

VIRGINIA POLYTECHNIC INSTITUTE AND
STATE UNIVERSITY

UNIVERSITY LIBRARIES

Library Faculty Association

**Procedures on Promotion and
Continued Appointment:
University Libraries**

Revised by the

Continued Appointment Track Faculty Affairs Committee, 2015-2016

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1. INTRODUCTION

Virginia Tech library faculty are partners with other academic faculty in the pursuit of the university's goals for research, teaching, and outreach. Full-time library faculty on the continued appointment track in the University Libraries are subject to evaluation for reappointment, continued appointment, and promotion following the procedures below. Combining the functions of departmental and college-level personnel and promotion and tenure committees among the collegiate faculty, the University Libraries Promotion and Continued Appointment (L-P&CA) committee is elected annually to conduct the evaluation and make recommendations to the dean of university libraries. The committee also provides copies of its recommendations to candidates so that they may assess their progress. Portions of the record of the L-P&CA committee deliberations are forwarded to the University Promotion and Continued Appointment (U-P&CA) committee for Extra-collegiate Faculty and ultimately to the Board of Visitors for final decision.

This document serves as a guide both for candidates who are eligible for reappointment, continued appointment, and promotion in rank, as well as for the individuals charged with the responsibility of evaluating those candidates. It describes in detail the policies, procedures, and timetable associated with all aspects of the review process. In addition, it outlines the basic assumptions and criteria that underlie the process.

Some library faculty were awarded tenure before the university instituted continued appointment. References in LFA documents to library faculty with continued appointment apply equally to library faculty with tenure.

1.1 AUTHORITY AND INTERPRETATION

The university confers on the Library Faculty Association (LFA) and the dean of university libraries authority to develop these procedures governing probationary appointment, continued appointment, and promotion, under the oversight of the university Commission on Faculty Affairs (Virginia Tech *Faculty Handbook* 4.1,¹ elaborated in section 4.5 and subsections). The university also treats library faculty as a class within the professional faculty to whom portions of section 7 of the *Faculty Handbook* apply.

Responsibility for maintaining and updating the *Procedures on Promotion and Continued Appointment: University Libraries* document rests with the LFA Continued Appointment Track Faculty Affairs Committee (CATFAC). Proposed revisions will be submitted to the faculty at least two weeks prior to a vote (if required) of the membership of LFA. A simple majority of members is required for approval. Copies of the revised document will be forwarded to the dean of libraries, the personnel officer, and to the provost and made available to library faculty.

It is the intention of the Commission on Faculty Affairs, LFA, and the dean of university libraries that personnel policies and procedures for the University Libraries reflect those for collegiate faculty yet also take into account the unique work situation, tasks, and professional

¹ Most current edition at www.provost.vt.edu/faculty_handbook/faculty_handbook.html

norms and training of academic library faculty. To the extent those procedures do not fit a particular case, candidates and other participants in the process should consult university procedures regarding professional faculty. If no university documents and established practices apply, all participants in the review processes shall make good-faith efforts to give and receive reasoned, explanations of the most equitable and appropriate course of action within the spirit of relevant documents and practices.

From time to time university procedures may change before library personnel documents can be amended to reflect them. These generally occur during summers, when LFA and its committees do not meet. In such cases, equity to candidates and to members of the L-P&CA committee demands that the procedures prescribed in this document as of July 1 shall govern during that year's promotion and continued appointment decisions.

1.2 VALUES AND ASSUMPTIONS

Academic library faculty exercise professionally informed judgment in identifying, acquiring, organizing, and preserving information in many formats, and in providing the mechanisms and advice to make information accessible to the university's stakeholders via diverse technologies. Professional ethics and the good of the university demand that library faculty do so without fear or favor of any person, group, special interest, or ideological agenda.

The rights and responsibilities that come with faculty status reflect the central role of libraries and professional library faculty to the university's research, instructional, and outreach mission. Continued appointment recognizes the value of a librarian's contribution to the ongoing mission of the University Libraries. It insulates the exercise of his/her professional judgment from unwarranted intrusion in providing library services and in contributing as a member of the general faculty to the university mission through professional activities, including scholarship, and service. Promotion recognizes the contribution of Virginia Tech library faculty not simply to the university but also to the advancement of librarianship and applied information science generally.

Accordingly, these procedures governing the retention, continued appointment, and promotion aspire to incorporate certain values and principles to assure that Virginia Tech library faculty may live up to the expectations and trust of the university community.

The common good. Promotion and continued appointment are of vital importance to the University Libraries. By having high standards in the criteria for reappointment, promotion, and continued appointment, Virginia Tech library faculty seek to uphold the common good. The evaluation process attempts to:

- develop excellent library services for the Virginia Tech community
- attract and retain highly qualified library faculty
- reinforce professional attitudes and encourage individual achievement
- support librarianship within the University Libraries

Mutual commitment. The continued appointment and promotion processes recognize the actual and potential worth of the individual to the University Libraries as well as proven merit and

achievement over time. The university supports academic freedom and offers long-term financial commitment. In return the librarian makes an ongoing commitment to the profession of librarianship and to the university. Virginia Tech library faculty have an obligation to remain professionally informed, to disseminate the results of their scholarly work, and to seek opportunities for service in order to provide the university with quality support for its research, teaching, and outreach activities.

The University Libraries seeks to provide the kinds of support that encourage maximum growth and development for library faculty. Library faculty pursuing reappointment, continued appointment, and promotion should seek advice and mentoring from their supervisors and senior colleagues. In turn, unit heads and senior library faculty are encouraged to mentor and support library faculty.

Fairness. The goal is to establish a system that is equitable in its requirements, that adequately recognizes the differences in individual positions and contributions, and that preserves unity among library faculty as a professional group within this academic community.

For the process to work fairly and effectively candidates must present themselves well by using the guidelines spelled out in this document, and the L-P&CA committee must evaluate them objectively, with the goals of the University Libraries in mind. Useful dossiers and informed judgment require that all participants in the process substantiate their claims and present full and honest accounts of their reasoning in appropriate documents: candidates should present dossiers that explain how their activities meet the expectations of the University Libraries and Virginia Tech; committees should demonstrate on the record and in their communications how they have fully and fairly judged dossiers pursuant to this document; references and external reviewers should be candid about the reasons for their assessments of candidates' strengths, weaknesses, and potentials. Strong candidates and knowledgeable, impartial committee members will ensure that the quality of the University Libraries' faculty is always maintained at a high level.

Both rank and continued appointment apply to the individual and not to the position he/she may hold at the time of consideration. Accordingly, candidates for promotion or continued appointment are to be judged on their individual merits under the provisions of this document. It is to be understood by candidates, supervisors, administrators, L-P&CA committee members, and others who may be asked to evaluate candidates that Virginia Tech library faculty are not in competition with one another. All participants in the promotion or continued appointment process must avoid creating or encouraging any perception that the success of one candidate may come at the disadvantage of another.

Similarly, no member of the library faculty whose path, education, or personal characteristics diverge from those traditional among academic library faculty should perceive that such divergences are liabilities in satisfying the requirements for promotion and continued appointment; they may in fact be assets to the University Libraries and Virginia Tech.

The evaluation of all members of the university must both protect the rights and interests of individuals and promote candor in evaluation. The contents of candidates' dossiers and ancillary materials are confidential materials protected by law, university regulation, and professional

ethics. L-P&CA committee deliberations and communications and the content of letters of reference and review are similarly privileged. The mere appearance or suspicion that confidentiality has been breached is unjust to candidates, to our colleagues serving on the L-P&CA committee, and to persons who have agreed to comment on candidates. Speculation and rumor about the integrity of decisions made under these procedures harms the people involved and the library faculty generally.

This document is intended to take into account the diverse responsibilities and activities of current Virginia Tech library faculty and also to anticipate future members of the library faculty, who might bring unfamiliar achievements. Accordingly, this document sometimes provides examples of desired activities, behaviors, or characteristics, notably in suggesting kinds of professional engagement the L-P&CA committee may take into account. Examples are to be interpreted simply as examples, neither mandates nor complete and exclusive lists.

Professional standards. Promotion and continued appointment honor and reward excellence, commitment, and integrity (Virginia Tech *Faculty Handbook* 4.5.4). Reasoned, informed judgment is necessary to interpret evidence and apply this document to particular cases. No single definition or standard of excellence suitably addresses all aspects of librarianship. Moreover, individual differences call for a degree of flexibility in applying established criteria, even among candidates who have similar duties and/or who are at similar stages in their careers. The same criteria for promotion and continued appointment are applied to every candidate's dossier, but as different candidates show strengths in varying areas, those strengths will be taken into consideration.

In the evaluation process, the quality of professional performance and competence in carrying out one's assigned responsibilities in support of the goals of the University Libraries outweighs all other criteria, especially in reviews for reappointment and continuing appointment. Engagement with the profession is the next most important consideration, for by this interchange Virginia Tech library faculty contribute to the work and understanding of colleagues elsewhere and bring to this university the contributions of others. This engagement can take many forms: scholarly research and publication and active participation in professional associations are but the most obvious examples; creative and non-traditional forms of engagement are encouraged. Service to the University Libraries, the university, and the public is the remaining expectation, as it is for the collegiate faculty. In addressing Virginia Tech's expectations of its library faculty, it is important to take into account the development of the University Libraries relative to those of many peer universities and other members of the Association of Research Libraries.

Principles of community. All participants in promotion and continued appointment processes should understand the University Libraries' commitment to Virginia Tech's "Principles of Community" (Virginia Tech *Faculty Handbook* 2.4.2) in hiring, mentoring, evaluating, promoting, awarding continued appointment, and conducting post-tenure review for all of its employees. Thus the University Libraries aspires to foster a sense of community that nurtures learning and growth, affirms the inherent dignity and value of every person, affirms the right of each person to express thoughts and opinions freely, and affirms the value of human diversity. The University Libraries rejects all forms of prejudice and discrimination, including those based on age, color, disability, gender, national origin, political affiliation, race, religion,

sexual orientation, and veteran status. In matters of hiring, mentoring, evaluating, promoting, awarding continued appointment, and conducting post-tenure review, the University Libraries is committed to eliminate any bias or discrimination from those decisions.

2. FACULTY RANKS AND STATUS

Library faculty on the continued appointment track are a recognized, special category within the general faculty of Virginia Tech, (Virginia Tech *Faculty Handbook* 4.1.). Library faculty are expected to have earned an advanced degree appropriate to their position. As professional faculty, they regularly “exercise professional discretion and judgment” in the course of providing “direct service to students, other university constituencies, or clients external to the university as part of the university’s missions of learning, discovery, and engagement” (Virginia Tech *Faculty Handbook* 7.0). They share many of the concerns and responsibilities of the collegiate faculty, including the respect for the principles of academic freedom and professional ethics, and they participate in faculty governance.

Library faculty holding restricted or temporary appointments are not eligible for promotion or continued appointment.

2.1 DEFINITION OF FACULTY RANKS

Ranks of library faculty parallel those of other members of the general faculty: assistant professor, associate professor, and professor.

2.1.1 Assistant Professor

Appointment to the rank of assistant professor carries with it professional responsibilities in learning, discovery, and engagement. An assistant professor may be assigned responsibility for teaching graduate courses and for supervising master’s theses and doctoral dissertations, as well as serving on graduate student committees.... The terminal degree appropriate to the field is expected for appointment to this rank. (Virginia Tech *Faculty Handbook* 4.3.2)

Assistant professors are recognized to be competent, productive, and engaged in the work of the Virginia Tech Libraries, the university, and the profession. Library faculty at this rank exercise significant professional judgment in providing service to Virginia Tech while working in a collaborative manner. They exercise some degree of leadership, whether in particular projects or as a consequence of administrative or supervisory duties. They bring the benefits of active participation in university and professional affairs to the University Libraries.

2.1.2 Associate Professor

In addition to the requirements for assistant professor, a person appointed as associate professor must have demonstrated substantial professional achievements by evidence of an appropriate combination of outstanding teaching, creative

scholarship, and recognized performance in ... library, or related academic and professional service. (Virginia Tech *Faculty Handbook* 4.3.3)

Associate professors bring to bear a broadly informed perspective and a proven record of accomplishment to advance the goals of the University Libraries, the university, and the profession. Significantly beyond the degree expected of an assistant professor, at this level the librarian contributes and leads in professional activities, creatively applies broad and deep abilities in working with an array of audiences, and exerts significant beneficial impact.

