative activity, and extension/professional practice, (3) continuing evaluation of performance on the basis of areas of responsibilities in the employment agreement, and (4) the positive evaluation of performance resulting in the award of tenure. The awarding of tenure requires an affirmative decision, based upon an explicit judgment of qualifications resulting from continuous evaluation of the faculty member during the probationary period in light of the applicable criteria.

After the award of tenure, faculty members undergo annual reviews and, as appropriate, reviews for promotion. A tenured faculty member may be dismissed only for adequate cause as defined in the section “Faculty Dismissal Procedures.” Denial of faculty appointment or reappointment, or removal or suspension from office, or censure, or other penalty must not be based upon any belief, expression, or conduct protected by law or by the principles of academic freedom.

Affirmative action and tenure are compatible concepts. Both seek to ensure the hiring and retention of those who are most qualified. In the appointment process, affirmative action operates to ensure that the most qualified available person is identified and is offered the opportunity to join the faculty. After the
initial appointment, the affirmative action program ensures that irrelevant considerations, such as race and gender, play no role in tenure, promotion, and salary decisions.

1. **Eligibility for Tenure**

All regular full-time continuous A- or B-base appointments to the rank of instructor or higher accrue rights to tenure. Tenure is associated with the faculty appointment in an academic department, which includes the Library.

Tenure accompanies appointment to the rank of associate professor or professor unless a probationary period for the new appointee is clearly specified in advance, or unless it is indicated that the appointment does not carry tenure. The latter is used rarely and is limited to instances of term appointments of a special nature or character. For initial appointments at the rank of associate professor or professor without immediate tenure, the Library recommendation as to tenure specifies the length of the probationary period.

After the awarding of tenure, the appointment is continuous. Except for resignation, retirement, or death of the faculty member, such appointments are terminable only for adequate cause.

2. **Terms of Probationary Service**

The date that a non-tenured faculty member actually begins the performance of his or her duties at or on behalf of Iowa State University marks the beginning of the probationary period, except for mid-year appointments. The length of the probationary period must be specified at the time of the initial appointment and should ordinarily be no longer than seven years.

In some instances the beginning date of an appointment does not coincide with the beginning of the academic year. In order to give the probationary faculty member the full opportunity to achieve the credentials required for tenure, the full probationary period for a person whose appointment begins during the academic year may extend a few months beyond seven calendar years. The ending date of the probationary period shall coincide with the end of the academic year in the case of B-base appointments, or the end of the fiscal year in the case of A-base appointments, so that the individual’s tenure review can take place during a regular review cycle.

Tenure normally is conferred on an individual after seven consecutive years of continuous faculty service in a regular appointment at Iowa State University. A faculty member, therefore, is ordinarily reviewed for tenure in the sixth year. Recommendations for earlier awarding of tenure require documentation of truly exceptional accomplishments. Candidates who are reviewed early for tenure and denied will be reviewed again at the normal time.

A faculty member may submit a request to the Dean for an additional review during the final year of the probationary period if there has been a substantial change in the record.

a. **Extension of Probationary Period**

Ordinarily the probationary period will provide sufficient time for the faculty member to demonstrate his or her qualifications for tenure. On occasion, however, special circumstances may occur that would interfere significantly with the faculty member’s opportunity to develop the qualifications necessary for tenure in the time allowed. (The assumption of parental responsibilities or a major change in assigned responsibilities might be examples of such circumstances.) Under such conditions, the faculty member may request, in writing, an extension of his or her probationary period. To be approved by the provost, such a request must be endorsed by the Department Chair and by the Dean. It must be clear in the request that the faculty member agrees that a tenure decision will be reached prior to the end of the new probationary period and that, should the decision be negative, tenure cannot be claimed on the basis that the total length of employment has by then extended beyond seven years.

Since the Library is considered to be one department, department-to-department or division-to-division transfers within the Library are not covered by the university policy for extensions due to transfers between departments.

In general, changes in the Library mission should be gradual and thus be accommodated by respecting employment agreements with faculty members. In the event that a major shift in mission becomes imperative, financial exigency may necessitate actions with respect to both tenured and non-tenured faculty members. When exceptional
circumstances require a major shift in criteria for the awarding of tenure, the Library may request an extension of the probationary period for a faculty member who would not otherwise have adequate opportunity to qualify under the new criteria but who has demonstrated the potential to do so. Such an extension may be granted only with the approval of the faculty member involved, as well as the Dean and the Provost. If granted, the extension shall be for a specified period of time and shall not be renewable.

A probationary faculty member may, in appropriate circumstances, request a leave of absence from Iowa State University. The leave of absence may also involve a request to extend the probationary period. To be approved by the provost, such a request must be endorsed by the Department Chair and by the Dean.

b. Credit for Prior Service

When a faculty member with prior experience in a faculty position at another academic institution is appointed on a probationary faculty appointment at Iowa State University, a probationary period is established for the individual as part of the employment agreement. For the faculty member this could result in a total probationary period in his or her discipline that may exceed seven years.

A faculty member’s usual probationary period of seven years at Iowa State University may be reduced through credit for prior faculty service at other academic institutions. The amount of time credited will be determined by the specific relevance of the prior service to the needs and criteria of Iowa State University. Evidence of the quality of prior service should be secured from the institution or institutions in which the individual has served. It may be beneficial to the faculty member to take little or no tenure credit, if possible, in order to maximize the amount of time available to develop his/her record for attainment of tenure.

