# University Libraries Faculty Handbook

Carnegie Mellon University
2018

Underlined text is quoted from the Policy on Librarian and Archivist Appointments.

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## 1. **Introduction**

### 1.1 Context

This handbook applies to all full-time faculty appointments in the Carnegie Mellon University Libraries. It supplements the Policy on Librarian and Archivist Appointments (Policy) of Carnegie Mellon University, which was approved and implemented in 2001. To the extent of any inconsistency between this handbook and the Policy, the Policy provisions shall prevail.

### 1.2 Purpose

This handbook describes the criteria and methods for evaluating faculty for appointment, reappointment, or promotion in the University Libraries. It is intended to help faculty candidates understand the criteria used to evaluate their performance and the process that is followed.

### 1.3 Areas of Assignment

The dean will write a letter outlining areas of assignment for library faculty who are appointed, reappointed, or promoted, or experience substantive changes in their areas of assignment. A letter may be supplied at other times as requested or as needed. The dean reserves the right to make and change assignments as he or she deems necessary in his or her own discretion to meet the needs and mission of the University Libraries.

### 1.4 Mentoring

The University Libraries' Faculty Annual Report process provides every faculty member with reasonably detailed and reliable information about his or her performance, with a view to the prospect of reappointment or promotion. Library faculty may seek mentoring from the dean, associate deans and division directors, and other library faculty.

### 1.5 Confidentiality

The faculty review process is confidential and all faculty participating in reviews of other faculty are expected to treat all documents and discussions throughout the review process (including the evaluation of prospective faculty candidates in recruitment) with complete confidentiality to ensure a fair process and full evaluation of a candidate.

## 2. **Appointment Criteria and Guidelines**

### 2.1 General Criteria

<u>The candidate's entire actual and potential contribution to the mission of Carnegie Mellon University is to be evaluated.</u> Library faculty are expected to show sustained contribution throughout their careers, to contribute at a level appropriate to the respective stage of their careers, and to strive for promotion. According to the Policy, contribution is considered under three categories: Librarianship and Archival Work; Research, Scholarly, or Artistic Activities; and Other Considerations. The relative proportion of activities in these categories may differ from case to case and vary over time. Nevertheless, a record of contributions in all categories is required for reappointment or promotion.

#### 2.1.1 Librarianship and Archival Work

The Policy states that librarians and archivists facilitate scholars' access to information in support of the research, artistic accomplishment, and teaching missions of the University. Areas of demonstrated expertise may include, but are not confined to, the ability to:

- Analyze and organize information systematically for easy retrieval by users in accord with national and international standards, initiatives, and access methods,
- Identify, deliver, and provide access to information through resource sharing and collection development,
- Instruct faculty and students in defining information needs, in identifying, locating, and critically evaluating information sources and in documenting research results,
- Demonstrate leadership and innovation in planning, developing, and implementing new services and initiatives within the context of the University, libraries and archives in general, and national professional values and goals.

Moreover, librarians and archivists may develop additional roles and expertise to address issues of contemporary practice and university priorities. Librarianship and archival work may comprise many aspects of knowledge and practice, and the responsibilities of library faculty may vary markedly in their focus. Typical areas of librarianship and archival work are listed alphabetically below. The list is not exhaustive. For any individual, responsibilities may be concentrated in a few areas or spread across multiple areas.

- academic liaison
- administration
- collections
- digital projects
- digital publications
- digital scholarship
- information access
- outreach
- programs and projects
- reference services
- research curation
- research services
- scholarly communication
- teaching (library instruction)

See Appendix for descriptions and more detail.

2.1.2 Excellence in Librarianship and Archival Work

Librarianship and archival work is particularly valued when it displays some of the following markers of excellence:

- demonstrates independent initiative
- demonstrates substantive collaboration
- demonstrates creativity and innovation
- demonstrates measurable success (e.g. via assessment)
- results in process improvements
- establishes best practices
- addresses user needs
- impacts identified constituencies
- impacts the University Libraries' goals and objectives
- impacts the university's goals and objectives
- contributes to the advancement of the profession

Over time, librarianship and archival work are expected to generate a record of excellence that commonly incorporates all of the following:

- mastery of areas of assignment
- sustained growth and development
- advanced levels of responsibility and leadership
- national/international impact and reputation