2.1.3 Professor

In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national recognition as an outstanding scholar and educator. (Virginia Tech *Faculty Handbook* 4.3.4)

Professors' careers show evidence of superior performance at the highest levels of professional responsibility. A librarian at this level demonstrates longstanding leadership in improving library service, creatively solving problems in the Libraries, the university, and the larger communities. Exemplifying the goals of the University Libraries and the highest standards of professional behavior, their contributions to the scholarship and practice of librarianship are of such magnitude as to be recognized widely in and perhaps outside the profession.

3. CRITERIA FOR REVIEW: PERFORMANCE, PROFESSIONAL ENGAGEMENT, AND UNIVERSITY SERVICE

Evaluations for reappointment, continued appointment, and promotion are based on a review by a committee of peers. These reviews represent a separate and distinct process from the annual performance evaluation by supervisors described in the University Libraries' *Faculty Evaluation Procedures*.

The evaluative criteria outlined below are the primary criteria to be applied in all reviews. The relative weights assigned to each criterion vary somewhat according to the type of review sought. Demonstration of professional growth throughout the reappointment, continued appointment, and promotion processes should be apparent.

Candidates in all cases must present an excellent record of job performance and show strong commitment to, and potential for, continued success in the University Libraries and in the profession of librarianship. In addition, as a librarian proceeds through probationary appointment, continued appointment, and promotion in rank, accomplishments in the areas outlined in sections 3.2 and 3.3 below assume increasing importance. Within the bounds set forth in this document, the Library Promotion & Continued Appointment (L-P&CA) committee necessarily exercises judgment about the many possible paths candidates may take to satisfy each of the primary criteria of job performance, professional engagement, and university service.

Activities and accomplishments in other appropriate areas beyond the three primary criteria may be included in dossiers and will be considered.

The receipt of awards and honors is valuable evidence that a librarian has earned recognition for outstanding accomplishment in the judgment of professional bodies and/or his/her constituencies, which the library and university should consider seriously in reviewing candidates. These signs of accomplishment may include awards and prizes, selection for memberships in honorary societies, honorary titles, and grants. Recognition based simply on seniority or the performance of routine activities is not an honor within the expectations of extra-collegiate faculty described in Virginia Tech *Faculty Handbook* 4.5.4.

Members of the library faculty are expected to demonstrate personal integrity and conduct themselves according to the highest standards of professional ethics in providing library services, conducting research, and serving the university community. Candidates should be aware that apparent deficiencies in these respects may raise questions during the review process. Breaches of integrity can be taken into account and, if substantiated, will be documented and may result in a negative recommendation by the library- or university-level P&CA committees (Virginia Tech *Faculty Handbook* 4.5.4).

3.1 PROFESSIONAL RESPONSIBILITIES WITHIN THE UNIVERSITY LIBRARIES

The practice of librarianship and applied information science takes place in a variety of settings. In keeping with the multifaceted nature of the discipline, library faculty members engage in a broad spectrum of activities. As specialists in providing access to information, library faculty are involved in the development of resources, collections, and information systems; bibliographic control and organization; instruction, reference, and outreach services; and administration and planning. Each librarian's professional responsibilities are laid out in his/her position description.

Evaluation of professional responsibilities should include but is not limited to the following:

- a. High level of performance, working independently and with initiative. Knowledge of the specifics of one's assigned responsibilities and demonstrated skill in performing those responsibilities. This includes judgment and decision-making abilities, quality of completed work assignments, and the ability to set and accomplish appropriate performance goals.
- b. General knowledge of the profession, including trends, issues, new ideas, and technological changes affecting librarianship. This includes a demonstrated effectiveness in applying one's expertise to bibliographic techniques; developing timely access to research-level information resources; offering user-centered library services to support research and teaching in order to meet the needs of the university community; enrollment in, and completion of, continuing education courses and professional certification programs.
- c. Commitment to the library's mission as a collaborative partner with other members of the university community in meeting the information, curricular, and research needs of students, faculty, and staff of Virginia Tech.
- d. Understanding of the organization, policies, procedures, and services of the University Libraries, and a demonstrated ability to serve the library clientele through interpretation of these policies and procedures.
- e. Demonstrated ability to work cooperatively and collaboratively with library personnel to further the goals of the university.

If the faculty member is in a supervisory position:

- f. Effectiveness in leadership, administration, and supervision of a unit or section of the University Libraries. Ability to train, coordinate, and evaluate personnel, as well as to assist and delegate work in the performance of specific functions essential to the operations of the University Libraries.

3.2 ENGAGEMENT WITH THE PROFESSION

Virginia Tech library faculty are expected to become recognized members of their profession through both scholarship and professional activities.

3.2.1 Research, Scholarly, and Creative Achievements

The traditions of library and information science value scholarship promoting the discovery, integration, application, and/or teaching of knowledge. Scholarship of discovery pursues new knowledge. Scholarship of integration synthesizes and interprets knowledge to provide perspective. Scholarship of application solves problems for a larger community using knowledge from one's particular field of expertise. Scholarship of teaching and learning contributes to knowledge about how people learn.

Evaluation of research, scholarly, and creative achievements will address the candidate's dissemination of knowledge. This dissemination will manifest itself in the following formats:

- Research as evidenced by publications.
- Presentations at professional meetings, such as papers, workshops, and poster sessions.
- Creative works that can be tied to the missions of the University Libraries or the university through context provided by the candidate in the dossier. "Creative works" should be interpreted broadly, and may include (but are not limited to): development of software, curation of exhibits, creation of media, or other professional output not defined within traditional channels of publications and presentations or the candidate's job description.

For 2-year reappointment cases, library faculty are expected to show progress in publications and/or presentations. All subsequent reviews will examine the candidate's cumulative record of scholarly achievement. For promotion to associate professor or professor, the candidate must demonstrate sustained progress in research since the previous review for continued appointment at the assistant professor level, or since promotion to associate professor.

Publications and presentations will be evaluated in light of purpose, audience, and potential contribution to the goals of the University Libraries or the university. In general, works that undergo considerable scrutiny before acceptance (for example by referees, editorial boards, anthology editors, etc.) will be deemed of higher value, as will works that are openly accessible (for example in an open access journal or repository). Dossiers submitted to the University Promotion & Continued Appointment committee require evidence of peer-reviewed scholarship.

Additional examples, which may apply directly or by analogy, are provided in the Virginia Tech “Guidelines for Promotion and Tenure Dossiers,” item V (see Virginia Tech *Faculty Handbook* 3.4.4.4).

Evidence that one has undertaken substantial work to develop more sophisticated knowledge and thus contribute to library and information science should also be included in the dossier.

Examples may include but are not limited to the following:

- Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement.
- Pursuit of additional graduate degrees bearing on the candidate’s area of core responsibility.

3.2.2 Professional Contributions

The essence of the profession of library and information science is the connection of information to people who need it. Active participation within the work of professional bodies enhances a librarian’s ability at one end of that connection. Outreach beyond the level required by one’s position (including professional consulting) makes that connection real for users.

A strong profile of participation in the profession is highly valued among library faculty. Library faculty are expected to participate actively, and eventually to demonstrate leadership, in professional organizations and capacities. Participation within other related areas or academic disciplines is valued but will not substitute for demonstrated commitment to the library profession. Both forms of participation are within the meaning of the “external activities” expectations for extra-collegiate faculty laid out in Virginia Tech *Faculty Handbook*, 4.5.4.

Examples of professional contributions may include but are not limited to the following:

- Demonstrating leadership by organizing or chairing sessions at professional meetings, conference committees, associations, etc.
- Holding office, serving on committees and panels, and organizing events at professional meetings of national, regional, state, and/or local associations.
- Consultative or service activities applying one’s professional expertise
- Outreach activities applying one’s expertise in library and/or information science that benefit the local or state community.

Additional examples, which may apply directly or by analogy, are provided in the Virginia Tech “Guidelines for Promotion and Tenure Dossiers,” item VI (see Virginia Tech *Faculty Handbook* 3.4.4.4).

3.3 UNIVERSITY SERVICE ACTIVITIES

Candidates should demonstrate committed service beyond the assigned area of responsibility to the University Libraries, to the university, and the furtherance of its mission as a public, land-grant university. That is, they should be active citizens of Virginia Tech.

Members of the Virginia Tech faculty, including library faculty, are expected to participate actively in university service as outlined in the Virginia Tech “Guidelines for Promotion and

Tenure Dossiers,” item VII (see Virginia Tech *Faculty Handbook* 3.4.4.4). University service opportunities may include but are not limited to the following:

- University commissions and committees, committees of colleges and academic departments, or faculty governance.
- Committees of the University Libraries.
- University-wide meetings, panels, workshops, etc.
- Services to students outside or beyond one's assigned responsibilities (e.g. advising a student organization).

Diversity contributions and participation in diversity initiatives shall be specifically described and documented among a candidate's university activities.

4. PROBATIONARY REAPPOINTMENT

Except in those cases in which a member of the library faculty is hired with continued appointment (see the University Libraries' *Faculty Hiring Procedures* and Virginia Tech *Faculty Handbook* 4.5.3), library faculty on the continued-appointment track serve a succession of term appointments before seeking continued appointment (normally in the sixth year). During this probationary period, faculty are subject to regular evaluation of their progress toward fulfilling the expectations for continued appointment and eventual promotion. Evaluation of faculty holding probationary term appointments is mandated by the university (Virginia Tech *Faculty Handbook* 4.5.2. Cf. 4.5.5 regarding adverse decisions).

At the time of their initial appointments, the dean shall notify faculty members in writing of the conditions regarding continued appointment status. The library personnel officer in the dean's office shall give continued-appointment track faculty members clear and sufficient notice of when their probationary term appointments will be considered for renewal and when the mandatory review for continued appointment will take place.

As the responsibilities of candidates being considered for reappointment vary based on each candidate's position in the library, it is not possible to set forth in this document an exact statement of all possible paths whereby candidates may meet the criteria for reappointment. Nonetheless, every candidate for reappointment is expected to demonstrate excellent librarianship under his/her position description and his/her potential growth as a librarian in the University Libraries.

Promotion is formally a distinct process, governed by the provisions of section 6 of this document. Nonetheless, candidates may choose whether to combine applications for promotion with applications for reappointment at one time or to submit them in different years.

The evaluation of faculty is a continuous process during the probationary period. It is designed to assist faculty members in their professional progress by recognizing and reinforcing appropriate activities and by identifying factors needing improvement.

Evaluations during the probationary period are of two sorts: (1) annual evaluation of all library faculty by their supervisors and (2) reappointment review by the L-P&CA committee in the

candidate's second and fourth year, in which the committee makes a recommendation to the dean of university libraries.

By design, the criteria for judging a librarian's performance are the same in both processes, for both work to encourage the professional development of the librarian and the advancement of the library and the university. Both also provide regular opportunities for library faculty to receive advice about their strengths, weaknesses, and potentials in their progress to continued appointment and higher rank in the University Libraries and their standing in the profession (see Virginia Tech *Faculty Handbook* 4.5.2). Moreover, documents and personal statements candidates compiled for annual reviews may be relevant for later use in other personnel matters such as promotion and post-tenure review. The candidate may choose to include his/her supervisor's evaluations in the supplementary materials, which may help the L-P&CA committee in its deliberative and/or mentoring functions.

The evaluation for reappointment differs from the annual performance evaluation described in the library's *Faculty Evaluation Procedures* document in that evaluation for reappointment includes review by a committee of peers and is not directly related to annual salary adjustments.

Reappointment is neither automatic nor a right. In the event of non-reappointment, candidates shall be notified in writing, and the procedures regarding appeal and grievance specified in the Virginia Tech *Faculty Handbook* 4.5.5 shall apply.

4.1 ELIGIBILITY FOR REAPPOINTMENT

Every member of the library faculty, during his/her probationary period must undergo at least one full reappointment review. At the time of employment, faculty members are normally offered a two-year appointment, and will be evaluated for reappointment in the fall of the second year of employment.