Up to one year of time served on a visiting appointment at Iowa State University may be credited as probationary time for tenure purposes, provided that service in such visiting status is followed, without interruption, by service in a position for which tenure eligibility accrues.

3. Criteria for Awarding Tenure

It is the policy of Iowa State University that all faculty of the university shall be clearly informed as to the personnel policies of the institution. Personnel policies of the institution are contained in the Faculty Handbook, the Office Procedure Guide, and in Library governance documents as well as in additional supplemental information provided to Library administrative officers. For each faculty member, the conditions of employment, including the length of appointment, shall be clearly stated in writing, along with a statement specifying tenure status and length of probationary period.

The newest criteria by which probationary faculty in the Library are evaluated for tenure are stated in writing as clearly and specifically as possible in this promotion and tenure document. A central component of each review is a written position responsibility statement for each candidate. Criteria will be consistent with a commitment to excellence in scholarship and apply to the position responsibilities of probationary faculty. Such criteria and position responsibilities must not impinge upon the academic freedom of the probationary faculty.
B. Standards for Promotion and Tenure

1. Introduction

Iowa State University is a public land-grant institution where liberal and professional education is merged with basic and applied research in pursuit of advancing society’s potentials and assisting in solving its problems. The university serves the people of Iowa, the nation, and the world through its interrelated programs of teaching, research/creative activities, and extension/professional practice.

Evaluation of a faculty member for promotion and/or tenure is based primarily on evidence of scholarship in the faculty member’s teaching, research/creative activities, and/or extension/professional practice. For tenure, the evaluation is based on the entire professional career of the faculty member, including time spent at other institutions. For promotion, the evaluation is based on the record of the faculty member since the most recent promotion. In all areas of professional activity, a faculty member is expected to uphold the values and follow the guidelines in the Statement of Professional Ethics found in “Professional Policies and Procedures.”

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual’s current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/professional practice, and (4) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member’s scholarly achievements.

The following sections define and provide examples of scholarship and the four central areas of faculty responsibilities and activities.

2. Scholarship

All tenured and probationary faculty members are expected to engage in scholarship in their teaching, research/creative activities, and extension/professional practice. Scholarship is creative, systematic, rational inquiry into a topic and the honest, forthright application or exposition of conclusions drawn from that inquiry. It builds on existing knowledge and employs critical analysis and judgment to enhance understanding. Scholarship is the umbrella under which research falls, but research is just one form of scholarship. Scholarship also encompasses creative activities, teaching, and extension/professional practice.

Scholarship results in a product that is shared with others and is subject to the criticism of individuals qualified to judge the product. This product may take the form of a book, journal article, critical review, annotated bibliography, lecture, review of existing research on a topic, or speech synthesizing the thinking on a topic. Also falling under the umbrella of scholarship that would apply to librarians are original materials designed for use with the computer; codes and standards; and scholarly articles published in non-research based periodicals, newspapers, and other publications; etc. In short, scholarship includes materials that are generally called “intellectual property.”

Scholarship generally implies that one has a solid foundation in the professional field addressed and is current with developments in that field. However, it must be noted that significant advances sometimes accrue when a scholar extends her or his scope of topics beyond those traditional to a particular discipline. The production of scholarship demonstrates that a librarian is going beyond the accomplishment of daily work in order to make a difference in the profession and/or the institution.

The following Table 1 describes the broad continuum of scholarship. It is adapted from Conrad J. Weiser, “The Value of a University—Rethinking Scholarship,” draft version; and Ernest L. Boyer, Scholarship Reconsidered—Priorities of the Professoriate (Princeton, New York, The Carnegie Foundation for the Advancement of Teaching, 1990).
Table 1. The Nature of Scholarship

<table>
<thead>
<tr>
<th>Character of scholarship</th>
<th>Audiences for scholarship</th>
<th>Means of communicating scholarship</th>
<th>Criteria for validating scholarship</th>
<th>Means of documenting scholarship</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develops and communicates new understanding and insights. Generates, synthesizes, interprets, critically analyzes, and communicates new knowledge, methods, understandings, technologies, materials, uses, insights, beauty and so forth.</td>
<td>Peers, undergraduate students, graduate students, post-doctoral associates, users, patrons, publics, etc.</td>
<td>Teaching materials and methods, classes, curricula; publications, exhibits, performances, patents, copyrights, distribution of materials or programs, etc.</td>
<td>Originality, significance, accuracy, replicability, scope, applicability, breadth, depth and duration of influence, persistence of influence or use, adoption by peers, impact or public benefit, etc.</td>
<td>Present evidence that creative intellectual work was validated by peers; communicated to peers and broader audiences; recognized, accepted, cited, adopted, or used by others. In other words, that it made a difference.</td>
</tr>
</tbody>
</table>

Table 1 describes the parameters to be used when judging the scholarly nature of a faculty member’s achievements in all evaluation reviews.

The nature of scholarly work at a diverse university necessarily varies. In the promotion and tenure review process, however, evidence that a significant portion of a faculty member’s scholarship has been documented (i.e., communicated to and validated by peers beyond the university) is required of all.

In the library field, refereed journals and monographs are the traditional media for documenting scholarship; in some areas of librarianship, exhibitions are an additional appropriate form. Emerging technologies are creating (and will continue to create) entirely new media which may be used by librarians. Finally, scholarship may be validated and communicated through conference presentations and invited lectures.