### 2.1.3 Research, Scholarly, or Artistic Activities

The Policy states that research, scholarly, or artistic activities lead to new knowledge, to increased problem solving, to best practices, and to original theories. Librarians create scholarship in all four typical categories:

- Inquiry, with research on such topics as, organization of information, user information needs, library contributions to learning, preservation and access, navigating cyberspace, and related topics
- Integration, with work, such as applying learning theory to instruction, employing communications theory for reference, and adapting administrative/management techniques to libraries.
- Teaching, with research on developing, testing, and improving pedagogical techniques to meet the library's role in teaching people to be independent scholars,
- Application, with studies on applying the first three categories to the successful practice of librarianship.

Moreover, librarians and archivists may demonstrate a flexible spirit of inquiry as they pursue investigative projects. Research, scholarly, or artistic activities may address many aspects of knowledge and practice, and the activities of library faculty may vary markedly in their focus. Typical research, scholarly, or artistic activities are listed alphabetically below. The list is not exhaustive. For any individual, activities may be concentrated in a few areas or spread across multiple areas.

- articles and book chapters
- artistic work
- books
- datasets, code, and other research derivatives
- digital projects
- exhibits
- grant-funded research
- inventions
- media projects
- presentations and papers
- reviews
- teaching (disciplinary)
- web-based publications

See Appendix for descriptions and more detail.

### 2.1.4 Excellence in Research, Scholarly, or Artistic Activities

Research, scholarly, or artistic activities are particularly valued when they display some of the following markers of excellence:

- demonstrate independent initiative
- demonstrate substantive collaboration
- demonstrate creativity and innovation
- derive from external invitation or selection
- are refereed (peer-reviewed)
- demonstrate measurable success (e.g. via metrics and altmetrics)
- contribute to top-tier products
- exemplify a commitment to open scholarship
- impact the University Libraries' goals and objectives
- impact the university's goals and objectives
- contribute to the advancement of the profession

Over time, research, scholarly, or artistic activities are expected to generate a record of excellence that commonly incorporates all of the following:

- academic and/or artistic mastery
- sustained and focused effort

- advanced and enduring products
- national/international impact and reputation

2.1.5 Other Considerations (Service Activities)
Other considerations may be substantially defined as service activities. Every faculty member is expected to contribute to service activities by means of his or her expertise and the commitment of time and effort. While important, service activities cannot outweigh deficiencies in other categories. Typical areas of service are listed alphabetically below. The list is not exhaustive. For any individual, activities may be concentrated in a few areas or spread across multiple areas.

- committee work and governance (University Libraries)
- committee work and governance (Carnegie Mellon)
- committee work and governance (professional organizations)
- consultancies
- contributions to the larger community
- editorships
- peer review

See Appendix for descriptions and more detail.

2.1.6 Excellence in Service Activities
Such activities are particularly valued when they display some of the following markers of excellence:

- demonstrate effective leadership
- demonstrate substantive collaboration
- demonstrate creativity and innovation
- impact the University Libraries' goals and objectives
- impact the university's goals and objectives
- contribute to the advancement of the profession

Over time, service activities are expected to generate a record of excellence that commonly incorporates all of the following:

- sustained participation
- advanced levels of responsibility and leadership
- national/international impact and reputation

2.2 Faculty Ranks
The Librarian and Archivist faculty track consists of the ranks of librarian/archivist, senior librarian/archivist, and principal librarian/archivist. Initial appointments may be made at all three ranks.

2.2.1 Librarian/Archivist
For initial appointment at the rank of librarian/archivist, a candidate should:

- Possess an appropriate level of education and professional experience.

For reappointment at the rank of librarian/archivist, a candidate should:

- Demonstrate effectiveness in librarianship and archival work, evidence of research, scholarly, or artistic activities, and evidence of service activities, with a contribution to the university's mission.
- Have a record of accomplishment indicating a clear promise of leadership that will eventually deserve promotion to the rank of senior librarian/archivist.

Initial appointment as well as reappointment at the rank of librarian/archivist is for a term of three years. No more than two terms of appointment, whether consecutive or not, are permitted at this rank.

2.2.2 Senior Librarian/Archivist

For initial appointment at or promotion to the rank of senior librarian/archivist, a candidate should:

- Demonstrate superior mastery in their professional activity with a substantial contribution to the university's mission.
- Have a record of accomplishment indicating a clear promise of leadership that will eventually deserve promotion to the rank of principal librarian/archivist.

