

OKLAHOMA STATE UNIVERSITY  
LIBRARY FACULTY

REAPPOINTMENT,  
PROMOTION, TENURE, AND CUMULATIVE REVIEW  
HANDBOOK

containing material regarding  
Appointment, Reappointment, Promotion, Tenure, Cumulative Review  
and the evaluation and review process

2009

**Oklahoma State University  
Library Faculty  
Reappointment, Promotion, Tenure and Cumulative Review Handbook  
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## Introduction

The “Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University” (hereinafter referred to as the Policy Statement<sup>1</sup>) serves as the basic document in regard to appointment, reappointment, promotion in academic rank, tenure, and cumulative review for Library Faculty. The Oklahoma State University Policy and Procedures Letters 2-0902 (October 2006), 2-0112 (November 2008), and 2-0109 (September 2007) describes in more detail the procedures for the processes.

The Library Faculty is charged with establishing and publishing its own qualification standards specified by rank, function, or specialty (Policy Statement, 1.1.1 and 1.1.2). This Oklahoma State University Library Faculty Reappointment, Promotion, Tenure and Cumulative Review Handbook (hereinafter referred to as the Library Faculty Handbook) contains the criteria for the qualification standards which govern actions related to appointment, reappointment, tenure, promotion, and cumulative review as well as a description of the appraisal and development (A&D) process. All revisions of the criteria are subject to approval by the Library Faculty, the Dean of Libraries, and the Vice President for Academic Affairs. The Dean of Libraries may constitute a special committee to conduct an extensive review of this document when needed. Requests for review may be initiated by the Library Faculty, the Library Faculty’s Reappointment, Promotion and Tenure (RPT) Committee, or the Dean of Libraries. For a history of changes to the Library Faculty Handbook see Appendix XII.

Each member of the Library Faculty is responsible for maintaining an understanding of the information contained in the Policy Statement, in this Library Faculty Handbook, and in any related Oklahoma State University Policy and Procedures Letters. “It shall be the personal responsibility of the faculty member to demonstrate that he or she meets the applicable qualifications for reappointment, tenure or promotion.” (Policy Statement 1.2.1)

Each new tenure-track faculty member will meet with their Unit Administrator and the Associate Dean for Planning and Assessment within the third month of their appointment. The Associate Dean will review the essential elements of the University and Library’s A&D process and present the criteria for reappointment, promotion and tenure. The chart on the following page provides an overview of the Library’s Reappointment, Promotion, and Tenure Review Process.

The philosophical foundation for the work of the Library Faculty is based on the Library’s Mission and Vision Statements; both focus on service to the user. Upon this foundation, today’s librarian must build and maintain a body of knowledge of the changes and developments in the fields of librarianship and information science as well as in academe.

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<sup>1</sup> Formerly referred to as Appendix D.

## Reappointment, Promotion, and Tenure Review Process Chart

The following chart outlines the RPT process.

The Board of Regents will consider all recommendations at the June meeting.

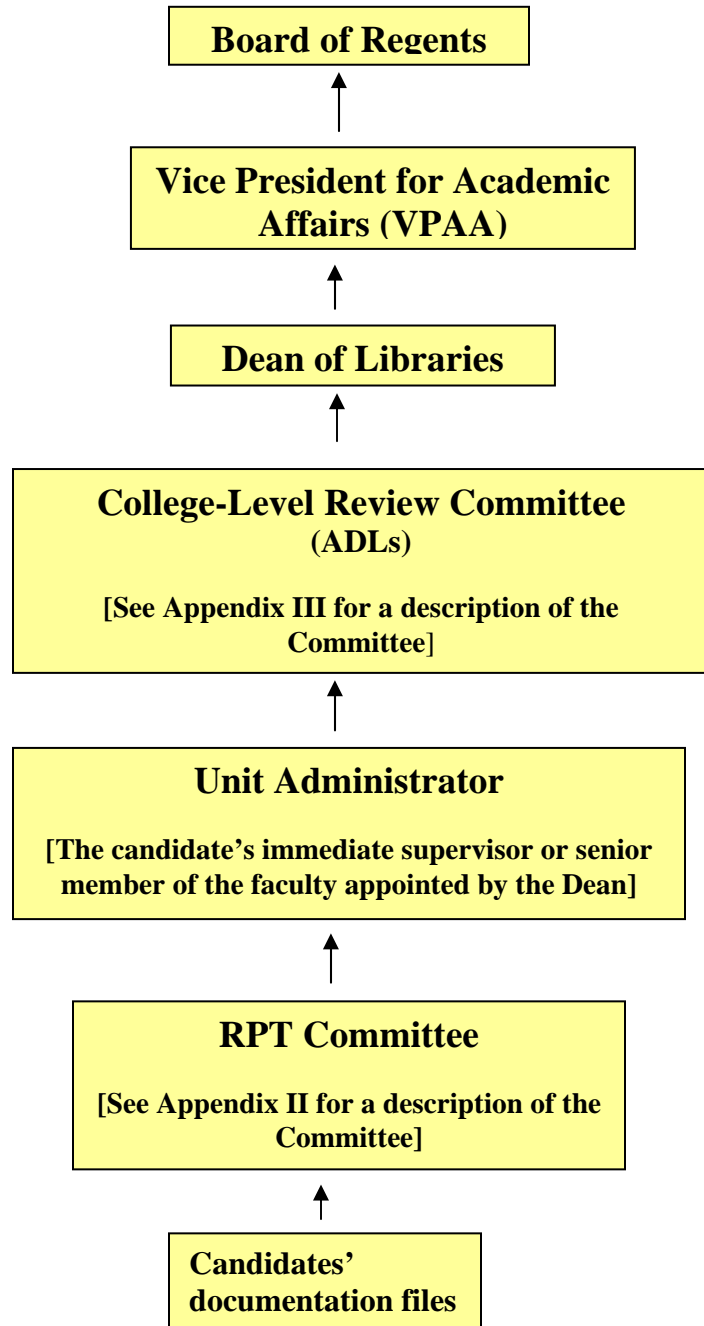
VPAA reviews the documentation file and makes a recommendation to the Board of Regents.