Faculty also may submit evidence of scholarship that has not been documented by peers in the discipline, even though this evidence alone would not be sufficient to justify promotion and tenure. Evidence regarding both documented and undocumented scholarship provides a holistic portrayal of the candidate’s scholarly work. For example, major in-house reports or manuals in and of themselves do not constitute scholarship. However, if these materials reveal that a librarian “communicates new understandings and insights” (Table 1) effectively to the report or manual users, or “synthesizes, interprets, and communicates new knowledge” (Table 1) for these users, this material may be submitted as supporting evidence of scholarship, even though it may not have been communicated to peers outside the university.

Scholarship often requires teamwork and other collaborative relationships, particularly because of the growth of interdisciplinary and collaborative programs. When work that is a result of joint effort is presented as evidence of scholarship, clarification of the candidate’s role in the joint effort must be provided.

In the promotion and tenure review process, the emphasis is on the critical evaluation of the scholarly nature of the candidate’s achievements by professional peers, including peers external to the university. Evidence should be presented as to the impact of the scholarship in terms of its depth, duration, and/or persistence of influence or use (e.g., citations, adaptations or use by others), as well as its public and critical appreciation. Table 1 provides the framework for the evaluation.
3. Areas of Position Responsibilities and Activities

In carrying out their responsibilities and activities, faculty will support the university’s commitment to diversity by fostering an environment of mutual respect.

The following paragraphs provide examples of activities that may be documented in each area of faculty responsibility as well as methods by which scholarship within these areas is communicated and evaluated. Teaching, research/creative activities, and extension/professional practice are central to the mission of Iowa State University. Institutional service is an important contribution that faculty members make to ensure effective governance at all levels of the university.

a. Teaching

Many Library Faculty have teaching responsibilities, and for those with teaching as a position responsibility, the quality of their teaching is an important factor in evaluating their accomplishments and performances. Teaching is a scholarly and dynamic endeavor and covers a broad range of activities. Some examples of teaching activities include:

- working closely with a teaching faculty member in course-related instruction to integrate information literacy skills into a course. Such work may involve creating handouts to support their research, teaching one or more classes for the course, and/or consulting one-on-one with the students in the course
- working closely with the Library 160 program, whether contributing to the update or reorganization of the workbook, working on the online tutorials, staffing the Library 160 lab, or directing the classes that begin the sessions
- working on activities that develop online resources for courses
- teaching courses in other academic departments
- presenting resident credit courses, extension and international programs and courses, non-credit seminars and workshops, and continuing-education and distance-learning programs
- serving on masters and doctoral committees

Particular expressions of effective teaching vary widely, and teachers may demonstrate their pedagogical skills in a variety of ways. Some may display their pedagogical abilities in organized lectures; others may promote collaborative learning or may improvise in the classroom in response to the dynamics of a specific group, while still others may be adept in facilitating group discussion.

When teaching is part of the faculty assignment, effectiveness is an essential criterion for advancement. Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning.

Examples of activities that provide evidence of a Library Faculty member’s particular commitment to effective teaching include:

- contributions to curricular development, including collaborative courses and programs and service on curriculum committees
- pedagogical innovation, including the incorporation of new technologies and approaches to learning and assessment
- documented study of curricular and pedagogical issues, and incorporation of this information into the classrooms
- development of teaching materials
- pedagogically oriented research
- involvement in student research projects
- contributions to professional societies and organizations that seek to improve teaching

A portfolio format is used to document faculty teaching activities beyond what is contained in the candidate’s vita. The faculty portfolio includes materials such as teaching philosophy, student ratings of teaching, teaching materials and forms of assessment, peer evaluations based on both classroom observations and review of teaching materials, and evidence of student learning.
The effectiveness of the candidate’s teaching activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1.

The scholarship resulting from teaching is documented through such means as peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures and conference papers. Evaluation of scholarship in teaching considers its originality, significance, and/or impact as evidenced by its influence, use, or adoption by peers. While production of teaching materials and surveys of student attitudes about classes are valuable indicators of the scholarship of teaching, peer evaluation of both a faculty member’s and her/his students’ performances in classes and in subsequent coursework are also appropriate assessments. Such assessments of performance need not be published or disseminated to publics outside the university.

b. Research/Creative Activities
Faculty members who engage in research/creative activities are expected to make original contributions that are appropriate to their chosen area of specialization and that are respected by peers within and outside the university.

Some examples of research/creative activity include:

- conducting experimental research
- preparing exhibitions, e.g., developing displays or exhibits relating to the impact of libraries and other information issues on society and culture, whether virtual or traditional
- conceptualizing and theorizing in an original way
- creating synthesis, criticism, and clarification of extant knowledge and research; e.g., preparing bibliographies, compilations, essays relating to library issues, historical studies, and analyses of library practices
- conducting innovative collection or analysis of empirical data; e.g., surveys and time-cost studies
- seeking and obtaining competitive grants and contracts to enhance library services or library-related research; e.g., USAIN Grant, Carver Trust Grant, Miller Faculty Fellowship
- relating research to the solution of practical problems; e.g., utilizing a survey or interactive electronic methods to solve a practical problem within the Library or in the library field
- demonstrating leadership in professional societies or organizations in areas relating to research

A portfolio format is used to document faculty research/creative activities beyond what is contained in the candidate’s vita. The faculty portfolio includes materials such as summaries of completed, current, and future research projects; descriptions of applied use of research; summaries of grants; and exhibition catalogs.