For reappointment at the rank of senior librarian/archivist, a candidate should:

- Demonstrate sustained superior mastery in their professional activity with a substantial contribution to the university's mission.
- Demonstrate increased excellence in librarianship and archival work, research, scholarly, or artistic activities, and service activities.
- Have a record of accomplishment indicating a clear promise of leadership that will eventually deserve promotion to the rank of principal librarian/archivist.

Initial appointment at, or promotion to, the rank of senior librarian/archivist is for a term of three years. Reappointment at this rank is for a term of five years.

2.2.3 Principal Librarian/Archivist

For appointment at or promotion to the rank of principal librarian/archivist, a candidate should:

- Be well established in his or her field.
- Have accomplishments at the level of extraordinary professional achievement and fundamental contributions to the university's mission.
- Be a recognized leader with a national reputation.

For reappointment at the rank of principal librarian/archivist, a candidate should:

- Be well established in his or her field.
- Have sustained accomplishments at the level of extraordinary professional achievement and fundamental contributions to the university's mission.
- Demonstrate increased excellence in librarianship and archival work, research, scholarly, or artistic activities, and service activities.
- Show continued growth in recognized leadership and national reputation.

Initial appointment at, or promotion to, the rank of principal librarian/archivist is for a term of five years. Reappointment at this rank is for a term of five years.

Table 1: Typical Reappointment and Promotion Timeline by Years of Service

| | |
|---|---|
| Year 1 | 1st appointment as librarian/archivist begins |
| Year 2 | |
| Year 3 | Review for reappointment as librarian/archivist |
| Year 4 | 2nd appointment as librarian/archivist begins if reappointed<br>Terminal appointment if not reappointed |
| Year 5 | |
| Year 6 | Review for mandatory promotion to senior librarian/archivist |
| Year 7 | 1st appointment as senior librarian/archivist begins if promoted<br>Terminal appointment if not promoted |
| Year 8 | |
| Year 9 | Review for reappointment as senior librarian/archivist or promotion to principal librarian/archivist |

| | |
|---|---|
| Year 10 | 2nd appointment as senior librarian/archivist begins if reappointed<br>1st appointment as principal librarian/archivist begins if promoted<br>Terminal appointment if not reappointed or promoted |
| Year 11 | |
| Year 12 | |
| Year 13 | |
| Year 14 | Review for reappointment as senior librarian/archivist or promotion to principal librarian/archivist<br>Review for reappointment as principal librarian/archivist |
| Year 15 | 3rd appointment as senior librarian/archivist begins if reappointed<br>1st appointment as principal librarian/archivist begins if promoted<br>2nd appointment as principal librarian/archivist begins if reappointed<br>Terminal appointment if not reappointed or promoted |

2.3 Typical, Mandatory, and Optional Promotion

The typical timeline of appointment, reappointment, and promotion entails a succession of three-year and five-year reviews and terms. Promotion from Librarian/Archivist to Senior Librarian/Archivist is mandatory by the end of year six. If not promoted, the candidate will receive a one-year terminal appointment, and then leave the university. Otherwise, a faculty member decides when to seek promotion to Senior Librarian/Archivist or Principal Librarian/Archivist. The timing of a decision to promote is governed by the judgment that the candidate satisfies the criteria for the promotion. Library faculty may seek promotion at the end of a term of appointment or at any point within a term of appointment. Candidates who seek optional promotion at the end of a term of appointment will also be reviewed for reappointment in case their promotion case fails. When seeking optional promotion, candidates are strongly encouraged to seek advice from colleagues at the desired rank or above, including the dean.

2.3.1 Review Clock Extensions

The review clock may be extended by the dean and the provost in the event of eligible leaves of absence, including personal and family leaves, and certain professional, and public service leaves, which may prevent a faculty member from developing his or her career. This extension will be acknowledged in the review process so that no adverse inferences will be drawn. The faculty member's productivity will be evaluated based upon the term of the original review clock.

2.3.2 Timely Notice

Timely notice must be given of every decision not to reappoint or promote a candidate. Notice is timely if given one year before the expiration of the term of appointment. In order to comply with this provision, it may be necessary to extend a term by an additional appointment of up to one year, designated as a terminal appointment.

