

**UNIVERSITY AT ALBANY, STATE UNIVERSITY OF NEW YORK
UNIVERSITY LIBRARIES**

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

(section 3.2.2. in faculty handbook)

PREAMBLE

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

These procedures combine in one document the internal procedures of the Library, the procedures and responsibilities set forth in Article XII of Section II of the University at Albany Faculty Handbook, and additional information and guidelines derived from the following documents:

State University of New York, Policies of the Board of Trustees, 1989. (Cited as Policies of the Board of Trustees).

United University Professions, Agreement between the State of New York and United University Professions, 1988-1991. (Cited as UUP Agreement).

University at Albany, State University of New York Faculty Handbook, 1989-90. (Cited as University at Albany, SUNY Faculty Handbook).

Guidelines for the Preparation of Recommendations for Promotion and Continuing Appointment, issued annually by Office of Academic Affairs. (Cited as Guidelines).

This document is a compilation of information from official sources as it applies to the University Libraries. For complete information on University Procedures, refer to the official University documents cited above. Dates for Promotion and Continuing Appointment actions are provided in the "Calendar for Completion of Actions," included in the Guidelines. Copies of the Calendar will be distributed to the Library Academic Faculty each year, upon receipt from the office of the Provost for Academic Affairs.

I. Criteria

The criteria used in these procedures will be those specified in the document "Evaluation of Library Academic Faculty for Promotion and Continuing Appointment." (9/30/03).

II. Promotion in Rank

Promotion is available to Senior Assistant and Associate Librarians in accordance with the provisions of the Policies of the Board of Trustees, Article XII (Evaluation and Promotion of Academic and Professional Employees), Title B (Promotion of Academic Employees). No minimum length of service in any academic rank shall be required for promotion. Promotion carries with it no commitment of continuing appointment. (SUNYA Faculty Handbook, Section III, Article XII, Section II.).

[Promotion from Assistant to Senior Assistant Librarian is part of the term review process. Policies for this promotion are addressed in divisional term review documents.]

III. Continuing Appointment

Continuing Appointment is available to Library academic faculty in accordance with the

provisions of the Policies of the Board of Trustees, Article XI (Appointment of Employees), Title B (Continuing Appointment). A continuing appointment carries with it no commitment about future promotions or salary increases (SUNY Faculty Handbook, Section III, Article XII, Section III). Continuing appointment is available to librarians and associate librarians within three years. Continuing appointment is available to senior assistant librarians. After seven years (including a maximum of three years of credit for prior service) of full-time academic service in academic rank (Policies of the Board of Trustees, Article XI, Title B). [For Senior Assistant Librarians, continuing appointment and promotion to Associate Librarian are concurrent activities.]

IV. Administrative Procedures and Responsibilities

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

A. Preliminary Procedures

1. In July, the Library Personnel Officer notifies the Dean and Director of Libraries of those academic faculty whose mandatory year it is for consideration for continuing appointment. The Dean and Director of Libraries contacts those individuals to confirm that they wish to be considered, then forwards the list of candidates to the Chairperson of the Personnel Review Committee.
2. In August, the Personnel Review Committee establishes a calendar for the notification of candidates, meeting dates and deadlines in accordance with established library procedures. Copies of this calendar are distributed to the members of the Library academic faculty.
3. The Personnel Review Committee notifies the library academic faculty of those candidates to be considered for continuing appointment and polls the Library academic faculty for any additional nominations. Any academic faculty member may request that the Library initiate action for a promotion and/or continuing appointment of an academic faculty member, including himself/herself, provided that this request has the written approval of the prospective candidate.
4. An Ad Hoc Review Committee of faculty with continuing appointment shall be appointed by the Steering Committee to act in an advisory capacity to the candidate.

B. Candidate's File: Non-Confidential Material

1. Vita – The candidate is responsible for the preparation of a vita (which must be signed and dated by the candidate - Guidelines II, C 4) that should contain the following information:
 - a. Earned degrees (institution, specialization, degree, date received)
 - b. Present and previous educational employment (institution, title, dates of service)
 - c. Other employment (non-educational) (employer, location, title, dates of service)
 - d. Scholarly activity
 - 1) Publications (books, articles, book reviews)
 - 2) Consultancies
 - 3) Presentations
 - 4) Other (editorial commentary, speeches, forewards, monographs, unpublished reports, etc.)