The effectiveness of the candidate’s research/creative activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1.

Scholarship is the outcome of research, when it is validated by one’s professional peers. Scholarship resulting from research/creative activities is documented through means appropriate to the specialty, such as peer-reviewed publications, lectures, performances, exhibits, invited lectures, conference papers. Evaluation of scholarship considers its impact as judged by its influence, use, or adoption by peers; its originality, richness, breadth and/or depth of expression.

c. Extension/Professional Practice
Extension/professional practice distinguishes Iowa State as a land-grant university. While librarians do not generally engage in extension activities, their primary faculty responsibility in librarianship falls under the category of professional practice. Faculty members may engage in extension/professional practice activities by utilizing their professional expertise to disseminate information outside of the traditional classroom to help improve the knowledge and skills of their clientele (i.e., the publics they serve) or the Environment in which they live and work. This work should be related to the faculty member’s position responsibilities.
Examples of activities that fall within extension/professional practice include:

- organizing/leading workshops or training sessions
- preparing informational and instructional materials
- supervising the operation of units within the Library which perform library services and functions
- acquiring, organizing, and interpreting information resources
- engaging in technology transfer
- consulting
- serving on agencies or boards because of individual expertise
- serving as a referee for journals, books, grants, exhibitions, etc.
- serving as an editor for a journal or serving on editorial boards
- demonstrating leadership in professional societies or organizations; e.g., committee service, active task force participation on relevant issues, special appointments to organizations, providing comments that have an impact on issues being considered by societies and organizations, reporting for organizational newsletters

Since extension/professional practice activities vary greatly among departments, it is the responsibility of the Library Faculty to identify faculty activities that fall under this category and the appropriate evaluation methods.

Faculty who engage in extension/professional practice are knowledgeable about current research and new developments in their discipline and demonstrate an ability to interpret and apply this knowledge to meet their clients’ requirements. When appropriate, they develop and maintain professional relationships with their clientele in order to identify and serve their needs. They display leadership and initiative, are creative in the practical application of knowledge, and demonstrate a high level of disciplinary expertise, as well as the ability to instruct, inform, and assist clients. In addition, a faculty member’s professional practice reputation may be reflected by leadership in professional societies and organizations or by significant editorial-related activities.

A portfolio format is used to document faculty professional practice activities beyond what is contained in the candidate’s vita. The faculty portfolio includes materials such as descriptions of appointment responsibilities in extension/professional practice, representative workshop, seminar, and training materials; book reviews; unpublished reports, studies, etc.; newsletters and brochures; peer evaluations or ratings of extension/professional practice effectiveness; and client assessments.

The effectiveness of the candidate’s extension/professional practice activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1. The scholarship resulting from extension/professional practice activities is documented through means appropriate to the professional specialty, such as peer-reviewed publications, lectures, videos, software, hardware, workbooks, manuals, standards, bibliographies, book reviews, and casebooks.

Evaluation of scholarship should consider breadth, depth, and duration of influence or use; public appreciation and benefit; and applicability or adoption by peers.

d. Institutional Service

Faculty members are expected to play a vital role in the functioning of the university at all levels by participating effectively in faculty governance and in the formulation of library, and/or university policies; or by carrying out administrative responsibilities. Therefore, to be promoted and/or tenured, faculty members are expected to have been involved in institutional service. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. However, institutional service alone shall not serve as the central basis for promotion and/or tenure. As citizens of the university, faculty members may also make other direct and indirect contributions to the Library, college, and university communities. Service to professional organizations outside the university is considered part of professional practice, teaching or research, whether or not such service results from the faculty member’s reputation.
C. Qualifications for Academic Rank and Tenure

Recommendations for initial appointment and promotion are based on evidence that the individual has met the qualifications for the faculty rank to which he or she is to be appointed or promoted. Assessment will be based upon a review of the case as submitted by the candidate and letters of reference from qualified evaluators.

The Library promotion and tenure review committee will evaluate the qualifications of the candidate prior to the final tenure review at the following times:

Preliminary Tenure Review: 36 months prior to the date of the final tenure review. Level of performance is determined by examination of the candidate’s vita and evaluation of letters of reference and supporting documentation. The candidate must be making significant progress towards excellence in scholarship, effectiveness in areas of position responsibilities, and satisfactory institutional service.

In addition, those who wish to receive a non-scheduled, pre-tenure or pre-promotion review may petition the promotion and tenure review committee to perform such a review. All such reviews will occur during the committee's normal review period, which begins the first working day in June.

1. Assistant Professor
   An assistant professor should have a strong academic record and ordinarily should have earned the accepted highest degree in his or her field. The assistant professor rank is recognition that the faculty member has exhibited the potential to grow in an academic career. Appointment at or promotion to this rank should be based on evidence that the faculty member can be expected to become qualified for promotion to associate professor in due course.

2. Associate Professor and/or Tenure
   An associate professor should have a solid academic reputation and show promise of further development and productivity in his or her academic career. The candidate must demonstrate:
   - excellence in scholarship that establishes the individual as a significant contributor to the field or profession, with potential for national distinction
   - effectiveness in areas of position responsibilities
   - satisfactory institutional service
   
   Furthermore, a recommendation for promotion to associate professor and granting of tenure must be based upon an assessment that the candidate has made contributions of appropriate magnitude and quality and has a high likelihood of sustained contributions to the field or profession and to the university. For tenure, contributions from the entire professional career of the candidate are assessed; for promotion to associate professor, the contributions made by the candidate since the candidate’s most recent promotion are the basis of evaluation.