Dean reviews documentation file, and writes RPT recommendation, which is sent to the candidate and added to the documentation file.

College-Level Review Committee reviews documentation file and writes RPT recommendation. This recommendation is sent to the candidate and added to the documentation file.

Unit Administrator reviews documentation file and writes RPT recommendation, which is sent to the candidate, the respective ADL, and added to documentation file.

RPT Committee reviews documentation file, and writes RPT recommendation, which is sent to the candidate and added to the documentation file.



Note: This chart should not substitute for a detailed examination of the standards and procedures outlined in this Library Faculty Handbook.

## **Section 1 - Standards for Library Faculty Ranks**

A faculty member's rank is based upon professional accomplishments as a librarian rather than upon years of experience.

### **1.1. Assistant Professor**

Assistant Professors are expected to be competent, productive librarians demonstrating an understanding of their roles in an academic library and making contributions beyond the basic requirements of the primary assignment. Assistant Professors also demonstrate continued professional development as evidenced, for example, by active participation in professional organizations and in library or university committees.

### **1.2. Associate Professor**

Associate Professors are expected to maintain a high-quality level of service and to contribute to the goals of the Library, the department or division and to the educational function of the University beyond normally assigned duties. Associate Professors also provide leadership in the development of library services and programs and in appropriate professional organizations or learned societies at the state, regional, and/or national levels.

### **1.3 Professor**

Professors are responsible for providing leadership in the overall development of the department or division, the Library and the University. In addition to improving library programs and services in their areas of expertise, Professors assume major responsibility for developing and coordinating library services provided on and off campus. Having achieved the rank of Professor each individual is expected to continue to make significant contributions professionally and/or academically.

## **Section 2 - Appointment, Tenure, and Promotion**

### **2.1 Appointment**

The RPT Committee recommends to the Dean of Libraries a rank and, at the request of the Dean of Libraries, a tenure status for each candidate interviewed. This recommendation is based on the standards stated in Section 1 of this Handbook and the candidate's qualifications. Initial appointments usually are made at the Assistant Professor rank

The letter of offer indicates the appointment rank, as well as when the individual should expect to be reviewed for reappointment and for tenure and promotion. Faculty appointments normally coincide with the beginning of the academic year (July 1 for 11-month appointments). For faculty appointed after this date but before January 1, the period of probation for tenure consideration or for renewal of appointment will commence at the beginning of that academic year. The probation period for faculty appointed on or after January 1 will commence at the beginning of the following academic year.

The unit administrator arranges for new faculty to meet with the Dean of Libraries and, as appropriate, with other administrators or departments. At the meeting with the Dean of Libraries each new faculty member receives: 1) a personal copy of the current Oklahoma State University Faculty Handbook; and 2) a notebook that contains a copy of the Library Faculty Handbook and other material related to personnel matters.

*2.1.1 Assistant Professor*

The initial appointment period for an assistant professor is four years. Reappointment may be granted for three additional years, allowing for a maximum seven-year probationary period as an assistant professor.

**Assistant Professor  
Standard Library Tenure-Track Timeline**

Year	1	2	3	4	5	6	7	8	9	10
<b>RPT Review</b>			<b>Reappt</b>			<b>Tenure/ Promo- tion</b>			<b>Promo- tion</b>	

*2.1.2 Associate Professor*

The initial appointment period for an associate professor without tenure is five years. Appointment at this rank requires that the candidate have extensive professional experience and recognition, as described in Section 1, as well as demonstrated ability to meet tenure requirements within the time frame.

**Associate Professor  
Standard Library Tenure-Track Timeline**

Year	1	2	3	4	5	6	7	8	9	10
<b>RPT Review</b>				<b>Reappt/ Tenure</b>			<b>Promo- tion</b>			<b>Promo- tion</b>

*2.1.3 Professor*

Initial appointment to the rank of professor shall confer tenure unless a probationary period, not to exceed three years, is specified at the time of appointment.

## **2.2 Tenure**

“Tenure is a major undertaking and shall not be granted unless the faculty member has demonstrated by consistent performance that the academic department will benefit from making a career-long commitment to the faculty member.” (Policy Statement, 1.4.2) Tenure is granted on the basis of demonstrated, high-quality performance in the primary assignment, continued professional growth, and contributions to the missions of the University, the Library, and the department or division. A majority of overall performance ratings that are merit or special merit is a basic criterion for demonstrating consistent performance indicating that the Library will benefit from making a career-long commitment to the individual. Tenure shall be granted only on evidence of past performance; it shall not be granted on the basis of potential for improved performance. Tenure can be granted to an Assistant Professor by a second reappointment at the Assistant Professor rank, to an Associate Professor by reappointment at the Associate Professor rank, or by early promotion.

Faculty who meet the criteria described in “Extension of Probationary Period” (Policy Statement 1.4.8) may request an extension of their probationary period.