A successful evaluation will lead to a renewed appointment, usually for two years with a second review usually during the fourth year of employment.

The third review, usually during but not later than the sixth year, is a mandatory review for continued appointment, described in section 5 below.

During the second year review, candidates should demonstrate a competent level of understanding of their position, and begin to display some service and/or professional engagement. During the candidate's fourth year review, an increase in work performance and growth through professional engagement and service activity should be documented. During the candidate's sixth year review, the candidate should demonstrate mastery of his/her position, demonstrate continued growth in professional engagement, and increased involvement in university service.

The beginning of the probationary period for library faculty is from July 1 of the calendar year in which their initial full- or part-time appointment begins, regardless of the month in which their services are initiated, as stated in the *Faculty Handbook* 4.5.2. The L-P&CA committee shall

take into account a candidate's actual length of service when reviewing his/her initial application for reappointment.

Exceptions to the second-, fourth-, and sixth-year review cycle and/or to the customary two-year renewal period may arise in the event the candidate, for example:

- assumes temporary part-time status during the probationary period pursuant to Virginia Tech *Faculty Handbook* 4.4.1,
- “stops the continued appointment clock” pursuant to *Faculty Handbook* 4.5.2.1, or
- is awarded credit for previous service toward continued appointment through accelerated review.

4.1.1 Accelerated Review

This section implements the guidelines of Virginia Tech *Faculty Handbook* 4.5.3 within the University Libraries. Candidates who bring appropriate, post-MLS professional experience may request the L-P&CA committee to credit that period toward continued appointment before their sixth year of service in the University Libraries. A maximum of three years may be credited, subject to the approval of the provost on the recommendation of the dean.

A member of the library faculty may accelerate his/her continued-appointment “clock” in one of three ways:

4.1.1.1 Award of Credit upon Hiring

In this case, the number of years credited and the continued-appointment timetable are specified in the librarian's initial contract, following provisions of the University Libraries' *Library Faculty Appointment* policy and the Virginia Tech *Faculty Handbook* 4.5.3, which presents guidelines for the terms of such initial faculty offers.

The equivalent of the 4th-year review and the continued-appointment review shall be conducted according to the timetable in the candidate's contract.

During the first review period, the candidate shall state in his/her letter of intent and dossier the timetable specified in his/her contract. If the candidate's contract permits, the candidate may choose not to apply the credit, in which case the ordinary the sequence of reappointment and continued-appointment reviews shall apply without prejudice.

4.1.1.2 Application for Credit

Library faculty requesting credit toward probationary service at Virginia Tech must apply in writing to the L-P&CA committee within one year of their initial appointment. Applicants may apply at any time within that period. The L-P&CA committee must complete its review and recommendation to the dean of libraries no later than the next April 15. Thus, if credit is awarded, the applicant will be eligible to submit his/her dossier for reappointment the following fall, as if it were a conventional 4th-year review.

Credit for previous work under accelerated review is not a right. The burden is on the candidate to demonstrate that his/her previous work was of sufficient quality, duration, and relevance to his/her current position at Virginia Tech to warrant bypassing the conventional 2nd-year review.

If the L-P&CA committee denies credit, or a candidate subsequently chooses not to apply credit awarded, that candidate's case will be treated without prejudice in the ordinary reappointment cycle. Thus denials of credit toward continued appointment, at whatever level reached, cannot be appealed. (Virginia Tech *Faculty Handbook* 4.5.5).

Application packet. Applicants for accelerated review may be expected to bring different kinds of experience working in various sorts of libraries. Thus the contents of applications may resemble dossiers for reappointment in some cases but job applications in others. At minimum, every applicant shall provide:

- A letter to the L-P&CA committee specifically requesting accelerated review. This letter should persuade the committee that the candidate, by virtue of his/her performance in previous employment, is likely to succeed in the 4th-year and continued appointment reviews.
- A current curriculum vitae detailing all previous professional employment as a librarian, including periods for which the applicant does not seek credit.
- Documentation of consistently high-quality performance in a professional librarian capacity for up to three years of full-time employment. Official documents from the previous employer(s) provide the strongest evidence: for example, letters or contracts from a peer or better library awarding continued appointment, tenure or the equivalent; or the periodic personnel evaluations (functionally equivalent to Virginia Tech faculty annual reports and evaluations). While awards, commendations, or similar recognition of meritorious service by the previous employer(s) are useful supplements to other evidence of previous excellence, additional documentation may be necessary to demonstrate ongoing high-quality performance across all the duties of previous positions.
- At least one letter of recommendation from the most recent supervisor.

Although credit will most commonly be granted for years of full-time service in other academic or research libraries that award continued appointment, tenure, or the equivalent, it shall not be restricted to such cases. Thus:

- Library faculty who have worked in public, school, government, special libraries, or businesses in the library/information science sector may seek accelerated review insofar as their previous work enhances their ability to fulfill Virginia Tech's expectations for continued appointment and promotion in their current position.
- Library faculty originally hired on term or temporary contracts by the University Libraries may seek credit for years served in those positions; these years may be combined with other service to meet the three-year maximum. In these cases, supervisors' evaluations of performance over the entire period of term appointment are acceptable as documentation of successful service.
- If a librarian's previous institution awarded continued appointment, tenure, or its equivalent for part-time professional appointments, he/she may request credit for the full-time equivalent of his/her part-time work (per Virginia Tech *Faculty Handbook*, sections 4.4.1 and 4.5.2).
- From time to time, it may be appropriate to consider requests for accelerated review by library faculty whose special technical skills and experience in capacities are not otherwise discussed here.

4.1.1.3 Self-accelerated Review

Candidates who have not received credit for service in previous positions may submit their dossiers early for 4th-year and/or continued-appointment review in any year after their first reappointment.

The requirements and procedures for the 4th-year or continued-appointment review, as the case may be, shall apply.

Candidates shall expressly state in their letters of intent and in the cover letters of their dossiers that they are accelerating their reviews on their own initiative.

4.2 EXPECTATIONS OF THE CANDIDATE FOR REAPPOINTMENT

Faculty members subject to review for reappointment will be notified by the library personnel officer at least three months before the deadline to submit their dossiers will take place (see section 11, “Timetable”).

Candidates are solely responsible for submitting all required materials to the library personnel officer by the established deadlines. The candidate must submit an electronic copy of his/her dossier (see section 12) to the library personnel officer. The materials in the dossier should demonstrate the candidate’s significant accomplishments, broader impacts to the University and beyond, commitment to diversity, and professional promise. As prescribed by the provost, the dean of libraries, and other committees, the dossier must be organized and identified as the following sections:

1. Cover letter

The cover letter is written by the candidate and is addressed to the chair of the L-P&CA committee. In this letter, the candidate should introduce him/herself, state the reason for the review (e.g. 2nd-year reappointment), and list the documents that are included for the review process.

2. Candidate’s personal statement

This statement, no more than three pages, should explain such matters as the character, coherence, direction, and purpose of the candidate’s scholarly and professional work, including the integration of teaching, research and creative activity, and service. The statement should enable members of the U-P&CA committee to understand clearly the candidate’s professional aims and achievements.

The statement should explain but not evaluate the work. This statement should provide all reviewers with a clear understanding of the candidate’s research and creative activities, teaching, outreach, and extension achievements. Where possible, the candidate’s statement should reference specific scholarly achievements documented in the remainder of the promotion and continued appointment dossier. The statement should also address the candidate’s engagement in diversity-related initiatives (as described in Virginia Tech “Guidelines for Promotion and Tenure Dossiers”).

The candidate should reflect upon his/her work as well as future plans and growth.

3. Summary of activities

The candidate must submit a summary of activities, no more than five pages highlighting his/her activities covering the time since the initial appointment. This summary must include a date range for the review and speak to his/her efforts to achieve under the performance criteria specified in sections 3.1-3.3 above.

4. References

The candidate for reappointment must provide a list of three references.

1. One reference must be the candidate's current supervisor.
 - If the candidate has more than one current supervisor, all must be listed. However, the candidate will still select two additional references.
 - If the candidate's current supervisor is the dean of libraries, the candidate should select a former supervisor or another appropriate person
 - If the candidate's current supervisor has been his/her supervisor for fewer than six months, the candidate may submit his/her previous supervisor as the required reference.
2. At least one other reference must be a member of the Virginia Tech faculty (these may be other library faculty).
3. Other reference(s) should be familiar with the candidate's work or professional activities.
4. Candidates may not submit more than two references beyond their supervisor(s).
5. Members of the library P&CA committee may not write letters for candidates.
6. It is the responsibility of the candidate to provide references with relevant information from his/her dossier.
7. The candidate must submit the list of references to the library personnel officer by the deadline (see section 11, "Timetable").

References should be selected on the basis of their ability to comment on and evaluate the candidate's work or professional accomplishments. The list of references should include a brief statement of the professional qualifications for each one sufficient to establish the authority of the reference in relation to the specific case under review; ordinarily two or three sentences will suffice. All letters of reference must be made in writing and in response to the L-P&CA committee's request

5. Position description(s)

The candidate must provide all position descriptions covering the time since the initial appointment (for 2 year) or most recent evaluation (for 4 year) for reappointment.

6. Curriculum vitae (CV)

The candidate must submit a CV that includes all activities from his/her initial appointment. There are no restrictions regarding the number of pages.

7. L-P&CA Recommendation letters

Candidates for four year review must include the L-P&CA recommendation letter from his/her two year review.

Items 1-7 constitute the official dossier for the candidate.

8. Supporting documentation/appendices

Supplementary information may also be included with the dossier as appendices. The candidate is responsible for contacting the library personnel officer to request copies of relevant material from personnel files to complete his/her dossier.

When possible, supporting documentation should be provided in electronic format, as a separate file from the rest of the dossier. Examples of supplementary information include but are not limited to:

- Copies of publications published or in press
- Faculty Activity Reports (FARs)
- Unsolicited letters written in support of activities during the review period
- Evaluations
- Statistical reports indicating the candidate's productivity or effectiveness
- Other relevant information that would enhance the dossier

No external reviews are required during the probationary reappointment process.

Candidates who have submitted their dossiers may subsequently add supplementary materials that show the completion or impact of work(s) in progress identified in the dossier (e.g. published versions of accepted articles, notice of award of grants previously applied for) as well as prizes and other honors. When such materials become available, the candidate shall so notify the L-P&CA chair and the dean. The committee and/or dean may then request to receive those materials if they believe they will significantly inform their appraisals of the candidate's dossier.

Candidates should be aware that the L-P&CA committee may request the candidate to provide additional documentation, such as names of references, to supplement the dossier. In these cases, the committee shall summarize the nature of the additional information needed, and provide at least two weeks for the candidate to provide additional relevant information of his/her own choice.

4.3 MENTORING FUNCTION

The university expects that pre-continued appointment reviews be substantive and thorough, and that they offer genuine, frank guidance regarding future activities and plans.

Three parts comprise the formal mentoring function of the process:

- The L-P&CA committee shall provide the candidate a copy of its written recommendation to the dean regarding his/her reappointment. This letter speaks to the candidate's progress toward continued appointment and offers frank advice about

correcting weaknesses and enhancing strengths. These letters become part of subsequent dossiers.

- The L-P&CA committee shall meet with the candidate to review, discuss, and elaborate upon those recommendations (Virginia Tech *Faculty Handbook* 4.5.2).
- The dean of libraries shall meet with the candidate in a separate meeting to review the decision and discuss prospects (Virginia Tech *Faculty Handbook* 4.5.2).

Faculty should seek additional guidance from department heads, senior colleagues, and the Library Faculty Association. Pre-continued appointment faculty nonetheless bear responsibility for understanding expectations for promotion and continued appointment and for meeting them (Virginia Tech *Faculty Handbook* 4.5.2).

5. CONTINUED APPOINTMENT

All library faculty members on a continued appointment track must achieve continued appointment in order to retain employment in the University Libraries.

The library personnel officer in the dean's office shall give continued-appointment track faculty members clear and sufficient notice of when their mandatory review for continued appointment will take place.