3. Professor
   A professor should be recognized by his or her professional peers within the university, as well as nationally and/or internationally, for the quality of the contribution to his or her discipline. The candidate must demonstrate:
   - national distinction in scholarship, as evident in candidate’s wide recognition and outstanding contributions to the field or profession
   - effectiveness in areas of position responsibilities
   - significant institutional service
   
   Furthermore, a recommendation for promotion to professor must be based upon an assessment, since the last promotion, that the candidate has made contributions of appropriate magnitude and quality and has demonstrated the ability to sustain contributions to the field or profession and to the university.
Part II. Procedures

A. Review Process

Faculty are reviewed for promotion and tenure according to a schedule established by the Dean when they are hired, based upon the Library Information and Policies Manual, the Library Promotion and Tenure Policies and Procedures, and the individual faculty member’s professional experience. For appointments involving tenure credit and/or rank above assistant professor, the recommendation of the promotion and tenure advisory committee also is considered by the Dean. Credit toward tenure may be reflected in these dates; however, a conservative approach is taken toward the granting of tenure credit, since it reduces the amount of time available for achievement of tenure.

Ordinarily the probationary period will provide sufficient time for the faculty member to demonstrate his or her qualifications for tenure. Occasionally, however, special circumstances such as the assumption of parental responsibilities or a major change in work assignment may occur that would interfere significantly with the faculty member’s opportunity to develop the qualifications necessary for tenure in the time allowed.

Faculty normally receive preliminary and final tenure reviews. Each year the Dean notifies faculty eligible for promotion and/or tenure review. Copies of notification are sent to the supervisor, department head, and Department Chair. Individuals eligible for promotion review must petition the Dean if they wish to be considered. Preliminary reviews are initiated automatically.

Negative tenure decisions require a one-year notice prior to the end of the faculty member’s contract.

The review and advisory committees are elected at large from slates of eligible tenured members of the Library Faculty. All tenure-track faculty are eligible to vote. It is the responsibility of all tenured faculty to participate in the peer review process by standing for election to the committees. However, in consideration of the major workload associated with service on the promotion and tenure committees, faculty may petition the Dean to have their name withdrawn from the ballot for one year after having served two consecutive terms on the promotion and tenure committees. In unusual circumstances, faculties who have not served two consecutive terms may petition the Dean to be excused from service for a particular year.

B. Documentation

Faculty members must maintain their own promotion and tenure files.

Each candidate must provide the following documentation for reviews:

- A promotion and tenure vita, submitted both in print and in electronic format (see Vita)
- A faculty portfolio consisting of important and supplemental material relating both to scholarship and areas of position responsibilities and activities (see Faculty Portfolio)
- A “Summary of Scholarship and Performance” document both in print and in electronic format (see Summary Statement)
- The current position responsibility statement and any prior statements for the period under review (official copies from the Dean’s Office)
- The names, addresses, phone numbers, fax numbers, and e-mail addresses of references (see Letters of Reference)

While the review is in progress, the candidate may submit significant updates appropriate to review committee deliberations until the date listed in the calendar appropriate for their review. Thereafter, significant changes to activities listed as in-progress on the vita should be forwarded to the Department Chair.
C. Committees

1. Review Committee

a. Purpose
The review committee considers all tenure-track faculty for promotion, pre-tenure, and tenure actions, and makes recommendations to the appropriate Department Chair regarding these reviews. It is not an appellate committee.

b. Responsibilities
The committee thoroughly evaluates all cases and reports the results of its findings and its recommendation in writing to the Department Chair. The committee’s written evaluation of a case should not be statement of advocacy but should address both the strengths and relative weaknesses in the candidate’s record of performance. It should summarize the primary points made by evaluators, both internal and external, and should include assessments of the following:

- The candidate’s accomplishments in scholarship
- The candidate’s performance in his or her areas of responsibility
- The candidate’s prospects for future contributions to the field and the library
- The candidate’s role and contributions to department, division, and library missions

In addition to the committee’s written evaluation and its recommendations regarding promotion and/or tenure, the committee's report to the Department Chair will include the signed vote count and all documentation on which the review was based. Prior to the submission of its report to the Department Chair, a member of the committee will hand-deliver a copy of the committee’s evaluation and recommendations confidentially to the candidate. The candidate will be given five working days to comment in writing regarding any factual inaccuracies found therein that can be documented either by the candidate’s vita or faculty portfolio, as amended prior to the last working day in September.

The committee should frame any negative recommendation in as constructive a manner as possible and, when appropriate, should include guidance for improving performance in terms of the criteria for promotion and tenure.

The committee prepares preliminary tenure review reports for all evaluated probationary faculty members. These reports should provide clear indications of how well the candidates are meeting the specific criteria for each level of tenure review and concrete suggestions for future development. The review committee will meet with the candidates individually to discuss the reports. Each candidate is given a copy of his or her report; additional confidential copies are distributed to the Department Chair.

c. Composition
The promotion and tenure review committee is composed of seven tenured faculty members elected at-large without regard to rank. Newly-tenured faculty are eligible for election to the review committee in the year following receipt of notice of tenure.