## **2.3 Promotion**

Promotion in rank is an independent decision from the granting of tenure. Following a recommendation to grant tenure, the RPT Committee will continue its review and consider the candidate for promotion. A basic requirement for promotion is a record of overall performance ratings that have been merit or special merit for at least three of the last four years. The candidate, who may or may not have administrative responsibilities, also must have demonstrated leadership and made professional contributions. An established record of successful fulfillment of criteria at the current rank and evidence of performance that meets expectations at the higher rank are required for promotion from one rank to another. While successful performance of the primary assignment is the principal criterion, evidence of increasing knowledge and growth in librarianship and contributions in other areas of the criteria also are required. Each faculty member, in consultation with their unit administrator, should develop plans to meet the criteria for the next step in rank. When the unit administrator recommends early promotion for a faculty member, such an action requires justification based on *exceptional* performance.

### **Section 3 - Criteria for Reappointment, Tenure, and Promotion**

Performance standards for the different ranks are in Section 1 of this Handbook. A description of what is expected of candidates for tenure and for promotion can be found in Section 2. Some examples of activities to fulfill the criteria contained in this section are described in more detail in Appendix I, “Descriptive Terms Related to Performance.” The documentation required for reappointment, tenure or promotion is described in Appendix IV, Part A.

Accomplishments in each area of the criteria are required. The scope and quality of an individual’s contributions in each area will vary. While contributions in all areas of the criteria are expected, consistent high quality performance in the primary assignment is weighted more heavily than major accomplishments or extensive activity in the other areas. In accordance with Section 1.1.5 of the Policy Statement, “Basic competence in itself is not sufficient to justify reappointment, as that is a prerequisite for the initial appointment.”

As part of the RPT process, tenured Assistant and Associate Professors have the opportunity for promotion review at least every three years.

#### **3.1 Assistant Professor, first reappointment**

This review usually takes place in the spring semester of the candidate’s third full year of service. See also Section 2.2, “Tenure”.

##### *3.1.1 Primary Assignment*

Performance of the primary assignment, which is the most important consideration for the first reappointment at the Assistant Professor rank, should meet and at times exceed expectations for faculty at this rank and this stage in their careers. The faculty member must carry out the functions and duties of the primary assignment competently and must demonstrate evidence of growth in librarianship, as well as the ability to work independently and to undertake more complex assignments.

##### *3.1.2 Contributions to the Mission and Vision of the Library*

Evidence must be provided that the faculty member is beginning to make contributions beyond the primary assignment and can be expected to be a significant participant in the Library’s endeavors.

##### *3.1.3 Contributions to the Educational, Research, and Service Mission of the University*

Evidence must be provided that the faculty member is beginning to make contributions to areas of the University beyond the Library.

##### *3.1.4 Contributions to the Profession*

Evidence of membership in professional organizations and/or learned societies is required. Increasing involvement beyond membership and attendance at meetings is desired.

### *3.1.5 Tenure Requirements*

Evidence is required that the faculty member is making appropriate progress toward the achievement of tenure. A basic requirement is to have received at least one overall performance rating of merit by the time of this first reappointment consideration.

## **3.2 Assistant Professor, second reappointment conferring tenure**

This review usually takes place early in the spring semester of the candidate's sixth full year of service. See also Section 2.2, "Tenure".

### *3.2.1 Primary Assignment*

Established high quality performance of the primary assignment as an Assistant Professor is required. The faculty member must be carrying out assigned responsibilities independently and be completing more complex assignments.

### *3.2.2 Contributions to the Mission and Vision of the Library*

The faculty member must exhibit a growing leadership role in developing services and programs within the Library. Effective participation in groups, initiative, and problem-solving abilities are important characteristics that must be documented.

### *3.2.3 Contributions to the Educational, Research and Service Mission of the University*

Evidence must be provided that the faculty member is making contributions to areas of the University beyond the Library.

### *3.2.4 Contributions to the Profession*

Evidence must be presented that the faculty member has grown professionally, is making contributions to the library profession and is participating actively in professional organizations and/or learned societies at the state, regional or national levels, beyond maintaining a membership and attending meetings.

## **3.3 Assistant Professor, promotion to Associate Professor conferring tenure; Assistant Professor (tenured), promotion to Associate Professor**

The first review for promotion to Associate Professor usually occurs at the time of tenure consideration for Assistant Professors. Faculty who are awarded tenure at the Assistant Professor rank will have the opportunity for promotion review at least every three years. See also Sections 2.2, "Tenure", and 2.3, "Promotion".

### *3.3.1 Primary Assignment*

Requirements for the fulfillment of the primary assignment at the Associate Professor rank include meritorious performance of assigned duties as an Assistant Professor, performance of increasingly complex assignments and responsibilities in a competent and independent manner, and leadership in the development and provision of services and programs.

*3.3.2 Contributions to the Mission and Vision of the Library*

Faculty must provide evidence of effective leadership beyond the primary assignment. Effective participation in groups, initiative, and problem-solving skills are important characteristics that must be documented.

*3.3.3 Contributions to the Educational, Research and Service Mission of the University*

Evidence must be provided that the faculty member has made contributions to areas of the University beyond the Library.

*3.3.4 Contributions to the Profession*

The faculty member must document continued growth and leadership activity through contributions to the library profession and professional organizations and/or learned societies at the state, regional or national levels.

**3.4 Associate Professor, reappointment conferring tenure**

Faculty who are appointed at the Associate Professor rank usually are considered for tenure during their fourth full year of service. See also Section 2.2, “Tenure”.