A library faculty member awarded continued appointment will have continued employment until retirement. The only exceptions are resignation; termination of employment based only on unsatisfactory performance; proof of misconduct; discontinuance or reduction in a segment of the university's research or educational program; or library reorganization because of changing patterns of library service or technological advances. (Virginia Tech *Faculty Handbook* 4.1)

Individuals holding continued appointment who are subsequently appointed to senior administrative positions within the meaning of Virginia Tech *Faculty Handbook* 7.0 will retain continued appointment.

The evaluations of candidates for continued appointment in this document are based on the guidelines outlined in section 4.5.4 of the *Virginia Tech Faculty Handbook*. As the position descriptions and responsibilities of candidates being considered for continued appointment vary based on the candidate's position in the library, it is not possible to set forth an exact statement of criteria with reference to which all reviews for continued appointment must be made. Nonetheless, candidates for continued appointment are expected to demonstrate excellent service to the University Libraries and Virginia Tech, and also to exhibit an ongoing pattern of professional growth and engagement.

The award of continued appointment is neither automatic nor a right. In the event of denial, candidates shall be notified in writing by the dean of libraries, and the procedures regarding appeal and grievance specified in section 4.5.5 of the *Virginia Tech Faculty Handbook* shall apply.

If the continued appointment decision is negative, a one-year terminal appointment will be offered (Virginia Tech *Faculty Handbook* 4.5.2).

5.1 ELIGIBILITY FOR CONTINUED APPOINTMENT

According to Virginia Tech *Faculty Handbook* 4.5.1, eligibility for continued appointment consideration is limited to library faculty holding regular faculty appointments of 50% to 100% in the University Libraries. Continued appointment will not be granted to faculty members with restricted or temporary appointments.

Evaluation for continued appointment normally is made in the year preceding the end of the probationary period (see Section 4), and after the attainment of the rank of assistant professor.

The maximum period of employment under probationary appointments is six years (or equivalent of full-time service under Virginia Tech *Faculty Handbook* 4.4.1 and 4.5.2.1).

5.2 EXPECTATIONS OF THE CANDIDATE FOR CONTINUED APPOINTMENT

Faculty members subject to review for reappointment will be notified by the library personnel officer at least three months before the deadline to submit their dossiers will take place (see section 11, “Timetable”).

Candidates are solely responsible for submitting all required materials to the library personnel officer by the established deadlines. The candidate must submit an electronic copy of his/her dossier (see section 12) to the library personnel officer. The materials in the dossier should demonstrate the candidate’s significant accomplishments, broader impacts to the University and beyond, commitment to diversity, and professional promise. As prescribed by the provost, the dean of libraries, and other committees, the dossier must be organized and identified as the following sections:

1. Cover letter

The cover letter is written by the candidate and is addressed to the chair of the L-P&CA committee. In this letter, the candidate should introduce him/herself, state the reason for the review (i.e. continued appointment), and list the documents that are included for the review process.

2. Candidate’s personal statement

This statement, no more than three pages, should explain such matters as the character, coherence, direction, and purpose of the candidate’s scholarly and professional work, including the integration of teaching, research and creative activity, and service. The statement should enable members of the U-P&CA committee to understand clearly the candidate’s professional aims and achievements.

The statement should explain but not evaluate the work. This statement should provide all reviewers with a clear understanding of the candidate’s research and creative activities, teaching, outreach, and extension achievements. Where possible, the candidate’s statement should reference specific scholarly achievements documented in

the remainder of the promotion and continued appointment dossier. The statement should also address the candidate's engagement in diversity-related initiatives (as described in the Virginia Tech "Guidelines for Promotion and Tenure Dossiers").

The candidate should reflect upon his/her work as well as future plans and growth.

3. Summary of activities

The candidate must submit a summary of activities, no more than five pages, highlighting his/her activities covering the time since the initial appointment. This summary must include a date range for the review and speak to his/her efforts to achieve under the performance criteria specified in sections 3.1-3.3 above.

4. References

The candidate for continued appointment must list four references.

1. One reference must be the candidate's current supervisor.
 - If the candidate has more than one current supervisor, all must be listed. However, the candidate will still select three additional references.
 - If the candidate's current supervisor is the dean of libraries, the candidate should select a former supervisor or another appropriate person
 - If the candidate's current supervisor has been his/her supervisor for fewer than six months, the candidate may submit his/her previous supervisor as the required reference.
2. At least one reference must be from a person outside of the University Libraries.
3. At least one reference must be from a person outside of Virginia Tech. He/she should be familiar with the candidate's work or professional activities.
4. Other reference(s) should be familiar with the candidate's work or professional activities.
5. Members of the library P&CA committee may not write letters for candidates.
6. It is the responsibility of the candidate to provide references with relevant information from his/her dossier.
7. The candidate must submit the list of references to the library personnel officer by the deadline (see section 11, "Timetable").

References should be selected on the basis of their ability to comment on and evaluate the candidate's work or professional accomplishments. The list of references should include a brief statement of the professional qualifications for each one sufficient to establish the authority of the reference in relation to the specific case under review; ordinarily two or three sentences will suffice. All letters of reference must be made in writing and in response to the L-P&CA committee's request.

5. External reviewers

A reviewer is defined as a competent and appropriate person external to Virginia Tech who will review a candidate's dossier and make recommendations based on sections 3 and 5 of this document about the candidate's suitability for continued appointment.

Reviewers are expected to judge the candidate's dossier as objectively as possible. Reviewers should have significant experience and knowledge regarding librarianship and/or information sciences. In many cases reviewers will have little or no personal knowledge of the candidate.

Pools for external reviewers will generally include persons employed or retired from

- Libraries in the most recent list of SCHEV-identified peer universities
- ARL (Association of Research Libraries) libraries

In some cases, some reviewers, though not a majority, appropriate to judge a candidate's dossier may be also drawn from

- Library/information science education
- Accredited museums or cultural institutions
- Reputable commercial institutions or vendors

In such cases, special justification of the selection is warranted and must be documented by the candidate and the L-P&CA committee in their respective nominations.

Selection of the external reviewers:

From the candidate:

1. The candidate shall nominate three potential reviewers. These names may not duplicate those submitted in the candidate's list of references. The candidate is responsible to provide accurate names, titles, and complete contact information.
 - The candidate may disqualify potential reviewers whom he/she believes may not be appropriate because of conflicts of interest or known animosity. If so, the candidate shall list them, with name and affiliation, as "disqualified because of conflict of interest" but shall provide no additional description or rationale of the disqualification. No more than three names may be included on this list.
 - The candidate may submit an additional list of comparable institutions with similar positions or programs for the committee to use as it sees fit. The candidate may include subject areas or library positions in those institutions which may help the committee identify reviewers whose backgrounds may enhance their ability to judge the candidate's dossier.
2. The candidate shall describe in one page or less why each nominee is competent to assess his/her work. The candidate must include evidence of the reviewer's expertise in the librarianship/information science profession and how their knowledge and experiences qualify them as a competent judge of the candidate's case.
 - Possible items to make a justification may include but are not limited to:
 - Breadth and depth of relevant professional experience
 - Rank (if applicable) or title
 - Level of professional contributions, such as publications, presentations, offices held
 - Documented subject-, functional, and/or research expertise of the reviewer
 - Considerable experience in a job similar to the candidate's job or supervised those in a similar position

- From an institution with a tenure or continued appointment system for library faculty
 - From an institution that is a SCHEV peer or ARL member
3. The candidate must submit the list to the library personnel officer by the deadline (see section 11, “Timetable”).

From the L-P&CA committee:

1. The L-P&CA committee shall nominate five potential reviewers. These names cannot match those submitted by the candidate nor include people whom the candidate has disqualified.
2. The committee shall provide a brief, written rationale for the appropriateness of each potential reviewer to judge the candidate’s dossier, along with the reviewer’s name, title, and complete contact information.
 - Possible items to make a justification may include but are not limited to:
 - Breadth and depth of relevant professional experience
 - Rank (if applicable) or title
 - Level of professional contributions, such as publications, presentations, offices held
 - Documented subject-, functional, and/or research expertise of the reviewer
 - Considerable experience in a job similar to the candidate's job or supervised those in a similar position
 - From an institution with a tenure or continued appointment system for library faculty
 - From an institution that is a SCHEV peer or ARL member

The L-P&CA committee arranges the candidate’s list in random order. The L-P&CA chair and the library personnel officer contact the first reviewer on the list.

The L-P&CA committee arranges the L-P&CA committee’s list in random order. The L-P&CA chair and the library personnel officer contact the first and second reviewers on the list.

One reviewer from the candidate and two reviewers from the committee will be solicited for conducting a review. The other names will be used as alternates for their respective lists.

If a potential reviewer from either the candidate’s list or committee’s list declines the request to review a candidate, the L-P&CA committee will choose new reviewer(s) from the remaining names on the corresponding list. At least one external reviewer that is not from the candidate’s list must be included in the candidate’s dossier.

The full list of names and justifications from both the candidate and the L-P&CA committee will be included in the documents forwarded to the U-P&CA committee.

The final list of external reviewers will not be shared with the candidate.

The letter sent to the reviewer and the reviewer's letter to the L-P&CA committee will be included in the dossier. The reviewer's letters will be included in the dossier, but will not be available for the candidate to view.

6. Position description

The candidate must provide his/her current position description. Copies of earlier position descriptions should also be include in the supporting documentation if there have been any significant changes in assigned responsibilities during the time period covered by the summary.

7. Curriculum vitae (CV)

The candidate must submit a CV that includes all activities from his/her initial appointment. There are no restrictions regarding the number of pages.

8. L-P&CA recommendation letters

Candidates must include the L-P&CA recommendation letter from his/her two and four year reviews.

Items 1-8 constitute the official dossier.

9. Supporting documentation/appendices

Supplementary information may also be included with the dossier as appendices. The candidate is responsible for contacting the library personnel officer to request copies of relevant material from personnel files to complete his/her dossier. When possible, supporting documentation should be provided in electronic format, as a separate file from the rest of the dossier. Examples of supplementary information include but are not limited to:

- Copies of publications published or in press
- Faculty Activity Reports (FARs)
- Unsolicited letters written in support of activities during the review period
- Evaluations (e.g. summary data documenting teaching effectiveness, or faculty annual reports signed by supervisor(s))
- Statistical reports indicating the candidate's productivity or effectiveness
- Other relevant information that would enhance the dossier

Candidates who have submitted their dossiers may subsequently add supplementary materials that show the completion or impact of work(s) in progress identified in the dossier (e.g. published versions of accepted articles, notice of award of grants previously applied for) as well as prizes and other honors. When such materials become available, the candidate shall so notify the L-P&CA chair and the dean. The committee and/or dean may then request to receive those materials if they believe they will significantly inform their appraisals of the candidate's dossier.

Candidates should be aware that the L-P&CA committee may request the candidate to provide additional documentation, such as names of references or reviewers, to supplement the dossier.

In these cases, the committee shall summarize the nature of the additional information needed, and provide at least two weeks for the candidate to provide additional relevant information of his/her own choice.

6. PROMOTION IN RANK

Library faculty are eligible to serve in a succession of three ranks: assistant professor, associate professor, and professor.

The library personnel officer in the dean's office shall give sufficient notice of when a review cycle for promotions will take place. Candidates seeking promotion must submit a letter of intent by the deadline (see section 11, "Timetable").

The candidate need submit only one dossier even if applying for promotion in addition to a mandatory review for reappointment. The dossier should cover the larger of the two time frames and/or documentation requirements covered by the review.

There is no minimum or maximum time of service in any other rank. Promotion depends upon one's performance, not the length of service at a rank. It is up to the individual librarian to determine when his/her achievements are likely to lead to a successful application for promotion to the next rank and to present him/herself for promotion at an appropriate stage in his/her career.

Promotion to the ranks of associate professor and professor requires a record of successful fulfillment of the performance criteria (see section 3) at the lower level, with evidence of increasing competence as indicated below. Promotion above assistant professor requires continued appointment. Candidates may simultaneously apply for promotion above assistant professor while applying for continued appointment.

The criteria listed below are the minimum for each level of promotion, and the librarian may decide on the appropriate time to apply. By university policy (*Faculty Handbook* 4.5.2), length of service will be counted from July 1 of the calendar year in which the candidate joined the faculty to the date on which promotion would become effective.