3. **Case Documentation**

3.1 Summary Procedure Documentation

Initial appointments are subject to a summary procedure. Ordinarily, a search committee will identify a candidate in a process that that generates application files. No further documentation is needed for summary procedure cases.

### 3.2 Comprehensive Procedure Documentation

All reappointments and promotions are subject to a comprehensive procedure along with the development of a casebook. The candidate is responsible for assembling documentation for his or her casebook and delivering it to the designated associate dean. The designated associate dean will offer feedback, and the candidate will have the opportunity to revise and update their documentation. The designated associate dean will gather letters of evaluation and other documentation to complete the casebook for each candidate. It is the prerogative of the dean and the designated associate dean to request documentation beyond what is minimally required. The casebook should be prepared with particular reference to section 2.1 of this handbook.

#### 3.2.1 Curriculum Vitae

The Curriculum Vitae provides a snapshot of a candidate's relevant history to date. It should highlight research, scholarly, or artistic activities and service activities. It is generally arranged in reverse chronological order with most recent items first. Content can be arranged in sections within categories, and should be selective as opposed to comprehensive, especially as a career progresses. Categories commonly include:

- Name, title, and contact information
- Education
- Employment
- Research, Scholarly, or Artistic Activity
- Service
- Awards, Honors, and Grants
- Personal Mentions
- Teaching
- Professional Growth

#### 3.2.2 Statement of Accomplishments

This document is a summary of notable accomplishments related to librarianship and archival work during the time since the last review. It should be labeled accordingly (20xx-20xx). Bulleted lists and brief annotations are preferred. Categories may include, but are not limited to:

- Best Practices
- Collaborations
- Collections Acquired or Processed
- Consulting Services
- Course Interactions
- Initiatives
- Innovations
- Guides and Finding Aids
- Outreach
- Process Improvements
- Project Management
- User Services
- Workshops

#### 3.2.3 Candidate's Statement

The Candidate's Statement is a prose document, ordinarily three or four pages long, that summarizes the candidate's case. It begins with a brief academic and career profile. The candidate conceives and structures the remainder of the document, which is intended to reflect on the candidate's professional outlook and philosophy; cite the candidate's primary areas of focus and contributions (considering the categories of librarianship and archival work; research, scholarly, or artistic activities; and service); and weigh the candidate's impact on the University Libraries' and the University's goals and objectives.

#### 3.2.4 Teaching Statement

The Teaching Statement documents teaching (library instruction and disciplinary) of for-credit courses at Carnegie Mellon when related to the candidate's University Libraries appointment. (Teaching at other institutions, or unrelated to the candidate's University Libraries appointment, may be included in a Curriculum Vitae, but will not require a Teaching Statement and will not contribute to meeting the criteria for reappointment and promotion.) The Teaching Statement will address:

- teaching experience
- teaching goals and philosophy
- course description
- course level of responsibility
- course learning objectives
- instructional methods and materials
- course development over time
- impact or influence of teaching

Attach course evaluations if applicable.

3.2.5 Supplementary Materials

Additional evidence, such as copies of publications, may be included as supplementary materials. Following the first review, these materials should date from the period under review.

3.3 Letters of Evaluation

In some cases, letters of evaluation are solicited from outside evaluators and from peers in the university to evaluate the candidate's eligibility for reappointment or promotion in the context of the Policy on Librarian and Archivist Appointments. Letters are needed for the following cases:

- promotion to or reappointment at senior librarian/archivist
- promotion to or first reappointment at principal librarian/archivist

No letters are need for the following cases:

- reappointment at librarian/archivist
- second and subsequent reappointments at principal librarian/archivist

3.3.1 Outside Evaluators

Outside (or external) evaluators are ordinarily chosen from individuals in the candidate's field or allied fields at other academic institutions, who are well positioned to judge the candidate's contributions. Evaluators are ordinarily of equal or greater academic stature than the candidate.

3.3.2 Peers in the University

Peers in the university (or internal evaluators) are ordinarily chosen from individuals in other units of the university, who are well positioned to judge the candidate's contributions, including the quality of their contribution to the educational mission of the university. Peers are ordinarily of equal or greater academic stature than the candidate.

3.3.3 Lists of Names

The candidate submits a list of potential evaluators.