*3.4.1 Primary Assignment*

Requirements for the fulfillment of the primary assignment at the Associate Professor rank include meritorious performance of assigned duties, performance of increasingly complex assignments and responsibilities in a competent and independent manner, and leadership in the development and provision of services and programs.

*3.4.2 Contributions to the Mission and Vision of the Library*

Faculty must provide evidence of effective leadership beyond the primary assignment. Effective participation in groups, initiative, and problem-solving skills are important characteristics that must be documented.

*3.4.3 Contributions to the Educational, Research and Service Mission of the University*

Evidence must be provided that the faculty member has made recognized contributions to areas of the University beyond the Library.

*3.4.4 Contributions to the Profession*

The faculty member must document continued growth and leadership activity through contributions to the library profession and professional organizations and/or learned societies at the state, regional or national levels.

### **3.5 Professor**

Professor is the highest rank and is awarded only to those individuals who have achieved national recognition for their professional or academic accomplishments.

#### *3.5.1 Primary Assignment*

Meritorious performance as an Associate Professor is required. The faculty member must provide leadership in all assignments and make significant contributions in all areas of the primary assignment.

#### *3.5.2 Contributions to the Mission and Vision of the Library*

Evidence of significant contributions to the goals and objectives of the Library beyond the primary assignment and responsibility for the development of activities and goals for the department or division is required.

#### *3.5.3 Contributions to the Educational, Research, and Service Mission of the University*

A record of distinguished contributions to the University is required.

#### *3.5.4 Contributions to the Profession*

An established record of significant contributions to the advancement of the profession and recognition by peers on the national level is required.

## Appendix I

### Descriptive Terms Related to Performance

These terms are used in the A&D process, as well as for reviews for reappointment, tenure, and promotion. The evaluation terms (word ratings) used in the A&D process are described in Appendix IV, Part C of this Handbook. The “General Terms” below apply to the broad range of performance; the descriptions for these terms provide examples of what might be taken into consideration. The descriptions and examples of the “Criteria Terms” below provide guidance for applying the criteria described in Section 3 of this Handbook.

#### *Part A: General Terms*

### **Librarianship; Quality and Quantity of Work; Working Relationships; Planning, Organizing and Decision-making; Initiative; Leadership**

#### **Librarianship**

Demonstrates an understanding of the philosophy and the knowledge upon which librarians base their decisions and actions as well as the broad range of activities in which they might engage. Maintains awareness of changes and other current developments in the field, related disciplines and academe, and continues to grow intellectually and professionally. (The OSU Library’s Vision and Mission statements, which are in Appendix X, provide Library Faculty members with a framework upon which to base their development efforts and their contributions.)

#### **Quality and Quantity of Work**

Is accurate; creative; thorough; dependable; applies knowledge of library principles to improve job performance; interprets and integrates information effectively. Completes quantity of acceptable work within reasonable time limitations. Demonstrates dependability through a willingness to follow instructions, meet deadlines, and fulfill responsibilities without direct supervision.

#### **Working Relationships**

Works effectively and courteously with others (library staff, patrons, committees); is receptive to suggestions; is approachable; encourages two-way communication. Cooperates with others to further the objectives of the unit; carries out responsibilities in a timely fashion; willingly fills in for other Library Faculty when necessary; contributes to positive staff relationships; is adaptable, reliable, and flexible.

**Planning, Organizing and Decision-making**

Identifies goals, sets priorities, and organizes work to achieve the goals. Recognizes and anticipates problems, makes suggestions and formulates strategies for improved operations; demonstrates consistency of judgment; deals effectively with changes in the workplace.

**Initiative**

Sets an appropriate example for library staff; explains concepts well; shows extra efforts to attain goals. Seeks better ways to achieve results; exhibits creative thinking; is resourceful.

**Leadership**

Endeavors to provide an environment conducive to the achievement of expected performance in the unit. Fair and impartial toward staff members; recognizes meritorious achievement; gives proper credit for the ideas and work of individuals and groups. Recognizes problem situations and intervenes when needed; solicits suggestions and formulates strategies for problem solving; provides appropriate insight and assistance to facilitate problem solving for library staff. Delegates authority and responsibility when appropriate; encourages the professional advancement of others in support of the Library's goals and the University's mission; gives clear and concise instructions. Exhibits tact and good judgment in handling confidential information.

*Part B: Criteria Terms*

**Primary Assignment; Contributions to the Mission and Vision of the Library;  
Contributions to the Educational, Research, and Service Mission of the University;  
Contributions to the Profession**

**Primary Assignment**

The primary assignment is a statement prepared by the unit administrator which identifies in broad terms those duties designated as being the individual faculty member's primary area of responsibility. It is reviewed annually as part of the A&D process and is updated as responsibilities change. A copy of the statement for the year ahead and a description of any major changes made during the past year are attached to the A&D documents. A consistently high quality of performance in the primary assignment is the most important criterion for tenure and/or promotion. For more details, see Appendix V, Part C, "Primary Assignment Statement."

### **Contributions to the Mission and Vision of the Library**

Faculty make distinct contributions and efforts to meet the Library's Mission and Vision Statements (Appendix X). Examples of activities include, but are not limited to: providing services beyond the primary assignment; organizing programs, workshops, or similar meetings; serving on committees or task forces; preparing grant proposals; designing and participating in special projects, such as those that apply new technologies; receiving awards; developing material for library patrons, e.g. printed guides, web pages, bibliographies; working with colleagues in the faculty association or staff organization.