Review committee members serve two-year staggered terms. The Dean, associate deans, and members of the library promotion and tenure advisory committee are excluded from membership on the review committee. Faculty members who are under consideration for promotion or tenure, their spouses, blood relatives, or relatives by marriage as defined in the ISU Office Procedures Guide, may not serve on the review committee and, if currently serving, must resign.

d. Election
The Library Faculty officers conduct the election of the promotion and tenure review committee and count the ballots. Faculty receiving the most votes for the number of open positions will be elected. In the case of a tie vote, a run-off election will be held with a ballot being sent within two working days following the original vote count. Faculty members will have two working days to return their completed ballots. In the case of a
resignation on or before the last working day in December, the individual with the next highest vote count will be selected by Library Faculty officers to complete the term. In the case of a resignation after the last working day in December, a replacement will be elected during the next regular election to serve out the remainder of the term.

The chair of the review committee reports to the Department Chair which review committee members will be involved in assessing each individual candidate’s case.

e. Deliberations

1) Process
The review committee will select its own chair who will serve as the point of contact with the Department Chair. A quorum will be a majority of members eligible to consider a case. Upon receipt of all documentation, the review committee will examine the materials submitted by the candidates and all other relevant information. In addition to the vita, faculty portfolio, position responsibility statements, other accompanying documentation, and letters of reference for the cases under consideration, the review committee will read official reports written by past review committees and corresponding appeals submitted by the candidate, and candidate comments on factual accuracy of documentation. For promotion reviews, the review committee will be limited to viewing previous review committee reports that concern the promotion to the rank being considered and that were written within five years of the current review. For tenure reviews, the review committee will read all previous tenure review reports for each candidate.

Requests by the review committee for information will be made in writing. Correspondence will be sent to the committee chair.

Occasionally, the committee may be asked by the Department Chair to reconsider a case following issuance of the committee’s final report. This can occur in those rare situations where activities in-progress and listed on the candidate’s vita have changed significantly and hold enough importance to potentially affect the candidate’s review, e.g., successful completion of a major project which was in progress during the committee review process, or acceptance of an article already submitted. The committee’s reconsideration of the case will be limited to review of these identified activities and their impact on the overall case. Reconsideration can result in a new vote by the committee.

2) Voting
A quorum is required for voting. All voting will be by signed, written ballot. Votes will be recorded and the names of those voting will be noted in each final committee report. No abstentions from those eligible to vote will be allowed. An affirmative vote of the review committee will be more yes than no votes.

3) Candidate Comments on References or Review Committee Membership
If the candidate wishes to make any comments regarding potential references, or potential conflicts of interest with committee members, this should be done in writing by the 1st working day in June. The review committee will give the candidate’s statement full consideration and will place it with the promotion/tenure case.

4) Conflict of Interest
Any member of the review committee who has a conflict of interest with respect to a candidate shall not participate in the consideration of that individual or have access to review materials. A conflict of interest may exist if the committee member has a relationship with a candidate that would hinder an objective review of the case. The chair may, after consultation with the committee, remove a member from consideration of a case if it is determined that a conflict of interest exists.
f. **Confidentiality**
   Deliberations of the review committee are privileged and will be kept in strict confidence. Documentation will be kept centrally in the library administration office. Access to documentation will be limited to current committee members eligible to conduct the review, the associate dean, and the Dean. Draft reports will be treated as confidential material in the creation and discard process. The Dean will retain for seven years all letters of reference submitted to the review committee for deliberation. During this period only the Dean will have access to these letters unless the candidate in question asks a future review committee to refer to a specific previous letter.

2. **Advisory Committee**
   
   a. **Purpose**
   The advisory committee serves in an advisory role to the Dean on all promotion and tenure cases considered by the review committee and the Department Chair except for negative promotion decisions. In addition, it advises the Dean on recommendations for non-renewal of appointment and provides recommendations on tenure credit and appointment rank for new faculty. It is not an appellate committee.

   b. **Responsibilities**
   The committee considers all review committee and/or Department Chair recommendations for promotion and/or tenure. In addition, the committee shall review, for procedural correctness only, negative recommendations for final tenure. The committee provides the Dean with a written assessment of the cases forwarded to it. It will be the responsibility of the committee to judge the merits of the recommendations from the review committee and Department Chair and to advise the Dean as to which recommendations should be approved and as to the relative rankings of persons within categories of promotion.

   The committee considers all nonrenewals of appointment and makes recommendations to the Dean on tenure credit and/or rank above assistant professor for new faculty.

   c. **Composition**
   The promotion and tenure advisory committee is composed of three tenured faculty who hold the rank of professor or associate professor, and who have served at least one (1) term on the Promotion and Tenure Review Committee without regard for when said service occurred. Advisory Committee members serve two-year staggered terms. The Dean, the associate deans, and members of the promotion and tenure review committee are excluded from membership on the advisory committee. Faculty members, who are under consideration for promotion or tenure, their spouses, blood relatives, or relatives by marriage as defined in the ISU Office Procedure Guide, may not serve on the advisory committee and, if currently serving, must resign.

   d. **Election**
   The Library Faculty officers conduct the election of the promotion and tenure advisory committee and count the ballots. Faculty receiving the most votes will be elected to the open positions. In the case of a tie vote, a run-off election will be held with a ballot being sent within two working days of the original vote count. Faculty members will have two working days to return their completed ballots. In the case of a resignation, the Library Faculty officers will select a replacement to complete the remainder of the term.

   e. **Deliberations**
   
   1) **Process**
   The advisory committee will select its own chair and determine its working rules and procedures. A quorum will be all members eligible to consider a case. Upon receipt of all documentation, the advisory committee will examine the materials forwarded to it by the Dean and make a report to the Dean. Judgments will be based on the documentation considered by the review committee and previous review committee reports as appropriate and governed by the criteria in the Faculty Handbook and as specified in this document. The advisory committee may have
access to all documentation considered by the review committee and previous relevant review committee reports.