Promotion is neither automatic nor a right. In the event of denial, candidates shall be notified in writing, and the procedures regarding appeal and reapplication for promotion specified in the Virginia Tech *Faculty Handbook* 4.5.5.3 (which incorporates 4.5.5.2 by reference) shall apply.

6.1 GENERAL CRITERIA FOR PROMOTION

Along with the faculty assessment criteria in section 3 of this document, the L-P&CA committee will use the following additional criteria to assess quality of performance and professional achievement.

1. **Assistant professor to associate professor.** In addition to the criteria for the previous rank, the candidate shows a record of continued success in the performance of more advanced, complex professional work and in service to the university community.

Evidence of achievement in research, scholarly, or creative achievements (see section 3.2.1) and sustained professional contributions at the state, regional, and/or national level are expected.

2. **Associate professor to professor.** The university's mission and commitment as a major research institution require high accomplishment for promotion to professor. In addition to the criteria for the previous rank, the candidate shall have made exemplary contributions to the University Libraries and to the profession. Evidence of at least national reputation and recognition for his/her contributions is required. Faculty members must demonstrate excellence in two of the three areas of the evaluation criteria, one of which must be research, scholarly, or creative achievements.

6.2 EXPECTATIONS OF THE CANDIDATE FOR PROMOTION

All faculty members will be notified by the library personnel officer at least three months before the deadline to submit their dossiers will take place (see section 11 "Timetable") for promotion.

Candidates who plan to apply for promotion must notify the library personnel officer by the deadline (see section 11, "Timetable"). Candidates are solely responsible for submitting all required materials to the library personnel officer by the established deadlines

The candidate must submit an electronic copy of his/her dossier (see section 12) to the library personnel officer. The materials in the dossier should demonstrate the candidate's significant accomplishments, broader impacts to the University and beyond, commitment to diversity, and professional promise over the course of the individual's professional career.

6.2.1 Assistant Professor to Associate Professor or Associate Professor to Professor

As prescribed by the provost, the dean of libraries, and other committees, the dossier must be organized and identified as the following sections:

1. Cover letter

The cover letter is written by the candidate and is addressed to the chair of the L-P&CA committee. In this letter, the candidate should introduce him/herself, state the reason for the review (i.e., promotion to the next rank), and list the documents that are included for the review process.

2. Candidate's personal statement

This statement, no more than three pages, should explain such matters as the character, coherence, direction, and purpose of the candidate's scholarly and professional work, including the integration of teaching, research and creative activity, and service. The statement should enable members of the U-P&CA to understand clearly the candidate's professional aims and achievements.

The statement should explain but not evaluate the work. This statement should provide all reviewers with a clear understanding of the candidate's research and creative

activities, teaching, outreach, and extension achievements. Where possible, the candidate's statement should reference specific scholarly achievements documented in the remainder of the dossier. The statement should also address the candidate's engagement in diversity-related initiatives (as described in Virginia Tech "Guidelines for Promotion and Tenure Dossiers").

The candidate should reflect upon his/her work as well as future plans and growth.

3. Summary of activities

The candidate must submit a summary of activities, no more than five pages, highlighting his/her activities. This summary must include a date range of the activities under review and speak to his/her efforts to achieve under the performance criteria specified in sections 3.1-3.3 above.

4. References

The candidate for promotion must list four references.

1. One reference must be the candidate's current supervisor.
 - If the candidate has more than one current supervisor, all must be listed. However, the candidate will still select three additional references.
 - If the candidate's current supervisor is the dean of libraries, the candidate should select a former supervisor or another appropriate person
 - If the candidate's current supervisor has been his/her supervisor for fewer than six months, the candidate may submit his/her previous supervisor as the required reference.
2. At least one reference must be from a person outside of the University Libraries.
3. At least one reference must be from a person outside of Virginia Tech. He/she should be familiar with the candidate's work or professional activities.
4. Other reference(s) should be familiar with the candidate's work or professional activities.
5. Members of the library P&CA committee may not write letters for candidates.
6. It is the responsibility of the candidate to provide references with relevant information from his/her dossier.
7. The candidate must submit the list of references to the library personnel officer by the deadline (see section 11, "Timetable").

References should be selected on the basis of their ability to comment on and evaluate the candidate's work or professional accomplishments. The list of references should include a brief statement of the professional qualifications for each one sufficient to establish the authority of the reference in relation to the specific case under review; ordinarily two or three sentences will suffice. All letters of reference must be made in writing and in response to the L-P&CA committee's request.

5. External reviewers

A reviewer is defined as a competent and appropriate person external to Virginia Tech who will review a candidate's dossier and make recommendations based on sections 3 and 5 of this document about the candidate's suitability for promotion.

Reviewers are expected to judge the candidate's dossier as objectively as possible. Reviewers should have significant experience and knowledge regarding librarianship and/or information sciences. In many cases reviewers will have little or no personal knowledge of the candidate.

Pools for external reviewers will generally include persons employed or retired from

- Libraries in the most recent list of SCHEV-identified peer universities
- ARL (Association of Research Libraries) libraries

In some cases, some reviewers, though not a majority, appropriate to judge a candidate's dossier may be also drawn from

- Library/information science education
- Accredited museums or cultural institutions
- Reputable commercial institutions or vendors

In such cases, special justification of the selection is warranted and must be documented by the candidate and the L-P&CA committee in their respective nominations.

Selection of the external reviewers:

From the candidate:

1. The candidate shall nominate three potential reviewers. These names may not duplicate those submitted in the candidate's list of references. The candidate is responsible to provide accurate names, titles, and complete contact information.
 - The candidate may disqualify potential reviewers whom he/she believes may not be appropriate because of conflicts of interest or known animosity. If so, the candidate shall list them, with name and affiliation, as "disqualified because of conflict of interest" but shall provide no additional description or rationale of the disqualification. No more than three names may be included on this list.
 - The candidate may submit an additional list of comparable institutions with similar positions or programs for the committee to use as it sees fit. The candidate may include subject areas or library positions in those institutions, which may help the committee identify reviewers whose backgrounds may enhance their ability to judge the candidate's dossier.
2. The candidate shall describe in one page or less why each nominee is competent to assess his/her work. The candidate must include evidence of the reviewer's expertise in the librarianship/information science profession and how their knowledge and experiences qualify them as a competent judge of the candidate's case.
 - Possible items to make a justification may include but are not limited to:
 - Breadth and depth of relevant professional experience
 - Rank (if applicable) or title
 - Level of professional contributions, such as publications, presentations, offices held
 - Documented subject-, functional, and/or research expertise of the reviewer
3. The candidate must submit the list of reviewers to the library personnel officer by the deadline (see section 11, "Timetable").

From the L-P&CA committee:

1. The committee shall nominate five potential reviewers. These names cannot match those submitted by the candidate nor include people whom the candidate has disqualified.
2. The committee shall provide a brief, written rationale for the appropriateness of each potential reviewer to judge the candidate's dossier, along with the reviewer's name, title, and complete contact information.
 - Possible items to make a justification may include but are not limited to:
 - Breadth and depth of relevant professional experience
 - Rank (if applicable) or title
 - Level of professional contributions, such as publications, presentations, offices held
 - Documented subject-, functional, and/or research expertise of the reviewer
 - Considerable experience in a job similar to the candidate's job or supervised those in a similar position
 - From an institution with a tenure or continued appointment system for library faculty
 - From an institution that is a SCHEV peer or ARL member

The L-P&CA committee arranges the candidate's list in random order. The L-P&CA chair and the library personnel officer contact the first reviewer on the list.

The L-P&CA committee arranges the L-P&CA committee's list in random order. The L-P&CA chair and the library personnel officer contact the first and second reviewers on the list.

One reviewer from the candidate and two reviewers from the committee will be solicited for conducting a review. The other names will be used as alternates for their respective lists.

If a potential reviewer from either the candidate's list or committee's list declines the request to review a candidate, the L-P&CA committee will choose new reviewer(s) from the remaining names on the corresponding list. At least one external reviewer that is not from the candidate's list must be included in the candidate's dossier.

The full list of names and justifications from both the candidate and the L-P&CA committee will be included in the documents forwarded to the U-P&CA committee

The final list of external reviewers will not be shared with the candidate.

The letter sent to the reviewer and the reviewer's letter to the L-P&CA committee will be included in the dossier. The reviewer's letters will be included in the dossier, but will not be available for the candidate to view.

6. Position description

The candidate must provide his/her current position description. Copies of earlier position descriptions should also be include in the supporting documentation if there have been any significant changes in assigned responsibilities during the time period covered by the summary.

7. Curriculum vitae (CV)

The candidate must submit a CV that includes, at a minimum, all activities from his/her initial appointment. There are no restrictions regarding the number of pages.

Items 1-7 constitute the official dossier.

8. Supporting documentation/appendices

Supplementary information may also be included with the dossier as appendices. The candidate is responsible for contacting the library personnel officer to request copies of relevant material from personnel files to complete his/her dossier. When possible, supporting documentation should be provided in electronic format, as a separate file from the rest of the dossier. Examples of supplementary information include but are not limited to:

- Copies of publications published or in press
- Faculty Activity Reports (FARs)
- Unsolicited letters written in support of activities during the review period
- Evaluations
- Statistical reports indicating the candidate's productivity or effectiveness
- Other relevant information that would enhance the dossier

Candidates who have submitted their dossiers may subsequently add supplementary materials that show the completion or impact of work(s) in progress identified in the dossier (e.g. published versions of accepted articles, notice of award of grants previously applied for) as well as prizes and other honors. When such materials become available, the candidate shall so notify the L-P&CA chair and the dean. The committee and/or dean may then request to receive those materials if they believe they will significantly inform their appraisals of the candidate's dossier.

Candidates should be aware that the L-P&CA committee may request the candidate to provide additional documentation, such as names of references or reviewers, to supplement the dossier. In these cases, the committee shall summarize the nature of the additional information needed, and provide at least two weeks for the candidate to provide additional relevant information of his/her own choice.

A candidate may request, in writing, at any time, that his/her case be dropped from consideration. If the request for withdrawal is made prior to committee considerations, the request and the dossier may be removed from the promotion files. If consideration has been given, the documents will remain in the files.

7. DELIBERATIONS WITHIN THE UNIVERSITY LIBRARY FACULTY

All Library Faculty Association members with continued appointment will serve in the promotion and continued appointment process in one of two ways: a five-member elected group will serve on the Library Promotion and Continued Appointment (L-P&CA) committee; the remainder will serve on a Committee of the Whole (COW).

The L-P&CA committee will be elected annually to serve a one year term; the COW will convene once a year. Together these two groups will vote on cases of reappointment, continued appointment, or promotion. In this capacity both serve as a judge and a mentor to candidates.

Under the Virginia Tech *Faculty Handbook* 7.2.2, and the University Libraries' *Faculty Appointment Guidelines*, the L-P&CA committee has an additional responsibility in the faculty hiring process. It approves hiring at rank higher than assistant professor, awards of credit for prior service toward continued appointment, and hiring with continued appointment.

The members of the L-P&CA committee serve as a post-tenure review committee, per the University Libraries' *Post-Continued Appointment Review Policies and Procedures* (April 2012).

The COW is not part of the hiring or post-tenure review processes.

As deliberations are about personnel, meetings of the L-P&CA committee and of the COW are closed to non-members, with two limited exceptions:

- Per the Virginia Tech *Faculty Handbook* 4.5.4.1, the dean of the University Libraries reserves the right to attend any L-P&CA committee deliberations as an advisor to the committee in order to ensure compliance with university procedures and fairness in equity of treatment of candidates. The dean will not have a vote in these deliberations.
- Per the Virginia Tech *Faculty Handbook* 4.5.4.1, library faculty serving on the University Promotion & Continued Appointment (U-P&CA) committee for Extra-collegiate Faculty reserve the right to attend any L-P&CA committee deliberations in order to better prepare for their roles on the U-P&CA.

7.1 COMPOSITION OF THE L-P&CA COMMITTEE

The L-P&CA committee consists of five members: a non-voting chair and four voting members. All members of the library faculty with continued appointment and who have worked in the University Libraries for at least two years are eligible to serve on the L-P&CA. If a faculty member is elected, he or she is obligated to serve.