### **Contributions to the Educational, Research, and Service Mission of the University**

Participate in efforts to accomplish the university's mission (Appendix XI). Examples include, but are not limited to: interacting with students, both undergraduate and graduate, and with faculty; making presentations to classes or groups; organizing workshops, institutes, or similar meetings; serving on University boards and committees; conducting scholarly or research activities, i.e. preparing grant proposals, publishing, or designing research projects; participating in voluntary community service activities.

### **Contributions to the Profession**

Participating in professional organizations and learned societies at the state, regional, and/or national levels as a member, an officer, a committee member, or a committee chair; giving public presentations, organizing programs or teaching in the interest of librarianship; contributing to scholarly or library-related publications, e.g. books, articles, book reviews, bibliographies.

## Appendix II

### RPT Committee

#### *Part A: Introduction*

The Reappointment, Promotion and Tenure Committee or RPT is an elected Library Faculty committee. Its primary responsibility is to recommend whether or not the candidate has met each of the applicable criteria and qualifications for the reappointment, tenure, or promotion, and provide advice to the Dean regarding the personnel action being considered. The Committee also recommends to the Dean on the appointment rank for new faculty. The Committee also conducts cumulative reviews for tenured faculty. In addition, the Committee has other responsibilities as detailed in Appendix II. Pt. B.

#### *Part B: Charge*

The Committee has responsibility for:

- (1) reviewing Library Faculty eligible for reappointment, promotion, and tenure according to University procedures;
- (2) educating and orienting faculty and unit administrators regarding the Library Faculty Handbook, the A&D process, and the cumulative review processing;
- (3) reviewing tenured faculty members on a five year cycle as required by the University's "Cumulative Review of Tenured Faculty" (Oklahoma State University Policy and Procedure Letter 2-0109)
- (4) informing candidates during the formal on-campus interview of the Library Faculty Handbook and the process associated with attaining tenure;
- (5) recommending appropriate faculty rank and, if requested by the Dean of Libraries, tenure status for each candidate interviewed;
- (6) reviewing the Library Faculty Handbook annually to ensure that it is clear and is in compliance with University policies and procedures; and
- (7) reporting activities, problems or concerns to the Dean of Libraries, as needed.

*When the Committee is acting in its capacity of reviewing Library Faculty, all deliberations, including conversations, written material and recommendations, shall be confidential. Faculty trust in the confidentiality of committee proceedings must be maintained.*

### *Part C: Committee Composition*

The Committee is composed of five (5) elected, tenured faculty of whom at least three (3) must hold the rank of Professor or Associate Professor. Committee members are elected to serve one-year terms from October 1 through September 30. Members who have served two consecutive years, or a third year because they were chair during their second year, will be eligible to serve again after an interval of one year since their last committee service.

To provide representation from the public and technical service areas, the Committee will consist of at least three (3) faculty from areas that report to the Associate Dean of Libraries for Research and Instruction Services, from areas that report to the Associate Dean of Libraries for Planning and Assessment; and from the Electronic Publishing Center; and at least one (1) faculty member from areas that report to the Associate Dean of Libraries for Collection and Technology Services. The fifth will be determined by the votes cast and may be from either group.

Four (4) members will be elected each year. To provide continuity, the chair from the preceding year's Committee will continue as a member of the Committee. No committee member will be eligible to serve consecutive terms as chair. Committee members select the chair from among the recently elected members who hold the rank of Associate Professor or Professor.

If the Chair of the previous year's Committee is unable to serve due to exceptional circumstances that Committee will elect from their membership a Professor or Associate Professor who will serve as the ongoing member.

When a member of the Library Faculty is to be considered for promotion to Professor, or for cumulative review of a tenured Professor, the elected Associate Professors and Professors on the Committee will be joined by other Library Faculty members who hold the rank of Professor, excluding the Dean of Libraries, to review the Documentation File and make a recommendation. The Assistant Professors on the Committee will be excused from this activity.

When a member of the Library Faculty is to be considered for cumulative review, he/she may be elected to the Committee, but will be excluded from all cumulative review deliberations. In the event there are fewer than three to serve for cumulative deliberations, the Dean of Libraries will appoint replacements to make up the needed number of committee members. The appointment shall maintain the representation from public and technical services.

### *Part D: Exemptions from Eligibility*

All tenured faculty are obligated to serve if elected. The only exemptions are as follows:

1. No faculty members will be eligible for election to the Committee if they or their spouse will be considered by the Committee during the current academic year.
2. A committee member who has served two consecutive years, or a third year because he/she was chair during their second year, will not be eligible.

3. Associate Deans of Libraries may vote in the RPT election but they are not eligible to serve on the Committee except as needed in deliberations concerning the Professor rank.
4. The Dean of Libraries may vote in the RPT election but is not eligible to serve on the Committee and does not participate in the deliberations concerning the Professor rank.

*Part E: Vacancy*

If a vacancy on the Committee should occur prior to January 15, a special election to fill the vacancy will be held within ten (10) working days. The election list for special elections will be structured to maintain the representation between the public and technical service areas. If a vacancy on the Committee should occur between January 16 and May 31, the Dean of Libraries will appoint a replacement from among the eligible faculty.