2) Voting
A quorum is required for voting. All voting will be by signed, written ballot. Votes will be recorded and the names of those voting will be noted in the final committee report. No abstentions from those eligible to vote will be allowed. An affirmative vote of the advisory committee will be more yes than no votes.

3) Conflict of Interest
Any member of the advisory committee who has a conflict of interest with respect to a candidate shall not participate in the consideration of that individual or have access to review materials. A conflict of interest may exist if the committee member has a relationship with a candidate that would hinder an objective review of the case. The chair may, after consultation with the committee, remove a member from consideration of a case if it is determined that a conflict of interest exists.

4) Confidentiality
Deliberations of the advisory committee are privileged and will be kept in strict confidence. Access to documentation will be limited to current committee members eligible to conduct the review and the Dean. Draft reports will be treated as confidential material in the creation and discard process. The final report of the committee will be retained in the Dean’s confidential file.

D. Administrative Roles

1. Associate Dean/Department Chair
Library associate deans serve as Department Chairs for their divisions in the promotion and tenure process. In cases where the associate dean is under review, another associate dean will be selected by the Dean to serve as Department Chair for that division.

   a. Notification Regarding Review Committee Members Participating in Assessment of Cases
   Based on information received from the chair of the review committee, the Department Chair by the last working day in June notifies each candidate in writing of the identity of the review committee members who will participate in the assessment of his or her case.

   b. Assessment of Review Committee Recommendations
   The Department Chair receives and assesses the review committee recommendations for promotion/tenure candidates with primary assignments in his or her division. The Department Chair’s assessment of the recommendations is based upon the Department Chair’s own knowledge, other supervisory assessment, the documentation forwarded by the review committee and any new significant information that the candidate has presented to the Department Chair since the last working day in September. If this new information is important enough that it could significantly change the candidate’s case, the Department Chair may return the case to the review committee.

   The Department Chair is responsible for fully evaluating each case according to the library criteria, and completing the Recommendation for Promotion/Tenure Form. The report for each candidate needs to include a summary of each letter of reference covering both positive and negative remarks and a statement regarding the significance of the evaluators’ credentials.

   c. Recommendation for Promotion and Tenure Form
   The Department Chair prepares a Recommendation for Promotion and Tenure form for each person whom the review committee has recommended for promotion and/or tenure. The Department Chair also may prepare a Recommendation for Promotion and Tenure form for a candidate whom the review committee has not recommended for
promotion and/or tenure. (This form is to be completed for all promotion and tenure cases except when a candidate is being considered for promotion only—that is, without tenure consideration—and the recommendations of the review committee and Department Chair are both negative. In such cases, a statement from the Department Chair indicating the reasons for his or her recommendation is sufficient.) The Department Chair forwards the recommendation forms to the Dean and informs the review committee of his or her recommendations.

The Recommendation for Promotion and Tenure form includes the Department Chair’s evaluation of the candidate, the votes and reports of the review committee, and the Department Chair’s recommendation. The Department Chair’s evaluation of a case should not be statement of advocacy but should address both the strengths and relative weaknesses in the candidate’s record of performance. It should summarize the primary points made by evaluators, both internal and external, and should include assessments of the following:

- The candidate’s accomplishments in scholarship
- The candidate’s performance in his or her areas of responsibility
- The candidate’s prospects for future contributions to the field and the library
- The candidate’s role and contributions to department, division, and library missions

d. Notification Procedure

Before submitting recommendations to the Dean, the Department Chair will inform each candidate in writing whether a recommendation will be forwarded, and, if so, the nature of the recommendation or recommendations. The Department Chair will inform in writing persons who are not recommended by either the review committee or the Department Chair, or both, as to the reasons for non-recommendation. The Department Chair should frame this in as constructive a manner as possible and, when appropriate, should include guidance for improving performance in terms of the criteria for promotion and tenure.

2. Dean

a. Forwarding of Review Committee/Department Chair Recommendations to the Advisory Committee

The Dean receives the review committee/Department Chair recommendations from the Department Chair and forwards them to the advisory committee for their consideration.

b. Review and Recommendation by Dean

Following action by the advisory committee, the Dean reviews the recommendations from the review committee, the Department Chairs, and the advisory committee, and presents his or her recommendation in each case to the provost, along with the recommendations and votes of the review and advisory committees, the Department Chair report, and supporting material and documentation.

c. Notification Procedure

The Dean will inform in writing each candidate, the respective Department Chair, and the advisory committee of his or her recommendations. If the Dean’s recommendation contradicts those of the review committee or the Department Chair, the Dean will summarize in his or her written recommendation the reasons for this.

Upon receipt of the Dean’s recommendation, the Department Chair will inform the review committee of the Dean’s decision.