Exemptions from service include:

- Faculty members whose dossiers for promotion will appear before the committee during that review cycle are not eligible for election
- Faculty who are serving on the U-P&CA committee are not eligible for election

- Faculty whose extended approved leave (not to exceed four weeks in any two month period), sabbaticals, resignations, or retirements will occur during the review cycle are not eligible for election
- Faculty whose relations (e.g. spouse) with a candidate may create conflicts of interest. See University Policy 13010 and section 2.16 of the Faculty Handbook for more information regarding conflicts of interest.
- Faculty who have completed their third consecutive term on the L-P&CA committee in the immediately preceding cycle
- No member of the library faculty who directly supervises any candidate(s) coming up for review for reappointment, continued appointment, or promotion for that review period is eligible to serve as a voting member

Faculty who believe they are exempt from service and thus ineligible for election must submit a written statement to the LFA Executive Board to have their names removed from the ballot. This statement must be received by the board at least one week prior to the distribution of the ballot and include the reason for ineligibility. The LFA Executive Board may reject applications to be exempt from service.

Exceptions and recusals from participation on the L-P&CA committee in its roles in the hiring and post-tenure review processes are presented in the documents governing those processes.

7.1.1 Election of Members of the L-P&CA Committee

The LFA Executive Board shall conduct elections for the L-P&CA committee in May of each year. The board shall compile a ballot listing all library faculty eligible to serve during the upcoming review period. The ballot will be distributed at least two weeks prior to the vote.

All library faculty holding or eligible for continued appointment may vote. Every eligible library faculty member may cast his/her vote in person or by absentee ballot.

- Each member may cast one ballot for up to five individuals
- No member should feel obligated to distribute his/her votes across ranks, nor to cast all five votes.

The LFA Executive Board shall administer the elections to assure that the committee will be broadly representative of the library faculty, specifically that:

- No more than three members may be elected from each academic rank.
- At least two units of the University Libraries are represented
- In cases of ties, the LFA Executive Board will hold a run-off election to determine who shall serve and in what capacity.

The five eligible LFA members who receive the most votes shall be the members of the L-P&CA committee.

Per the LFA bylaws, the LFA Executive Board will collect, count, record, and announce election results.

The L-P&CA committee begins service on July 1 of the current year, and serves for one year. Exceptions to the one year of service include:

- The outgoing L-P&CA chair will work with the incoming L-P&CA committee in a consultative role to ensure continuity
- Any hiring or post-tenure reviews that are in process will be completed by the L-P&CA committee that started the review
- Other exceptions as defined by LFA

In the unusual circumstance where an elected L-P&CA committee member cannot serve, LFA will conduct an emergency election to fill the vacancy.

7.1.2 Chair of the L-P&CA Committee

At the first meeting of the L-P&CA committee, the members will elect a chair. The committee chair will immediately notify the LFA executive board and the library personnel officer of his/her appointment.

To be eligible to chair the L-P&CA committee, an LFA member shall have:

- served with continued appointment in the University Libraries for at least three years
- served at least one term as a member of the L-P&CA committee
- served no more than 2 consecutive terms as chair

The responsibilities of the chair:

- reminds the committee that the deliberations of the entire process are confidential
- reads the guidelines for the criteria for reappointment, continued appointment, and promotion to all committee members during the first meeting of the L-P&CA committee
- schedules L-P&CA committee meetings and calls special ones as needed
- works in conjunction with the dean's office, notifying faculty members on the continued-appointment track when they will be reviewed during the probationary period
- works in conjunction with the dean's office to communicate with references and external reviewers
- signs, on behalf of the committee, all communications of the committee to candidates, administrators, other university bodies, references, and reviewers
- works with LFA to develop workshops for candidates to understand best practices for putting together a dossier
- organizes and coordinates the deliberations of the COW

Except in the case of an extreme emergency (see Section 7.3.4) the chair of the L-P&CA committee does not cast a vote on the L-P&CA committee or as part of the COW because the chair is expected to:

- Serve as a neutral party
- Maintain confidentiality with all candidates, external reviewers, references, members of the L-P&CA, members of the U-P&CA, members of the COW, the library dean, and the library personnel officer
- Maintain consistency of procedures and presentation among all candidates

Upon completion of service for the year term, the outgoing L-P&CA chair will work with the incoming L-P&CA committee in a consultative role to ensure continuity. This includes:

- Sharing of best practices and interpretations of policies and procedures
- Sharing of information regarding the review of past and current candidates is prohibited
- Working with the incoming chair to develop a schedule for the COW and L-P&CA committee meetings to be listed in the University Libraries Planning Calendar

7.1.3 L-P&CA Reporter

The reporter of the L-P&CA committee will be determined by the members of the L-P&CA committee.

The reporter for the L-P&CA committee is responsible for writing the brief action minutes of the meetings. These minutes are reports of who was present, what was discussed (e.g., candidate and review type, but *not* the deliberations themselves), what motions occurred, and when future meetings are scheduled.

The only in-depth recording of what takes place is the reading of the confidentiality statement, and criteria for each review that takes place during the initial meeting of each newly elected L-P&CA committee.

7.2 COMMITTEE OF THE WHOLE (COW)

The COW is composed of every member of the library faculty with continued appointment, regardless of his/her rank. Exceptions to this are those serving on the L-P&CA committee and any faculty member with continued appointment who is a candidate for promotion.

The COW will come together once a year to deliberate with the L-P&CA committee regarding candidates who are up for review for reappointment, continued appointment, and promotion. Attendance at these meetings is mandatory for all eligible library faculty.

The COW's role in the L-P&CA process promotes the following principles:

- Involves more library faculty in the process
- Creates a second layer of review
- Establishes clear evaluation criteria and standards
- Shares information about the overall process
- Provides mentoring to library faculty
- Prepares all members of the library faculty with continued appointment for future service on the L-P&CA committee and U-P&CA committee

An exemption from service during COW deliberations of individual candidates may be necessary, in the case of a potential conflict of interest. See University Policy 13010 and section 2.16 of the Faculty Handbook for more information regarding conflicts of interest. Faculty who believe they are exempt from attending the deliberations of a candidate should contact the L-P&CA committee Chair when COW meetings are being scheduled.

7.3 LIBRARY P&CA PROCEDURES

The primary responsibility of the L-P&CA committee is to lead the P&CA process and ensure all deadlines are met. The primary responsibility of the COW is to provide the L-P&CA committee with a vote about each candidate.

In June the outgoing L-P&CA committee chair and the incoming L-P&CA chair will meet to review the previous year's workload, procedures, and share information as to the process, to help the next committee form the upcoming year's planning process. The chairs will schedule the joint meeting times of the L-P&CA and the COW for the upcoming fiscal year. This will be sent to the dean's office when the schedule is completed to be included in the University Libraries Planning Calendar.

7.3.1 Initial Meeting of the L-P&CA

The first meeting of the new L-P&CA committee will take place after the formation of the new committee. All members of the L-P&CA committee must be present at any official meeting, however, in the rare case of an extreme emergency, the chair has flexibility to conduct meetings if one member of the of the L-P&CA committee is absent.

As the size of the number of applicants applying for reappointment, continued appointment, and promotion varies every year, it is up to the members of the L-P&CA committee to delegate responsibilities among all of its members to ensure that deadlines are met for the P&CA process.

During this initial meeting:

- the confidentiality of the L-P&CA process must be stated and recorded in the minutes
- the review criteria for reappointment, continued appointment, and promotion must be read and understood by all committee members
- the workload will be delegated equitably to the members of the committee
- the schedule of forthcoming meetings for the review of dossiers will be determined
- the chair drafts and signs the letters to external references and reviewers, and works with the personnel officer to make contact with all references and reviewers
- committee members will be given the responsibility to determine appropriate external reviewers
- committee members will be assigned a candidate to present (further details of what it means to present are located in the deliberations bullet in section 7.3.4 of this document) to the COW at the joint meeting

7.3.2 Assembling, Reviewing, and Deliberating of Dossier(s) by the L-P&CA

Portions of a candidate's dossier must be completed by the L-P&CA committee. These areas include:

- soliciting and receiving letters of reference
- soliciting and receiving letters of external reviews (when applicable)
- summarizing candidate's appendices/supporting documentation

It is up to the committee to decide who will select a pool of potential external reviewers to be chosen (following the guidelines stated in sections 5 and 6 in this document, as applicable to the candidate). It is also up to the committee to decide who will summarize the supporting documentation that is forwarded to the dean and U-P&CA committee.

Once the list of references and external reviewers has been compiled, committee members should use the templates provided by the library personnel officer for the electronic solicitation of references and external reviewers. The L-P&CA committee may use Scholar sites or other electronic means to provide secure access to candidate dossiers and to communicate with external reviewers.

The L-P&CA committee may request the candidate submit a list of additional references and external reviewers.

The committee will choose external reviewers and will electronically request letters from external reviewers and references as appropriate.

The external letters are addressed to the chair of the L-P&CA committee. Upon receipt of the reference and external review letters, the library personnel officer sends an acknowledgment letter, signed by the L-P&CA chair, on behalf of the L-P&CA committee. As each letter is received, it will be taken to the dean's office and added to the candidate's dossier. Only members of the L-P&CA and U-P&CA committees will be allowed to view the letters of reference and external review letters.

After each candidate's entire dossier is completed, the L-P&CA committee will begin reviewing the material. At this time, committee members begin preliminary notes about each candidate's strengths and weaknesses under the appropriate review criteria. Additionally, the person chosen to "present" the candidate will compile a list of discussion notes to bring forth to the COW.

At L-P&CA committee meetings where discussions, dossier reviews and/or candidate deliberations are to take place, a majority of the committee members must be present, including the chair. If a majority is not present, the meeting must be rescheduled.

The L-P&CA committee may ask the department head and/or the candidate to appear before the committee to present additional information or clarification of recommendations (Virginia Tech *Faculty Handbook* 4.5.4.1).

By the end of October, the L-P&CA committee, in cooperation with the appropriate staff member(s) in the dean's office (see section 8, below), will make the dossiers available to the COW by electronic means. Appropriate access controls shall be established to assure the security of records and compliance with university policy.

Due to privacy restrictions mandated by the university, the COW will not be able to see a candidate's full dossier that is available to the L-P&CA committee. The L-P&CA chair will work with the personnel officer to create electronic copies of items from each candidate's dossier that will be available to members of the COW. These items are:

- Cover letter
- Candidate's personal statement
- Summary of activities
- Position description
- Curriculum vitae
- Supporting documentation/appendices

7.3.3 Role of the COW

It is up to the members of the COW to review each candidate's dossier provided by the L-P&CA prior to the joint meeting with the L-P&CA committee.

Utmost care and professionalism to protect the confidentiality of the dossiers and deliberations must be exhibited by all members serving on the COW.

During the joint meeting (as outlined in section 7.3.4), members of the COW will cast a vote approving or denying each candidate's request as outlined in section 7.3.5.

7.3.4 Joint Meeting of the L-P&CA Committee and the COW

The joint meeting between the L-P&CA committee and the COW to discuss each candidate up for review will be scheduled to take place in November or December. Dates of the joint meeting shall be listed on the library planning calendar. Depending on the number of candidates being reviewed, it is possible not all time slots will need to be used.

The following guidelines are in place for the joint meeting for each deliberation:

- This is a mandatory meeting for all continued-appointment faculty, irrespective of rank
- The joint meeting is closed to the following:
 - Those who do not have continued appointment. Supervisors without continued appointment may attend and speak during deliberations of candidates under their supervision, but may not vote.
 - Those with continued appointment who are applying for a promotion
 - Those who have a conflict of interest for a particular case, who will leave the meeting while that case is under deliberation
- Supervisors who have written letters for candidates, in their capacity as a supervisor, may attend, speak, but not vote at the COW. This includes supervisors who do not have continued appointment.
- If a person who is not the immediate supervisor of a candidate writes a letter for that candidate, then the letter writer may attend, speak at, but not vote at the COW meeting for that candidate.
- All members of L-P&CA committee and a quorum of the COW (consisting of 70 percent of eligible faculty) must be present to convene the meeting.
- For cases that do not go forward to the U-P&CA committee (reappointment), members of the U-P&CA committee are required to attend the joint meeting, have voting privileges on the COW, and are factored into the quorum.
- For cases that go forward to the U-P&CA committee (continued appointment and promotions to associate and to full professor), members of the U-P&CA committee may

attend the joint meeting, but do not have voting privileges and are not factored into the quorum.