*Part F: Election Procedure*

Tenured faculty and those holding tenure-track positions will elect the members of the Committee. The election will be administered by the continuing member of the Committee and the Associate Dean of Libraries for Planning and Assessment. The election will be conducted as follows:

1. In August the continuing member of the Committee and the Associate Dean of Libraries for Planning and Assessment will send to all tenured and tenure-track faculty a notice informing them of the upcoming RPT election and of the related procedures.
2. During September the continuing member of the Committee and the Associate Dean of Libraries for Planning and Assessment will meet to finalize the ballot. Ballots will be distributed to the mailbox of all Library Faculty eligible to vote on the third Monday of September with the election concluding on the following Thursday. Ballot composition will reflect the representation of the Library Faculty, as described in the section on Committee Composition, and will take into consideration the service area of the continuing member.
3. The election will commence on the third Monday of September and last for a period of four days. The ballot will instruct faculty to vote according to existing committee vacancies. Ballots will be returned to the Dean's Senior Office Assistant. Faculty who will not be present during the election period are responsible for making arrangements to vote by contacting either the continuing member or the Associate Dean of Libraries for Planning and Assessment prior to the commencement of the election period.

4. At the close of the election period the continuing member and the Associate Dean of Libraries for Planning and Assessment will meet to count ballots. In the case of a tie, lots will be drawn to determine the winner. The election results will be communicated to the Dean of Libraries and the Chair of the Library Faculty. The continuing member will be responsible for announcing the election results to the Library faculty and convening the first meeting of the Committee.

*Part G: Functions of the Committee*

**Review of Library Faculty for Reappointment, Promotion and Tenure; Tenured Faculty Cumulative Review; Education and Orientation; Recommending Appropriate Faculty Rank for Visiting Candidates Interviewing for Tenure-Track Positions**

**Review of Library Faculty for Reappointment, Promotion and Tenure**

The Committee reviews the documentation for those faculty members who are being considered for reappointment, promotion, and/or tenure (RPT) following processes described in Appendix V, Part B.

**Tenured Faculty Cumulative Review**

The Committee will conduct on a five year cycle, the review of tenured faculty as required by the University's "Cumulative Review of Tenured Faculty" (Oklahoma State University Policy and Procedure Letter 2-0109), following the process described in Appendix VI, Part E.

**Education and Orientation**

The Committee holds annual informal sessions (aka Brown Bag sessions) to discuss the A&D and RPT processes and to answer questions. These sessions occur after the Associate Dean of Libraries for Planning and Assessment conducts an annual orientation session on A&D and RPT process for all faculty members

**Recommending Appropriate Faculty Rank for Visiting Candidates Interviewing for Tenure-Track Positions**

The chair ensures that the Library Faculty Handbook is current and that the Library's Administrative Officer retains a copy. The Administrative Officer provides a copy of the Library Faculty Handbook to the candidate before the visit.

Committee members meet with each visiting candidate for a tenure-track position and review the composition and formation of the Committee and the process for appointment, reappointment, promotion and tenure (RPT). Members answer questions that candidates may have regarding the process. At least two (2) members of the Committee should be present at the meeting.

The Committee reviews the Search Committee's files on each candidate interviewed for a tenure-track position and, after reaching a consensus, recommends to the Dean of Libraries an appropriate academic rank and, if requested by the Dean of Libraries, tenure status for the candidate using Section 2.1 of this Handbook as a guide.

Note: The Committee does not meet with candidates for non-tenure track faculty positions.

## **Appendix III**

### **College-Level Review Committee**

#### *Part A: Introduction*

This Committee, composed of the Associate Deans of Libraries, provides the third level of review in the RPT process. The Committee provides “the Dean with a professional opinion about the qualifications of the candidates for reappointment, promotion or tenure.” (See Oklahoma State University Policy and Procedures Letter 2-0902)

#### *Part B: Charge*

This Committee reviews the candidates’ documentation file, which contains the recommendations provided by the RPT Committee and the unit administrator, against the standards outlined in the Library Faculty Handbook for fairness in procedure and for consistency in review within the Library. The Committee also provides a recommendation about the qualifications of each candidate for reappointment, promotion or tenure.

#### *Part C: Committee Composition*

The Committee is composed of the Associate Deans of Libraries. In the event there are fewer than two Associate Deans who are eligible to serve, the Dean will appoint tenured faculty members who hold the rank of Professor or Associate Professor to make up the needed number of Committee members.

#### *Part D: Eligibility*

No Associate Deans or faculty members will be eligible to serve on the Committee if they or their spouses will be considered by the Committee during the current academic year.

## **Appendix IV**

### **Appraisal and Development (A&D) Process**

All Library Faculty participate each spring in the A&D process, which covers activities for the previous calendar year. Tenure-track faculty, both tenured and non-tenured, are evaluated every year as described in Appendix IV Part A. Faculty who are not on the tenure-track, are evaluated each year as described in Appendix IV Part B. All material developed during the A&D process is placed in each faculty member's Personnel File. The Oklahoma State University Policy and Procedures Letter 2-0112 describes in more detail the procedures for the process.

Each faculty member should maintain a log of activities throughout the year. In December they should begin preparing documents for the A&D process and should review and update their vitae.

#### *Part A: The A&D Process for Tenure-Track Faculty*

##### **A.1 A&D Form**

Oklahoma State University has developed a standardized Faculty Appraisal and Development Program form (A&D form) which is used as a cover sheet for the document that is developed during the appraisal process. (A copy is included in Appendix VIII.) The form assumes that persons with faculty ranks have involvement in areas such as "Teaching," "Research and Creative Activities," and "Extension." These sections should be completed only when a portion of a faculty member's assignment is actually funded by the instructional budget, outside research sources, or an extension office.

##### **A.2 Library Appointments**

In the case of the Library, most faculty have assignments that are regarded as 100 percent "Librarianship." For detailed guidance regarding the various areas that are included in this category, including examples of activities within each area, consult Appendix I of this Handbook.