3. University Review

Review for promotion and/or tenure concludes at the university level. See the University Promotion and Tenure document for detailed information.
E. Amendments

Amendments to this document may be initiated by either promotion and tenure committee, an ad hoc committee appointed by the Dean, or other Library Faculty members. Those wishing to recommend amendments should present them to the Chair of the Library Faculty. Amendments must maintain compatibility between library and university promotion and tenure documents. Amendments are sent to the faculty two weeks in advance of a vote. The Library Faculty officers conduct the vote and count the ballots. Approval will be by a majority of those voting. Amendments approved by the Library Faculty shall be forwarded to the Dean for action. The Dean will review the amendments and announce his/her final action to the Library Faculty. As appropriate, the Dean sends the amended document to the Provost for final approval.
### PROMOTION AND TENURE POLICIES AND PROCEDURES

**IOWA STATE UNIVERSITY LIBRARY**

<table>
<thead>
<tr>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic freedom .................................. 1, 4</td>
</tr>
<tr>
<td>Defined ........................................... 1</td>
</tr>
<tr>
<td>Advisory committee, promotion and tenure .. ................................................. 10, 13-14, 15</td>
</tr>
<tr>
<td>Affirmative action .................................. 2</td>
</tr>
<tr>
<td>Amendments .............................................. 16</td>
</tr>
<tr>
<td>Associate dean role ............................. 14-15</td>
</tr>
<tr>
<td>Assistant professor qualifications ............... 9</td>
</tr>
<tr>
<td>Associate professor qualifications ............... 9</td>
</tr>
<tr>
<td>Conditions of employment ...................... 3</td>
</tr>
<tr>
<td>Confidentiality .................................. 13, 14</td>
</tr>
<tr>
<td>Conflict of interest ............................. 12, 14</td>
</tr>
<tr>
<td>Credit for prior service ...................... 3, 13</td>
</tr>
<tr>
<td>Dean of the Library role ......................... 15</td>
</tr>
<tr>
<td>Department Chair ................................. 14-15</td>
</tr>
<tr>
<td>Defined .............................................. 1, 14</td>
</tr>
<tr>
<td>Documentation ...................................... 10</td>
</tr>
<tr>
<td>Extension /professional practice .............. 7-8</td>
</tr>
<tr>
<td>Extension of probationary period .............. 2-3</td>
</tr>
<tr>
<td>Final tenure review ................................ 9</td>
</tr>
<tr>
<td>General policies .................................. 1-3</td>
</tr>
<tr>
<td>Grants ................................................ 7</td>
</tr>
<tr>
<td>Institutional service ................................ 8</td>
</tr>
<tr>
<td>Negative tenure decisions ....................... 10</td>
</tr>
<tr>
<td>Notification procedure ......................... 15</td>
</tr>
<tr>
<td>Policies ............................................ 1-9</td>
</tr>
<tr>
<td>Portfolios ........................................... 6, 7, 8</td>
</tr>
<tr>
<td>Position responsibility statement .............. 4</td>
</tr>
<tr>
<td>Preliminary tenure review ....................... 9</td>
</tr>
<tr>
<td>Prior experience .................................. 3</td>
</tr>
<tr>
<td>Probationary service ............................. 2, 9</td>
</tr>
<tr>
<td>Extension of ...................................... 2-3</td>
</tr>
<tr>
<td>Leave of absence during ....................... 3</td>
</tr>
<tr>
<td>Procedures ......................................... 10-16</td>
</tr>
<tr>
<td>Professional practice ................................ 7-8</td>
</tr>
<tr>
<td>Professional societies and organizations .... 8</td>
</tr>
<tr>
<td>Professor qualifications ................................ 9</td>
</tr>
<tr>
<td>Promotion and tenure advisory committee ......... see Advisory committee</td>
</tr>
<tr>
<td>Promotion and tenure review committee ......... see Review committee</td>
</tr>
<tr>
<td>Promotion review .................................. 10</td>
</tr>
<tr>
<td>Qualifications for academic rank and tenure ........................................ 9</td>
</tr>
<tr>
<td>Recommendation for Promotion and Tenure Form ........................................... 14</td>
</tr>
<tr>
<td>References ............................................. see Letters of Reference</td>
</tr>
<tr>
<td>Research .............................................. 7</td>
</tr>
<tr>
<td>Review committee, promotion and tenure ........ 10, 11-13</td>
</tr>
<tr>
<td>Review process ..................................... 10</td>
</tr>
<tr>
<td>Scholarship ........................................... 4-6, 7, 8</td>
</tr>
<tr>
<td>Defined ............................................. 4-5</td>
</tr>
<tr>
<td>Nature of scholarship table ..................... 5</td>
</tr>
<tr>
<td>Parameters to be used for judging scholarship ............................................ 5</td>
</tr>
<tr>
<td>Service, institutional ................................ 8</td>
</tr>
<tr>
<td>Standards for promotion and tenure ............. 4-8</td>
</tr>
<tr>
<td>Teaching ............................................ 6-7</td>
</tr>
<tr>
<td>Tenure ................................................. 3</td>
</tr>
<tr>
<td>Criteria for awarding .......................... 3</td>
</tr>
<tr>
<td>Early awarding of .................................. 2</td>
</tr>
<tr>
<td>Eligibility ........................................... 2</td>
</tr>
<tr>
<td>Review during final year of probation ............ 2, 10</td>
</tr>
<tr>
<td>Tenure committees ................................. see Advisory committee and Review committee</td>
</tr>
<tr>
<td>Tenure credit ....................................... 3, 10</td>
</tr>
<tr>
<td>Transfers between library departments .......... 2</td>
</tr>
<tr>
<td>University review .................................. 15</td>
</tr>
<tr>
<td>Visiting appointments ................................ 3</td>
</tr>
</tbody>
</table>