- In a rare case of an extreme emergency and one member of the L-P&CA committee cannot attend, the chair has flexibility to conduct the joint meeting and collect the vote from the one absent L-P&CA committee member within one week of the joint meeting. However, if the vote cannot be collected within that week the chair will vote in place of the absent member. The chair cannot make emergency exceptions for COW members.
- If a COW quorum is not met or any L-P&CA member is absent without an emergency absence approval from the L-P&CA chair, the L-P&CA committee will reschedule the meeting to ensure deadlines are met.
- There will be no absentee ballots, no voting by proxies, no abstentions, and no double-voting taken during the joint meeting of the L-P&CA and the COW.

The L-P&CA committee will provide electronic copies of each candidate's curriculum vitae and position description prior to the joint meeting. L-P&CA and COW members should delete copies from their computers after the vote has taken place.

The deliberations will take place as follows:

- The L-P&CA chair will review the criteria for the candidate's application (reappointment, continued appointment, or promotion).
- One member from L-P&CA will "present" a candidate's dossier for deliberation by the COW. The presentation of a candidate shall include the following information:
 - Introduction (education, length of employment, what applying for)
 - Review of job description
 - Review CV
 - Qualifications in each area (prescribed in section 3 of this document)
 - Overall summation in each category
 - Open discussion among faculty as noted in deliberations below
- While presenting the dossier, the presenter shall remain neutral.
- An L-P&CA member will take notes of the discussion, but no names will be recorded.
- Deliberations should take approximately one hour or less per candidate
 - If a candidate is under review for two items at the same time (e.g. reappointment and promotion) the candidate will be given one hour for review, but two separate votes (one for reappointment, one for promotion) will take place
- Deliberations are focused on the review criteria, but the proceedings remain open for relevant discussion of the candidate
 - The review criteria will be discussed in detail.
 - Members of the L-P&CA committee may discuss information from the letters of reference and external reviewers, but because of privacy concerns, the authors of these letters will not be disclosed, nor will those materials be distributed to the members of the COW.
 - At the end of all review criteria discussions, the L-P&CA presenter will conduct a summary of the candidate and lead an open discussion of the candidate with the COW.

All discussions and proceedings are confidential.

7.3.5 Voting Procedures

At the end of the joint meeting for each candidate, members of the L-P&CA committee will distribute one ballot to each of the voting members in attendance. In cases where a candidate has requested two reviews (e.g. a reappointment and a promotion during the same review cycle) each request will be voted on separately. Therefore it is possible a candidate may receive reappointment but not promotion.

The L-P&CA committee will prepare the ballots before the joint meeting:

- One color will be assigned to four voting L-P&CA members
- A second color will be assigned to every member serving on the COW
- The ballot will contain the name of the candidate, what the candidate is applying for, and a “yes” or “no” option

Members of the L-P&CA committee will collect the completed ballots, seal them in an envelope and all members of the L-P&CA committee sign the envelope flap.

Following the conclusion of proceedings for a candidate, ballots for that candidate may be counted. The L-P&CA chair is responsible for the security and integrity of the cast ballots until they are counted.

7.4 RESULTS OF THE VOTE AND COMMITTEE DELIBERATIONS

After joint reviews with the COW have concluded, the L-P&CA committee may meet and tally the votes. The L-P&CA committee may hold meetings at the conclusion of proceedings for each candidate or for all candidates. During these meeting(s) the chair shall count the ballots and record the results in the presence of the L-P&CA committee members.

To ensure the involvement of all voting members, there will be a total of five votes:

- The four elected members of the L-P&CA committee will have each cast a color-coded ballot, which totals four of the five votes
- The COW, which had cast ballots of a different color, will be counted and tallied as one of the five votes. The majority of the COW votes cast will determine if its “one” vote counts as a “yes” or a “no.”
 - In cases where a tie takes place, the one vote of the COW will be cast as a “no.” A case must have a majority of positive votes from the combined tally of the L-P&CA and COW votes to move forward.

After the individual ballot tallies have been recorded, the committee will write the letters of recommendation for each candidate. Notes from the L-P&CA committee’s earlier deliberations and joint meeting with the COW will be used to write the letters of recommendation.

The final outcome of the vote is not shared with members of the COW.

All results are confidential.

7.4.1 Letters of Recommendation

The L-P&CA committee will write two sets of letters of recommendation. One set will go to the candidate and the candidate's supervisor. The other will go to the dean of the University Libraries and when applicable to the U-P&CA committee.

Letter to the candidate and candidate's supervisor:

- Addressed to the candidate.
- Introductory paragraph which states the L-P&CA committee's decision (favorable or unfavorable), but *does not* include the vote count.
- Paragraph describing the candidate's strengths and weaknesses in regards to professional responsibilities within the University Libraries.
- Paragraph describing the candidate's strengths and weaknesses in regards to professional engagement.
- Paragraph describing the candidate's strengths and weaknesses in regards to university service activities.
- Mentions any significant issues raised by the external review and reference letters, and how the L-P&CA addressed those issues.
- Itemized recommendations for the candidate.

Letter to the dean of the University Libraries and when applicable the U-P&CA committee:

- Addressed to the appropriate receiving party.
- Introduction paragraph which states the L-P&CA committee's decision, *including* the final vote count, but not a specific breakdown of how the L-P&CA committee or the COW voted.
- Paragraph describing the candidate's strengths and weaknesses in regards to professional responsibilities within the University Libraries.
- Paragraph describing the candidate's strengths and weaknesses in regards to professional engagement.
- Paragraph describing the candidate's strengths and weaknesses in regards to university service activities.
- Mentions any significant issues raised by the external review and reference letters, and how the L-P&CA addressed those issues.
- Itemized recommendations for the candidate.

When votes on candidates are not unanimously favorable, an explanation of the concerns represented by the dissenting votes should be included.

The chair of the L-P&CA committee will sign the letters before the letters are sent to the designated recipients.

7.4.2 Materials Forwarded

Once the vote has taken place for each candidate, certain materials will be forwarded as necessary in the L-P&CA process.

All candidates will have a letter from the L-P&CA committee forwarded to the dean of the Libraries for his/her review. The dean will then write a letter of recommendation for the

acceptance or denial of the candidate's request for reappointment, continued appointment, or promotion, depending on the candidate's application.

Candidates who are going up for continued appointment or promotion above the rank of assistant professor will have portions of their dossier forwarded to the U-P&CA committee. This will be referred to as the candidate's university-level dossier.

At this stage the L-P&CA Committee may offer candidates the opportunity to make specific improvements to their dossier before forwarding the dossier to the U-P&CA committee.

7.4.2.1 Dossier Forwarded to the University Libraries Dean by the L-P&CA Committee

Once the L-P&CA committee chair has signed the letter of recommendation, the committee members will work with the personnel officer to forward the following portions of each candidate's dossier to the dean:

- Candidate's letter to the L-P&CA committee (Cover letter)
- Candidate's personal statement
- Summary of activities
- Letter of recommendation from the current L-P&CA committee
- List of references supplied by candidate
- Lists of external reviewers from candidate and committee (when applicable)
- Letter from candidate's supervisor
- Letters from references
- Letters from external reviewers (when applicable)
- Letters from previous L-P&CA committees (when applicable)
- Position description
- Curriculum vitae
- Summary of supporting documentation/appendices

7.4.3 Communication with Candidates

Once the L-P&CA committee has submitted the letters of recommendation for all candidates under review to the dean, the L-P&CA committee will send the candidate his/her recommendation letter from the committee.

Approximately two weeks after the candidate has received his/her letter of recommendation, the chair will schedule a meeting with the candidate to meet with the L-P&CA committee to discuss the recommendation letter, answer questions, and clarify the process.

8. ROLE OF THE DEAN OF LIBRARIES

The dean of university libraries is central to the reappointment, continued appointment, and promotion processes as a decision maker, as the authoritative medium for information and advice to candidates, and as an adviser to university-level decision-makers. The dean's responsibilities are presented in the Virginia Tech *Faculty Handbook* 4.5.4.4.

In all cases, the dean communicates in writing his/her final decision or recommendation, as the case may be, to candidates, followed by meetings with them.

8.1 DEAN'S ROLE

The dean reviews the documentation and recommendations of the Library Promotion & Continued Appointment (L-P&CA) committee to make his/her own decision on each candidate for reappointment, continued appointment, and promotion, applying the provisions of this document and the Virginia Tech *Faculty Handbook* specified for each type of review. The dean has access to the minutes of the L-P&CA committee, which includes a breakdown of the votes from the COW and the L-P&CA committee.

For all cases, the dean writes a letter for each candidate detailing the decision. This letter is sent to the candidate, the L-P&CA committee, and the candidate's supervisor. The dean meets separately with the candidate and the L-P&CA committee after the letters have been distributed.

In cases of reappointment, if the dean concurs with the recommendation of the L-P&CA committee, the dean's decision is final, as provided for by Virginia Tech *Faculty Handbook* 4.5.5.1, 4.5.5.2 and 4.5.5.3.

In cases of continued appointment and promotion above assistant professor, when either the L-P&CA committee, the dean, or both recommend affirmatively for the candidate, the dean shall forward the candidate's dossier along with his/her recommendation to the provost, who chairs the U-P&CA. This recommendation letter is separate from the recommendation forwarded by the L-P&CA committee.

If the recommendations of the dean and of the L-P&CA committee are both negative, the dossier is not forwarded. The dean will so notify the candidate in writing.

Whenever the dean reaches an opposite recommendation to that of the L-P&CA committee, he/she shall so notify the committee and then meet with it regarding the reasons for his/her decision, prior to communicating with the candidate. The dean and committee will make good-faith efforts to reach a common understanding of the candidate's accomplishments and shortcomings so that these may be represented in the dean's letter to the candidate and in the deliberations of U-P&CA committee, as appropriate.

The dean shall notify in writing every library candidate who has received a negative decision reached by the L-P&CA committee, the dean, the provost, the university president, or the board of visitors. This letter shall be retained in the librarian's personnel file. This letter must:

- state (or forward) the specific reasons that the candidate's record did not warrant reappointment, continued appointment, or promotion
- make reference to the librarian's appeal options
- in cases of reappointment or continued appointment, state the candidate's final date of employment

8.2 LIBRARY DEAN'S OFFICE

The dean shall designate an employee in the dean's office to work with the L-P&CA committee, candidates, references and reviewers, and the university. This person will be referred to as the personnel officer.

This personnel officer shall work with the L-P&CA chair:

- to include significant deadline dates in the library planning calendar
- to review personnel files to identify library faculty coming up for mandatory or optional review
- to create and distribute letters to faculty notifying them of their eligibility
- to receive and securely store candidates' dossiers
- to solicit, receive, and acknowledge reference letters and external reviews
- to oversee the copying, circulation and retention of dossiers and all other P&CA-related documents

8.2.1 Records

Virginia Tech Policy 2000, "Management of University Records," governs the retention and disposition of documents, in physical or digital formats, generated in reappointment, continued appointment, and promotion processes. Such documents are confidential records as described in that policy.

Files for reappointment, promotion, and continued appointment are maintained by the personnel officer, but are kept separate from individual personnel files. The files contain all the documentation pertaining to the reappointment, promotion, and continued appointment procedures, including original dossiers and related documentation, as well as L-P&CA committee minutes and recommendations.

Copies of L-P&CA letter of recommendation to candidates indicating the final decisions (but not indicating distribution of votes) shall be held in the candidate's personnel files.

Other files shall be kept in closed storage for at least five years after the final decision and resolution of any appeal or grievance. Thereafter, the personnel officer is responsible for ensuring that candidate dossiers and minutes of committee deliberations are shredded.

8.3 DOCUMENTS FORWARDED TO UNIVERSITY P&CA COMMITTEE BY THE DEAN

Each year, the dean will send a current copy of the *Procedures on Promotion and Continued Appointment: University Libraries* to the University Promotion & Continued Appointment (UP&CA) Committee for Extra-collegiate Faculty. Additionally, the dean shall forward a report summarizing all cases of promotion and/or continued appointment of candidates considered in that cycle.