- e. Continuing education and development
- f. Service
 - 1) Library service
 - 2) Participation in professional and scholarly organizations
 - 3) University and community service
- g. Special honors
- h. Research grants
- i. Work in progress

2. **Supporting Documents**

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

3. **Unsolicited Letters**

Unsolicited letters and statements or letters and statements obtained by persons other than an authorized University official do not have confidential status and are available to the candidate. Before placing such letters in the file, the Library Personnel Officer shall send a letter to persons who have submitted unsolicited letters of evaluation advising the writer that the recommendation is not confidential and will be made available to the candidate, other members of the library faculty, and administrative officials. The sender should then be given the opportunity to withdraw the letter or affirm his/her intention that the letter not be confidential. Student letters of evaluation are excepted from this procedure. (Guidelines, II, C, 7).

4. **Review of Non-Confidential Material**

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

5. **Standard Inclusions in the File**

The Library Personnel Officer is responsible for including the following two items in each candidate's file:

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

C. Candidates' Files: Solicited Letters of Evaluation

1. Definition and Confidentiality

A solicited letter of evaluation is any letter, memorandum, statement, or report of recommendation solicited by an authorized University official from another individual in connection with the appointment, renewal of term appointment, promotion, or continuing appointment of any faculty or professional staff member. Solicited documents may or may not be confidential, within the provisions of Article 31 (Personnel Files) of the UUP Agreement. (Guidelines, II, C, 6)

2. "Authorized University Official" for the Library

As interpreted by the Office of Academic Affairs, the Personnel Review Committee is considered an "authorized University Official." Therefore, letters of evaluation received in response to a written solicitation from the Personnel Review Committee are considered confidential and may or may not be made available to the candidate. (Guidelines, II, C, 6)

3. Choice of Reviewers

The Personnel Review Committee, in consultation with candidates' department/division head, will select appropriate evaluators. The number of external evaluators not affiliated with the candidate will be determined by the Personnel Review Committee, which will be guided by the University's *Administrative Procedures for the Preparation of Recommendations for Promotions and Continuing Appointment*. The number of evaluators affiliated with the candidate, not including supervisors, will be no more than twelve.

4. Solicitation of Letters

- a. The Personnel Review Committee shall solicit letters of evaluation. Solicited letters should consider the Library's interpretation of the criteria for promotion and/or continuing appointment. When letters of evaluation are solicited, a copy of these criteria shall be provided. The Library Personnel Officer shall make certain that all requests for letters of evaluation will be sent First Class postage.
- b. The Personnel Review Committee shall insure that all persons solicited who have not responded are contacted to make certain they have received the letter of solicitation. This contact shall be made well in advance of the stated deadline for receipt of letters of evaluation in order that another request can be mailed, if necessary, and the response received prior to the deadline.

5. Additional Material

As necessary, subsequent levels of review will solicit additional material.

D. Completion of File

The Personnel Review Committee shall insure that all evidence in the case is available to the library academic faculty at least one week before the scheduled faculty meeting(s).

E. Personal Presentations by the Candidate

A candidate for promotion and/or continuing appointment may appear, at his/her written request, before the library academic faculty and/or before the University Council on Promotions and Continuing Appointments.

Such personal presentations must occur before votes are taken or other recommendations made. The Personnel Review Committee shall notify all candidates of their right to appear before the meetings of the Library academic faculty. Timely requests for appearances are the responsibility of the candidate. (University at Albany Faculty Handbook, Section III. Article XII:B. Section IV.E.)

V. **Academic Review Procedures**

A. **Definition of Levels of Academic Review**

1. The members of the library academic faculty with full or part-time term or continuing appointments shall constitute the "initial academic review committee" as defined in the current UUP Agreement. (Article 33.1). Academic faculty holding temporary appointments as defined in the SUNY Policies of the Board of Trustees, (2001 Article XI, Title F) are not members of the academic review committee.
2. For cases of continuing appointment and promotion to any rank above Senior Assistant Librarian, the "subsequent academic review committee" (as defined in Section III, Article XII, Section IV of the University at Albany Faculty Handbook) shall be the University Council on Promotions and Continuing Appointments. For promotions to the rank of Senior Assistant Librarian, the "subsequent academic review committee" shall consist of the University Libraries Personnel Review Committee.