- outside evaluators: at least six names
- peers in the university: at least six names

The candidate may designate two names from each category to definitely be solicited. The candidate may also submit two names that he or she would like to be excluded as evaluators along with the reason for exclusion. The dean will consider this request.

The dean also generates a list of potential evaluators.

- outside evaluators: at least six names
- peers in the university: at least six names

The dean and designated associate dean may also solicit input on the case from additional individuals in the University Libraries and other parts of the university who work directly with the candidate.

3.3.4 Letters Process
The dean will merge the lists of names submitted by the candidate and the dean to make a final list of approximately twelve names (six outside evaluators and six peers in the university). The designated associate dean will solicit letters of evaluation. A minimum of six letters must be received and included in the casebook for the case to proceed. A list of names will be included in the casebook, indicating the source of each name (candidate's choice, or dean's choice, or both), and whether an evaluation was received. If no evaluation was received, the reason for this omission will be noted where possible.

3.4 Documentation Phases (see table 2 for due dates)
Phase 1 Documentation

- Curriculum Vitae as described in section 3.2.1
- Statement of Accomplishments as described in section 3.2.2

Phase 2 Documentation

- Candidate's Statement as described in section 3.2.3
- Teaching Statement as described in section 3.2.4 (if required)
- Supplementary materials as described in section 3.2.5
- Two lists of potential evaluators as described in section 3.3 (if required)

Phase 3 Revised and Updated Documentation

- Curriculum Vitae
- Statement of Accomplishments
- Candidate's Statement
- Teaching Statement (if required)
- Supplementary materials

4. **University Libraries Review Procedures**

NOTE: These procedures differ in some ways for library faculty at Carnegie Mellon University Qatar. The dean or designated associate dean can provide needed information.

Table 2: Typical Reappointment and Promotion Timeline by Months of Review Process

| | |
|---|---|
| January | Candidate notification and briefing |
| February | Phase 1 documentation due |
| March | Phase 2 documentation due |
| April | Phase 3 revised and updated documentation due |
| May | Casebook finalized |
| June | Letters solicited |
| August | Letters due |
| September | Eligible University Libraries faculty review case and prepare recommendation |
| October | Ad Hoc Committee reviews case and prepares recommendation |
| November | Dean reviews case and prepares recommendation |
| December | Appropriate University committee reviews case and prepares recommendation |

| | |
|---|---|
| January | Provost and President review case and prepare recommendation<br>Provost notifies candidate of decision pending ratification by the Board of Trustees |
| March | Executive Committee of the Board of Trustees ratifies decisions |
| July | New appointment begins |

4.1 Commencing a Review
The case review process for existing faculty commences approximately 18 months before the end of an appointment. Case preparation ordinarily occurs in the spring. Case reviews ordinarily occur in the fall. Case reviews may be scheduled for the spring in exceptional circumstances.

4.1.1 Briefing and Guidance
Prior to a review, the designated associate dean briefs each candidate in person about the review process. The designated associate dean is available to discuss the candidate's case and to guide the candidate during the development and refinement of documentation for the casebook. Candidates are also encouraged to seek out informal casebook reviews from library colleagues.

4.2 Initial Appointments
Ordinarily, for initial appointments, a search committee will engage a process that involves application files, interviews, and a public presentation. The search committee will check references, gather input, and recommend an appointment to the dean. If an appointment is pursued, the case is subject to summary procedure.

4.3 Library Faculty Review: Summary Procedure
For most initial appointments, the dean will seek a recommendation about the candidate's incoming rank at librarian/archivist or senior librarian/archivist from the entire University Libraries faculty. For proposed initial appointments at the rank of principal librarian/archivist, the dean will seek a recommendation about the candidate's incoming rank from the principal librarian/archivist rank of the University Libraries faculty.

4.3.1 Deliberation and Vote
The dean chairs a meeting of University Libraries faculty to vote on the rank of a new appointment. The purposes of the University Libraries faculty review are to:-

- review the documentation, bringing to bear appropriate criteria of the University Libraries
- recommend a rank

For initial appointment at the rank of librarian/archivist or senior librarian/archivist the vote is in this form:
_____ Senior Librarian/Archivist
_____ Librarian/Archivist
For initial appointment at the rank of principal librarian/archivist the vote is in this from:
_____ 3 Yes Definitely
_____ 2 Yes Probably
_____ 1 Probably Not
_____ 0 Definitely Not

4.3.2 Recommendation

The vote constitutes the recommendation of the University Libraries faculty in summary procedure cases.