When either the L-P&CA committee or the dean make an affirmative recommendation for a candidate, the dean shall forward the following documents to the provost as chair of the U-P&CA committee:

- Cover sheet in the format prescribed by the provost and signed by the L-P&CA chair and the dean

- Cover letter from the candidate to the L-P&CA committee
- Candidate's personal statement
- Candidate's summary of activities
- Recommendation statements
 - Letter of recommendation from the dean
 - Letter of recommendation from the L-P&CA
 - List of references and external reviewers
 - Sample copy of instructions to references and external reviewers
 - Letter of recommendation from the supervisor
- Letters from references
- Letters from external reviewers
- Candidate's current position description
- Candidate's curriculum vitae

Candidates' supplementary documents are *not* forwarded to the UP&CA committee.

The dean shall present the libraries' candidates to the UP&CA committee, and answer questions regarding the candidates and the guidelines used by the University Libraries.

When the UP&CA committee has concluded its review of dossiers, the provost shall notify the dean of libraries, who, in turn, shall notify the candidates and the L-P&CA committee of the decisions made by the university committee. A copy of the letter stating the final decision shall be placed in the candidate's personnel file.

9. UNIVERSITY PROMOTION AND CONTINUED APPOINTMENT COMMITTEE FOR EXTRA-COLLEGIATE FACULTY

University Promotion and Continued Appointment (U-P&CA) committee for Extra-collegiate Faculty reviews the qualifications of candidates for continued appointment and/or for promotion to associate or full professor when (a) the dean recommends continued appointment or promotion or (b) the dean and the Library Promotion & Continued Appointment (L-P&CA) Committee make opposite recommendations. Based on its review of dossiers, the U-P&CA committee makes a recommendation to the provost on each case.

The formation and procedures of the U-P&CA committee, along with subsequent actions by the provost, university president, and ultimately the board of visitors, are prescribed in the Virginia Tech *Faculty Handbook* 4.5.4.5.

The U-P&CA committee also has a role in appeals of negative decisions for reappointment, continued appointment, or promotion, under Virginia Tech *Faculty Handbook* 4.5.5, and summarized in section 10 of this document.

9.1 COMPOSITION

The library faculty has two representatives on the U-P&CA committee, who are nominated by election by the library faculty and appointed by the provost. The dean of libraries is also a member of the university committee, who may not vote on library faculty members' dossiers.

The two faculty members serve for three-year, staggered terms. These two positions will be filled in August when a vacancy is available (see section 11, "Timetable").

In years in which there is a vacancy in the university committee, LFA shall hold an election of nominees from the eligible members. The dean shall forward the names of the two members with the highest number of votes to the provost, who selects the committee member.

In the event of a vacancy, LFA shall elect a nominee to recommend to the provost. If appointed, this interim representative shall complete the term of the representative he/she replaces.

Ordinarily, the committee meets in the spring, on a schedule established by the provost's office.

9.2 ELIGIBILITY

Only those faculty members eligible for election to the L-P&CA committee are eligible for nomination to the U-P&CA committee (see section 7.1). It is highly desirable that the individuals selected have served on the L-P&CA committee to ensure their familiarity with policy, practices, and procedures.

Library faculty members serving on the U-P&CA committee may not serve concurrently on the L-P&CA committee.

10. APPEALS OF NEGATIVE DECISIONS

A library faculty member who has been formally notified of a negative decision for reappointment, continued appointment or promotion at any point in the process has a limited period during which to appeal for review of the decision. Appeals are governed by the provisions of Virginia Tech *Faculty Handbook* 4.5.5 (concerning term reappointment, continued appointment, and promotion).

Appeals may be based only on grounds that relevant information was not provide or considered in the review and decision, or that improper considerations influenced the decision.

Appeals must be filed in writing within 14 calendar days of formal notification of the negative decision. Appeals must specify both the grounds for review and the basis for the allegation that errors were made in the decision.

A faculty member who believes that procedures have been improperly followed at any point in the process may seek advice from the chair of the Faculty Senate Committee on Reconciliation. Substantive procedural violations of the promotion or continued appointment policies are grievable issues (*Faculty Handbook* 4.8.2) and referred to the Faculty Senate Committee on Reconciliation.

In some cases, *Faculty Handbook 4.5.5* provides for subsequent appeals to the Faculty Review Committee and ultimately the president of the university.

10.1 REAPPOINTMENT AND ACCELERATED REVIEW DECISIONS

A decision for non-reappointment during the probationary period is final if it is reached by the library P&CA committee and is sustained by the dean (*Faculty Handbook 4.5.5.1*).

If the dean's decision, be it affirmative or negative, is in contradiction to the Library Promotion & Continued Appointment (L-P&CA) committee's recommendation, the candidate may appeal to the provost for a final decision. The provost may in turn ask the University Promotion & Continued Appointment (U-P&CA) Committee for Extra-collegiate Faculty to review the case and make recommendations.

Denials of applications for credit toward accelerated review are not appealable. See section 4.1.1.2, above.

10.2 CONTINUED APPOINTMENT DECISIONS

A negative recommendation by the L-P&CA committee is automatically reviewed by the dean. Similarly, when the L-P&CA committee and the dean reach opposite recommendations, the dossier is automatically reviewed by the U-P&CA committee. Accordingly, neither decision at the library level can be appealed.

A candidate whose application has been denied by both the L-P&CA committee and the dean may make written appeal to the provost for independent review of his/her dossier by the U-P&CA committee, which may choose to hear oral arguments. The U-P&CA committee shall make recommendations to the provost, whose decision is final.

10.3 PROMOTION DECISIONS

Library faculty have limited options to appeal negative decisions on promotions to associate or full professor. Virginia Tech *Faculty Handbook 4.5.5.3* provides that library faculty must have served in rank for at least six years (or full-time equivalent) before they may appeal negative decisions of their applications for promotion.

Procedures and grounds for appeal of negative promotion decisions parallel those for negative continued appointment decisions:

- A negative recommendation by the L-P&CA committee is automatically reviewed by the dean
- A candidate for promotion whose application has been denied by both the L-P&CA committee and the dean may appeal to the provost, as specified in Virginia Tech *Faculty Handbook 4.5.5*.

11. TIMETABLE

The L-P&CA calendar is based on the Calendar of Important Dates document located on the provost's website at www.provost.vt.edu/promotion_tenure/important_dates.pdf.

The following timetable describes the sequence of events for the P&CA cycle in the library. There is overlap between the end of one review process and the beginning of another, but this calendar is written to show one review process in its entirety. Exact dates will vary year by year and will be noted in the University Libraries Planning Calendar. The provost's calendar for promotion and continued appointment decisions may supersede the decision dates identified in this section.

Library Promotion & Continued Appointment committee and library-level P&CA matters are referred to as L-P&CA. University Promotion & Continued Appointment Committee for Extra-collegiate Faculty and other university-level P&CA matters are referred to as U-P&CA.

March (first year)

- ◆ Notification of P&CA process cycle begins by the first Friday.
 - The library personnel officer advises all faculty without continued appointment of their current status, and notifies faculty scheduled for evaluation or reappointment.
 - The library personnel officer requests letters of intent from faculty planning to apply for promotion.

April

- ◆ Letters of intent are due on the first Friday to the library personnel officer.
- ◆ Faculty who are unable to serve due to extenuating circumstances (see 7.1 of this document) should send a letter of explanation to the LFA president, due on the first Friday in April.
- ◆ Sitting members of the U-P&CA committee are excused from service on the L-P&CA committee.
 - At this point, the LFA president will work with the library personnel officer to determine the list of faculty eligible to serve on the L-P&CA committee. That list will result in the ballot for the May election.
- ◆ The library personnel officer will provide the list of LFA faculty members eligible to serve on the L-P&CA committee to the LFA president.
- ◆ The library personnel officer will provide the list of LFA faculty members undergoing review to the current L-P&CA chair. This list will be given by the outgoing chair to the incoming chair once the new committee has been established.

May

- ◆ LFA, in conjunction with outgoing L-P&CA committee, hosts a workshop for how to prepare dossiers for candidates applying for reappointment, continued appointment, and/or promotion.
- ◆ L-P&CA committee elections take place during the LFA meeting.

June

- ◆ The incoming and outgoing chairs of the L-P&CA committee will work to determine the P&CA calendar for the upcoming fiscal year for the University Libraries Planning Calendar.
 - This includes scheduling the joint meeting times (preferably with back-up dates) between the L-P&CA and the COW in December.

July

- ◆ Candidates for reappointment, promotion, and/or continued appointment must submit their list of references to the library personnel officer by the close of business on the first Friday of the month.
- ◆ Candidates for continued appointment and/or promotion must submit their list of external reviewers to the library personnel officer by the close of business on the first Friday of the month.
- ◆ Letters will be sent out by the L-P&CA Chair to the references selected by the candidate by the fourth Friday in July.

August

- ◆ Elections for the U-P&CA committee slots will take place as needed.
- ◆ Dossiers must be electronically submitted to the library personnel officer by the close of business on the first Friday of the month.
- ◆ Letters from references and external reviewers are due by the fourth Friday in August.
- ◆ Once dossiers are submitted, the library personnel officer ensures that dossiers are prepared for the L-P&CA committee to begin review process.
- ◆ L-P&CA committee will convene to go over: the criteria for each review process (reappointment, continued appointment, promotion); statements of confidentiality; and university procedures.
- ◆ Before deliberations can begin, parts of the dossier must be completed by the L-P&CA committee.
 - During the initial meeting(s) the L-P&CA committee must designate duties to each of the members to present candidates to the COW; select references and external reviewers to be solicited; designate a reporter; and designate meeting times for the upcoming review cycle.
- ◆ External reviewers must be selected by the fourth Friday in August. Once they are selected, letters of solicitation will be sent out by the L-P&CA Chair. Letters from external reviewers are due by the fourth Friday in September.
- ◆ On the Monday following the fourth Friday of September, the L-P&CA Chair will contact all references and external reviewers who have not yet submitted a letter. On the Thursday following the fourth Friday of September, the L-P&CA Chair will again contact all references and reviewers who have not submitted a letter. The Monday and Thursday contacts will continue until either the reference or external reviewer submits the letter or until he/she indicates that a letter will not be sent.
- ◆ The L-P&CA committee may move forward on deliberations of a candidate prior to the receipt of reference and external reviewer letters, provided all other candidate materials are received.

October

- ◆ The library personnel officer will provide members of the COW access to the dossier materials outlined in section 7.3.2.

November/Beginning of December

- ◆ Joint meetings of L-P&CA committee and COW.

December

- ◆ The L-P&CA will meet to write the letters of recommendation.
 - The letter including the vote count is forwarded to the dean.
 - The letter without the vote count is sent to the candidate and a copy is sent to the candidate's supervisor.

End of December-February

- ◆ The dean reviews the committee's recommendations, makes his/her decision on each candidate and discusses the decisions with the L-P&CA committee.

January (second year)

- ◆ Candidate meets with L-P&CA committee to discuss letters and recommendations (Virginia Tech *Faculty Handbook* 4.5.2).

February/March

- ◆ The dean notifies each candidate of his/her decision and explains reasons for the decisions.
- ◆ The dean meets with the members of the L-P&CA committee.
- ◆ Candidates wishing to appeal a decision may follow the appeals procedure (see Appeals section 9 in this document). This appeal must be submitted within 14 calendar days of receipt of decision (Virginia Tech *Faculty Handbook* 4.5.5).
- ◆ The library personnel officer assembles dossiers to be forwarded to the provost's office for review by the U-P&CA committee.

March/April

- ◆ Candidate meets with the dean to discuss letters and recommendations (Virginia Tech *Faculty Handbook* 4.5.2).
- ◆ The U-P&CA committee meets and makes its recommendations to the provost.
- ◆ The provost notifies the candidate of the U-P&CA decision.

June

- ◆ Promotion and continued appointment decisions are announced following the Board of Visitors meeting.

12. ELECTRONIC SUBMISSION OF DOSSIERS

Library faculty candidates for reappointment, continued appointment, and/or promotion must electronically submit their dossiers according to the guidelines governing the university's promotion and tenure committee. The guidelines are available from the provost's website, (<http://www.provost.vt.edu>).