B. **Initial Academic Review**

1. **Consultation of Library Faculty**

All eligible library academic faculty are obligated to attend the initial academic review meeting in all cases of promotion and/or continuing appointment. Voting shall occur only among those present during a meeting of the academic faculty and shall be conducted by secret ballot.

- a. In a case of continuing appointment, the votes of the members of the library academic faculty holding continuing appointment and of the non-tenured members are to be recorded separately. (University at Albany Faculty Handbook, Section III, Article XII:B, Section IV.B.6)
- b. In a case of promotion, the votes of the members of the library academic faculty having a rank equal to or above that for which the candidate is being considered are to be recorded separately from the votes of members below that rank.

2. **Officials for Meetings**

The Personnel Review Committee shall appoint the chairpersons to conduct the meetings, the appropriate number of tellers to count the votes, and the recorders to be responsible for summarizing the major issues discussed during the meetings.

3. **Documentation of the Initial Academic Review**

- a. The library academic faculty shall listen to the readback of the discussion by the recorder, make suggestions for changes to clarify intent and to correct grammatical errors. (SUNY Faculty Handbook Section III, Article XII: B, Section IV.6) The Faculty shall then vote and the meeting shall be adjourned.

The chair of the meeting and the recorder shall edit the document in a timely manner and forward the summary, along with all notes and drafts, to the Chair of the Personnel Review Committee no more than three (3) working days after the meeting.

The Personnel Review Committee, the chair of the meeting, and the recorder, shall meet to review the summary and revise it if necessary, in a timely manner (consistent with the "Calendar for Completion of Actions"). The final summary shall be submitted to the Chair of the Personnel Review Committee, who will submit this final summary to the Library Personnel Office for typing. When completed, the summary shall be signed and dated by the recorder and chair of the meeting.

- b. The tally of the initial level of review shall be forwarded immediately to the candidate by the Chair of the Personnel Review Committee. The summary of discussion must be given to the candidate before delivery to the next level of review. (Guidelines, II, 13a)
- c. The ballots, the tally of votes and the summarized comments shall be forwarded to the Library Personnel Officer by the Chair of the Personnel Review Committee. The Library Personnel Officer shall forward the complete file to the Dean and Director of Libraries.

C. University Libraries' Personnel Review Committee

- 1. The Chair of the Personnel Review Committee shall give the candidate the recommendation of the Committee (vote and written summary of deliberations) before delivery of the next level of review. (Guidelines, II,13a)
- 2. The Committee shall transmit its recommendations and the candidate's file to the Library Personnel Officer who shall forward the completed file to the Dean and Director of Libraries. Recommendations shall be submitted by the date listed in the current "Schedule for the University Libraries Promotion and Continuing Appointment Procedures."

D. Dean and Director of Libraries

- 1. The Dean and Director of Libraries shall write a letter to the Provost for Academic Affairs containing his/her own recommendation of each case. The recommendation of the Dean and Director of Libraries, together with the vote and summarized contents from the initial review and the candidate's file, shall be transmitted to the council through the appropriate administrative office by the date listed in the current "Calendar for Completion of Actions". (Guidelines II,13b)
- 2. A copy of the letter from the Dean and Director of Libraries to the Provost for Academic Affairs, with the results of the votes and recommendation from the initial academic review, shall be provided the candidate. Upon receipt of the letter from the Dean and Director of Libraries, the candidate has the opportunity to reply in writing to the Provost for Academic Affairs, such reply becoming a part of the record. (SUNY Faculty Handbook, Section III, Article XII:B, Section IV, C.4)
- 3. The Dean and Director of Libraries shall retain all documents including the ballots from the initial academic review until all possible action of that year has taken place. A copy of the letter of transmittal, the vote tally and the edited comments shall be retained in the candidate's unofficial personnel file.