4.3.3 Dean's Appointment
Following the deliberations of the University Libraries faculty, the dean reviews the documentation and recommendation, and confirms the appointment at a specific rank. The dean forwards the appointment to the provost.

4.4 Library Faculty Review: Comprehensive Procedure
All reappointments and promotions are subject to a comprehensive procedure. The comprehensive procedure is triggered by the schedule of typical or mandatory reviews for reappointment and promotion, or an optional promotion case.

4.4.1 Eligible University Libraries Faculty
Eligible University Libraries faculty review comprehensive procedure cases in the University Libraries. The eligible library faculty for the review of each case depends on the rank of the candidate being reviewed. The following library faculty are eligible to participate and vote in reviews:

- reappointment at the rank of librarian/archivist; or promotion to the rank of senior librarian/archivist: senior librarian/archivist and principal librarian/archivist ranks
- reappointment at the rank of senior librarian/archivist: reappointed senior librarian/archivist and principal librarian/archivist ranks
- promotion to, or reappointment at, the rank of principal librarian/archivist: principal librarian/archivist rank

The designated associate dean or a designate will participate in deliberations regarding a case, but will not participate in the vote. The dean and faculty emeriti may participate in deliberations regarding a case, but will not participate in the vote. Faculty who are on leave of absence or otherwise unavailable may participate in deliberations via synchronous communication systems. These faculty may participate in the vote. Faculty who are on leave of absence or otherwise unavailable and are not participating in deliberations may submit a written opinion regarding a candidate to be considered during deliberations. These faculty may not participate in the vote. No University Libraries faculty member will participate in the review of his or her own case. Abstentions are permitted. Eligible faculty who do not vote will be accounted for in writing.

4.4.2 Deliberation and Vote
The designated associate dean or a designate chairs a meeting of all eligible University Library faculty to discuss and vote on candidates. The purposes of the University Libraries faculty review are to:

- review the casebook and consider the merits of each case, bringing to bear appropriate criteria and goals and objectives of the University Libraries
- recommend an action in each case, and provide a written statement clarifying the evidence and arguments that led to the recommendation
- prepare cases for consideration by the ad hoc committee, the dean, and the university committees

The vote is in a four-tier form following the university guidelines:
_____ 3 Yes Definitely
_____ 2 Yes Probably
_____ 1 Probably Not
_____ 0 Definitely Not

In cases where the candidate seeks optional promotion at the end of a term of appointment, there will be a second deliberation and vote on reappointment.

4.4.3 Recommendation

Based on the documentation and deliberations, the designated associate dean or a designate prepares a written recommendation regarding the future of the candidate at Carnegie Mellon University. This recommendation includes a brief profile, provides evidence in the three categories of criteria, and may make suggestions for future improvement. It refers to arguments, opinions, and reservations arising in the deliberations. The recommendation includes the vote(s), and is signed by voting members. It is added to the casebook. The designated associate dean submits the casebook to the Ad Hoc Committee.

4.4.4 Notification of the Candidate

The designated associate dean promptly notifies the candidate in writing of a recommendation by the University Libraries Faculty. This notification is limited to the aggregate recommendation. Additional information may be provided to the candidate under the provisions of university policy.

4.5 Ad Hoc Committee Review

An Ad Hoc Committee reviews all comprehensive procedure cases in the University Libraries. The Vice Provost for Faculty identifies members of the Ad Hoc Committee in consultation with the dean and the provost. Committee members must be at or above the rank pursued by the candidate(s). Non-library faculty may be from any faculty track. The Ad Hoc Committee is ideally composed of:

- three University Libraries faculty
- one Tepper School or Heinz College faculty
- one Dietrich College or College of Fine Arts faculty
- one College of Engineering, Mellon College of Science, or School of Computer Science faculty

The designated associate dean or a designate will participate in deliberations regarding a case, but will not participate in the vote. The dean may participate in deliberations regarding a case, but will not participate in the vote. No University Libraries faculty member will participate in the review of his or her own case. Abstentions are permitted. Committee members who do not vote will be accounted for in writing.