##### **A.3 A&D Document**

###### **A.3.1 Faculty Member's Responsibilities**

Library faculty report their activities and accomplishments for the past calendar year in essay or outline format, using the primary assignment and other criteria in Section 3 of this Handbook as a guide for organizing their information

This description should be concise, clear and well organized, and it should include enough detail to give a person who is not a close co-worker some idea of what the faculty member has accomplished. Faculty should focus on activities for which they have responsibility, especially those in the primary assignment.

All faculty are expected to describe the ways in which they interacted with students during the year, especially undergraduates. In addition, they indicate the progress they have made towards achieving their goals for the past year, as well as identify goals and objectives for the year ahead. As appropriate, some of the goals should be directed toward achieving promotion. The faculty member attaches the description, with any goals and objectives, and a current vita to the A&D form and gives it to the unit administrator

Faculty members are encouraged to consult with their unit administrator or tenured colleagues for guidance in completing the annual A&D documentation as well as in establishing their goals and objectives for the calendar year ahead. The RPT Committee sponsors informal sessions which are announced in advance and are aimed at assisting faculty who need clarification regarding any aspect of the A&D process.

#### **A.4 Faculty Member's Rebuttal (Optional)**

Faculty members have the opportunity to prepare rebuttals in the A&D process.

As part of the A&D process, following the conference with their unit administrator (see Section A.5.1 of this appendix), faculty members have ten calendar days to write a rebuttal to the A&D evaluation(s) by the unit administrator and/or the unit's ADL. These rebuttals should be addressed and submitted to the Dean of Libraries, who will share them with the unit administrator and will place them with the A&D documents.

If requested by the faculty member, the unit administrator shall obtain appropriate counsel from the current RPT committee, in compliance with footnote 4 of the *Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of the Oklahoma State University*, to determine whether the appraisal is justified, and if so, what measures to improve performance are warranted.

If a disagreement between the faculty member and the unit administrator is not resolved subsequent to the faculty member's written response and/or faculty counsel, the unit administrator must alert the dean within five (5) working days. The dean must resolve the matter and respond in writing within 20 working days to the unit administrator with a copy to the faculty member.

#### **A.5 Unit Administrators' Responsibilities**

##### **A.5.1 Evaluation and Professional Development Recommendations**

The unit administrator to whom the faculty member reports prepares a written document that clearly gives a word rating for overall performance. The document also should contain a word rating for the performance of the primary assignment and, as appropriate, for each aspect of it. These ratings are accompanied by an explicit evaluative statement based on the faculty member's description of activities, performance of the primary assignment, other accomplishments during the year and, for non-tenured faculty, an assessment of their progress towards achieving tenure. In arriving at this appraisal, the unit administrator may consult

colleagues and other professionals with whom the faculty member has worked during the year, such as the Assistant Department Head, committee chairs or fellow members of work teams. The unit administrator also prepares a statement, as needed, that contains comments regarding areas of responsibility that need attention and recommendations regarding professional development activities in which the faculty member might engage.

If the faculty member has a split appointment, the draft appraisal statement shall be prepared by the unit administrator of the faculty member's home department after consulting with unit administrators of other units in which the faculty member has assigned responsibilities. All unit administrators involved shall sign the draft appraisal document. If the involved unit administrators disagree significantly on the evaluation, the matter shall be brought to the attention of the Associate Dean of Libraries (as noted in A.5.3) to whom the faculty member's home unit administrator reports for resolution.

The unit administrator should also encourage the faculty member to work towards promotion. As appropriate at mid-year the unit administrator should informally review the A&D documentation related to the current year and meet with the faculty member to discuss the progress being made. The faculty member may request such a review at any time.

#### **A.5.2 Review of Primary Assignment Statement, and Goals and Objectives**

The unit administrator annually reviews the faculty member's primary assignment statement and makes necessary revisions. The primary assignment statement is described in more detail in Appendix V, Part C. The goals and objectives included with the description of activities also are reviewed, and adjustments or additional goals are noted as appropriate.

#### **A.5.3 Review by Associate Dean of Libraries**

The unit administrator who is a department head shares the evaluation material and the primary assignment statement with the unit's Associate Dean of Libraries (ADL). The ADL reviews the material to ensure the evaluation is consistent with others in the ADL's sphere of responsibility, writes an evaluative statement, and makes suggestions regarding goals, objectives, or professional development as appropriate.

#### **A.5.4 Hold Conference with Faculty Member**

The unit administrator should provide the faculty member with a copy of the draft of the written appraisal statement at least three (3) working days before the conference is scheduled. If the faculty member wishes to clarify or change any part of the draft statement, he/she should provide the unit administrator with a written statement specifying the requested clarifications or changes at least one (1) working day before the conference is scheduled.

The unit administrator holds a conference with the faculty member to discuss the evaluative statements and the material in the A&D document, including the primary assignment statement and any revisions. During the conference, in consultation with the unit administrator's ADL, the unit administrator and faculty member should attempt to make changes in the draft appraisal statement that will make it satisfactory to both parties. They also review the faculty member's accomplishments, goals, and plans for professional development and for progress toward tenure

and/or promotion. The unit administrator makes sure that all appropriate signatures are on the documents in the A&D packet and delivers it to the Dean of Libraries.

*Part B: The A&D Process for Non-Tenure Track Faculty*

Non-tenure track faculty are evaluated as part of the A&D process. Only a brief description of their accomplishments relating to their primary assignment is required, whereas tenure-track faculty prepare more detailed descriptions as described in Appendix IV.A.3.1.