E. University Council on Promotions and Continuing Appointments

1. The Council shall examine each recommendation transmitted to it to verify that the rules governing the criteria and procedures for promotion and/or continuing appointment have been observed. Recommendations which fail to conform to these rules are to be returned to the Dean and Director of Libraries for immediate revision.
2. The Council shall transmit its recommendation to the Provost for Academic Affairs. Recommendations involving continuing appointment and/or promotion shall be transmitted by the date listed in the current "Calendar for Completion of Actions." (Guidelines II, 13b)
3. The recommendation of the Council shall be communicated according to the current provisions of the University at Albany Faculty Handbook.

F. Notification of Academic Faculty Member

The action of the President in each case shall be communicated to the Academic Faculty member involved on or about May 1. (SUNY Faculty Handbook, Section III, Article XII, Section IV.F.)

VI. Withdrawal of Candidacy

- A. A candidate for promotion and/or continuing appointment may elect to withdraw his/her candidacy at any time by submitting a written request to the Dean and Director of Libraries. A letter of resignation by a candidate shall be interpreted as a withdrawal of his/her candidacy (SUNY Faculty Handbook, Section III, Article XII, Section IV.G.)
- B. If a member of the Library academic faculty withdraws his/her candidacy for promotion and/or continuing appointment at any time after the list of candidates is distributed to the Library academic faculty the Personnel Review Committee shall be notified by the Dean and Director of Libraries of such withdrawal. The Personnel Review Committee shall then be responsible for notifying the Library academic faculty of the withdrawal.

VII. Reconsideration After the Mandatory Year

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

- A. The candidate must notify the Dean and Director of Libraries of the request for reconsideration no later than October 3. (SUNY Faculty Handbook, Section III, Article XII, Section VI. 1)
- B. The candidate shall provide the Library academic faculty with the new evidence no later than October 15. (SUNY Faculty Handbook, Section III, Article XII, Section VI. 2)
- C. The Library academic faculty will meet to evaluate the new evidence. Only if the academic faculty concludes that the new evidence establishes a substantial change from the situation during the previous consideration, will the case be reconsidered and votes be taken as in an original consideration. If the reconsideration results in a negative vote by the academic faculty and a negative recommendation by the Dean and Director of Libraries, the action is final. The request will not be forwarded for further consideration and the President will be notified. If the reconsideration results in a positive recommendation by either the Library academic faculty or the Dean and Director of Libraries, the recommendation for continuing appointment will be transmitted to the University Council on Promotions and Continuing Appointments.

- D. When a positive recommendation is forwarded by the Library academic faculty, each subsequent level of review shall determine to its own satisfaction whether or not there is substantial new evidence warranting reconsideration. This determination will involve a comparison between the total record on which the University decision in the mandatory year was based and the new evidence, available since that decision date, presented by the candidate.
- E. The Council on Promotions and Continuing Appointments shall inform the President if it declines to reconsider the case. If the Council concludes that there is substantial new evidence, it will then send forward in the usual manner its votes for or against continuing appointment.
- F. Final actions will be communicated to the candidate by the President on or before November 17 of the reconsidered year. (SUNY Faculty Handbook, Article III, Article XII, Section VI, 7.)

Revised 5/87, approved at May 21, 1987 meeting of the Library Faculty.

Revised and approved at the March 16, 1988 meeting of the Library Faculty.

Revised and approved at the March 16, 1990 meeting of the Library Faculty.

Revised and approved at the September 22, 1992 meeting of the Library Faculty.

Revised and approved at the May 22, 1997 meeting of the Library Faculty.

Revised and approved at the March 9, 1998 meeting of the Library Faculty.

Revised and approved at January 9, 1999 meeting of the Library Faculty.

Revised and approved at May 22, 2003 meeting of the Library Faculty. (defined Initial Academic Review Committee.)

Revised and approved at Sept. 30, 2003 meeting of the faculty (linked promotion to Sr. Asst. to term review; added direct statement linking promotion to Assoc. to cont. appt. for Sr. Ass't Libn.) Continuing Appointment and Tenure Procedures

Revised and approved at January 2010 meeting of faculty (included SIRF reports and syllabi in section IV B 2)

Revised and approved at the November 26, 2012 meeting of Library Faculty (to limit number of affiliated reviewers to 12)