4.5.1 Deliberation and Vote

The designated associate dean or designate chairs one or more meetings of the Ad Hoc Committee to discuss and vote on candidates. The purposes of the Ad Hoc Committee review are to:

- review the casebook and consider the merits of each case, bringing to bear appropriate criteria and goals of the University
- recommend an action in each case, and provide a written statement clarifying the evidence and arguments that led to the recommendation
- prepare cases for consideration by the dean and the university committees

The final vote is in a four-tier form following the university guidelines:

_____ 3 Yes Definitely
_____ 2 Yes Probably
_____ 1 Probably Not
_____ 0 Definitely Not

In cases where the candidate seeks optional promotion at the end of a term of appointment, there will be a second deliberation and vote on reappointment.

4.5.2 Recommendation
Based on the documentation and deliberations, the designated associate dean or a designate prepares a written recommendation regarding the future of the candidate at Carnegie Mellon University. This recommendation may provide evidence in the three categories of criteria, and may make suggestions for future improvement. It refers to arguments, opinions, and reservations arising in the deliberations. The recommendation includes the vote, and is signed by voting members. It is added to the casebook. The designated associate dean or a designate submits the casebook to the dean.

4.6 Dean's Recommendation
Following the deliberations of the eligible University Libraries Faculty and the Ad Hoc Committee, the dean reviews the documentation and recommendation, writes his or her own recommendation regarding the future of the candidate at Carnegie Mellon University, and adds it to the casebook. The dean forwards the casebook to the appropriate university committee.

4.6.1 Notification of the Candidate
The dean promptly notifies the candidate in writing of a recommendation by the Ad Hoc Committee or the Dean. Additional information may be provided to the candidate under the provisions of university policy.

## 5. **University Review Procedures**

5.1 University Committees Review
The university committees meet in fall and spring to review comprehensive procedure cases and make a recommendation to the provost. The University Libraries is represented on the university committees by the dean. The provost may appoint individual University Libraries faculty to these committees. The dean is responsible for presenting library faculty cases before the following university committees.

- The University Committee on Non-Tenured Appointments: reappointment at the rank of librarian/archivist, and promotion to the rank of senior librarian/archivist.
- The University Committee on Tenured Appointments: reappointment at the rank of senior librarian/archivist, and promotion to, or reappointment at, the rank of principal librarian/archivist.

5.2 Provost's, President's, and Board of Trustees Reviews
The provost reviews the recommendation of the appropriate university committee, and presents a recommendation to the president. The president presents a recommendation to the Executive Committee of the Board of Trustees for final ratification.

5.3 Provost's Letter
The provost writes a letter to each candidate reporting the outcome of the process.

## 6. **After a Review**

6.1 Salaries

A University Libraries faculty member who is reappointed or promoted will be eligible for a salary increase, subject to availability of funds, to take effect at the beginning of the new appointment.

### 6.2 Feedback and Mentoring

The dean or designated associate dean will communicate essential feedback from the review process to the candidate. Candidates are encouraged to seek additional feedback and mentoring.

### 6.3 Grievances

A candidate receiving an unfavorable result may, after receiving notice from the President of his or her intended recommendation to the Board of Trustees, bring forward a grievance to the Faculty Review Committee of the Faculty Senate.

### 6.4 Public Notice

Successful or unsuccessful reappointments and promotions are not publically announced. A current list of University Library faculty and their ranks is available to library faculty.

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**Appendix**

**Librarianship and Archival Work** (corresponds with section 2.1.1)

Typical areas of librarianship and archival work are listed and described alphabetically below. The list and descriptions are not exhaustive. For any individual, activities may be concentrated in a few areas or spread across multiple areas.

- **Academic Liaison**
  Establishes active affiliations with specific units of the university that involve dedicated services and subject specialization. Participates in the academic life of the unit. Provides subject expertise to the larger community.
- **Administration**
  Plans, administers, and assesses library and archives operations. Manages finances and supervises personnel.
- **Collections**
  Identifies, evaluates, selects, and acquires materials in various media and archival formats. Manages and maintains collections over time. Addresses preservation needs.
- **Digital Projects**
  Initiates and implements digital projects through project planning and workflow management. Implements software to display, store, and archive digital content.
- **Digital Publications**
  Produces and publishes online research guides, finding aids, collections, and sites.
- **Digital Scholarship**
  Applies new technologies to advance research and education by integrating digital methods and tools with traditional inquiry and research. Provides consultation services and expertise in managing research information in areas such as text mining, data mining, and research data management.
- **Information Access**
  Facilitates discovery and access to resources for user and machine retrieval through various tools and services. Applies best practices and metadata standards for cataloging and archival arrangement and description.
- **Outreach**
  Promotes library resources, services, and expertise. Develops relationships with supporters and donors. Develops public exhibits and events.
- **Programs and Projects**
  Contributes professional expertise to long-term and short-term initiatives, including projects generated by the Projects Board.
- **Reference Services**
  Assesses user needs for discovery and responds with expert information retrieval or assistance in interactions ranging from brief exchanges to in-depth consultations.
- **Research Curation**
  Promotes and implements strategies and practices to assure long-term preservation of digital

resources and to enable the reproducibility and re-use of digital assets.

- **Research Services**
  Supports and collaborates with researchers throughout the research lifecycle.
- **Scholarly Communication**
  Fosters understanding of the political economy of research and scholarship. Implements and promotes services around issues including open access, metrics, copyright, electronic theses and dissertations, and institutional repositories.
- **Teaching (Library Instruction)**
  Provides instruction in research methods and resources and other topics of expertise via one-on-one training, classroom instruction, and workshops. Teaching scenarios can range from one-time lectures to for-credit courses. Develops educational materials and tools.

**Research, Scholarly, or Artistic Activities** (corresponds with section 2.1.3)

Typical areas of research, scholarly or artistic activity are listed and described alphabetically below. The list and descriptions are not exhaustive. For any individual, activities may be concentrated in a few areas or spread across multiple areas.

- **Articles and Book Chapters**
  Writes and publishes articles in professional or disciplinary journals. Contributes chapters to books or book-length publications.
- **Artistic Work**
  Produces artworks or artistic performances.
- **Books**
  Writes and publishes books or book-length publications.
- **Datasets, Code, and Other Research Derivatives**
  Creates and shares datasets, code, and other derivative research products.
- **Digital Projects**
  Executes and publishes digitization projects, databases, data visualizations, mobile applications, and similar projects.
- **Exhibits**
  Curates exhibits or contributes to curated exhibits.
- **Grant-funded Research**
  Writes proposals and obtains funding to support work. Administers and executes grants.
- **Inventions**
  Creates or designs new processes, devices, or tools.
- **Media Projects**
  Produces or contributes to films or videos. Executes social media projects e.g. blogs or podcasts.
- **Presentations and Papers**
  Presents papers or posters or participates on panels at professional or disciplinary conferences, symposia, meetings, etc. Publishes presentation in event proceedings or other venues.
- **Reviews**
  Writes and publishes reviews of books, media projects, technological tools, and the like.
- **Teaching (Disciplinary)**
  Teaches for-credit courses at Carnegie Mellon in a disciplinary specialization related to the candidate's University Libraries appointment.

- **Web-based Publications**
  Produces publications conceived for and resident on the Web.

**Other Considerations (Service)** (corresponds with section 2.1.5)

Typical areas of service are listed and described alphabetically below. The list and descriptions are not exhaustive. For any individual, activities may be concentrated in a few areas or spread across multiple areas.

- **Committee work and governance (University Libraries)**
  Serves on the University Libraries leadership group(s). Serves as a sponsor, manager, or team member on a project generated by the Projects Board. Serves as a chair or active member of a committee, task force, or working group.
- **Committee work and governance (Carnegie Mellon)**
  Serves on Faculty Senate or the University Committees on Tenured or Non-Tenured Appointments. Serves as a chair or active member of a university-wide committee, task force, or working group.
- **Committee work and governance (professional organizations)**
  Serves as an officer or active member of a professional organization. May be responsible for organizational oversight and advocacy, member services, and conference planning.
- **Consultancies**
  Shares professional expertise with libraries or other organizations.
- **Contributions to the Larger Community**
  Contributes to the larger community in areas related to librarianship and archival work, or to research, scholarly or artistic activities.
- **Editorships**
  Serves on an editorial board of a professional or disciplinary journal.
- **Peer Review**
  Serves as a peer reviewer for a publication or other project.