The unit administrator's evaluative statement for the non-tenure track faculty must be accompanied by a word rating for overall performance. This material is reviewed by the ADL, who indicates whether they concur with the evaluation and gives reasons for any differences. The unit administrator and the faculty member then meet to discuss the evaluation, professional development plans and any changes in the primary assignment. The unit administrator then delivers the completed A&D documents to the Dean of Libraries.

*Part C: Evaluation Terms (Word Ratings) Used in the A&D Process*

During the annual evaluation by the unit administrator, each faculty member is given a word rating which describes performance for the past year. Word ratings may be accompanied by a plus (+), but not by a minus (-). The RPT Committee takes the word rating into consideration along with the evaluation narrative and other material in the Documentation File. The Dean of Libraries uses the word rating when determining salary increases based upon performance. For tenure and reappointment implications of the ratings, see Section 2.2 and Section 3.

The terms used, and the related definitions, are:

Special Merit	Performance has been exceptional; this faculty member made notable distinguished contributions during the year.
Merit	Performance exceeds many of the expectations for faculty at this rank and this stage in their careers.
Good	Performance demonstrates basic competence in meeting general expectations for faculty at this rank and this stage in their careers.
Needs Improvement	Performance is below what normally is expected of faculty at this rank and this stage in their careers, but improvement can be achieved and is expected in the immediate future.
Unsatisfactory	Performance consistently has been inadequate, not meeting what normally is expected of faculty at this rank and this stage in their careers, and a necessary improvement has not been forthcoming.

## Appendix V

### **Reappointment, Promotion and Tenure Review: Documentation File and Review Process by RPT Committee and Other Administrators**

The Oklahoma State University Policy and Procedures Letter 2-0902 describes in more detail the procedures for the process.

For a brief summary of the review process, month by month, consult Appendix VII.

#### **Part A: Documentation File**

In November the Associate Dean of Libraries for Planning and Assessment compiles a Documentation File for each faculty member scheduled to be reviewed by the RPT Committee. The Documentation File is the principal source of information for administrators and the RPT Committee during the reappointment, promotion and tenure (RPT) review process. It contains the “Reappointment, Promotion/Tenure Recommendations Form: Development of the RPT Documentation File” (see example attached in Appendix VIII). This form provides a minimal list of items to be included in the candidate’s documentation file, such as the A&D documentation, relevant supporting information or documentation, and other related materials as described in A.1.

The candidate is provided with the opportunity to review the Documentation File for accuracy and completeness with exception of those parts to which they have waived any right of access. After the initial review of the Documentation File, the candidate has ten calendar days to prepare rebuttals to any letters placed in that file, with the exception of letters from external reviewers to which the faculty member has waived his/her right to access. The rebuttals must be addressed to the Dean of Libraries, who places them with related material in the Documentation File.

The candidate then signs the “Reappointment, Promotion/Tenure Recommendations Form: Development of the RPT Documentation File” to indicate having had the opportunity to review the file. Only the RPT recommendations and rebuttals to the first negative reappointment, promotion, and/or tenure recommendation may be added to the Documentation File after the candidate has signed the “Reappointment, Promotion/Tenure Recommendations Form: Development of the RPT Documentation File.”

In the A&D process the unit administrator and, as appropriate, the Associate Dean of Libraries has the opportunity to review the Documentation File when preparing their evaluative statements and recommendations. Following the conference with the unit administrator, the candidate may prepare any rebuttals, as described above and in Part B.2.4 of this Appendix. The A&D document, with the evaluations and any rebuttals, are placed in the Documentation File. Nothing may be added or removed without the candidate’s knowledge.

The RPT Committee, Unit Administrator, College-Level Review Committee and the Dean of Libraries use the file in developing their recommendations. The “Reappointment, Promotion/Tenure Recommendations Form: Summary of Recommendations” is signed by the chair of the RPT Committee, the faculty member’s unit administrator, College-Level Review Committee representative, and the Dean of Libraries. The Documentation File then is forwarded to the Office of the Vice President along with the separate recommendations of the Dean of Libraries, the RPT Committee, the Associate Dean of Libraries and the unit administrator.

When the file is returned to the Library, all of the materials are incorporated into, or returned to, the faculty member's Personnel File, except for any letters to which the right to access has been waived. These letters are retained permanently in a separate, confidential file.

### *A.1 Folders in the Documentation File*

#### *A.1.1 Main Folder*

For tenure-track faculty who are not tenured, this folder is required to contain copies of current and all past A&D documents, primary assignment statements and any RPT recommendations, as well as a copy of the original appointment documents, current primary assignment, and current vita. There is a standard “Reappointment, Promotion/Tenure Recommendations Form: Development of the RPT Documentation File” (Appendix VIII) which provides basic information required by the University. For tenured faculty, only the most recent three formal A&D documents are required to be placed in this folder.

Each candidate has the opportunity to add to this folder any relevant supporting information or documentation that might be helpful to the reviewers. Examples of items that might be added include, but are not limited to, relevant material from the individual’s Personnel File, examples of library guides or instructional aides prepared by the candidate, or reports of projects in which the faculty member was involved.

#### *A.1.2 Self-Assessment Statement (Tenure Review)*

The Vice President for Academic Affairs (VPAA) requests that faculty who are being considered for tenure prepare a succinct self-assessment statement that presents additional information to support their application and illustrates how they meet the criteria for tenure. This statement should provide a qualitative review of their major accomplishments during their probationary years, how these relate to meeting their long-range goals and those of the Library, and how they have contributed and expect to continue to contribute to the Library and the University. This statement is sent to the VPAA, along with the recommendations and the Documentation File.

#### *A.1.3 External Review File (Tenure and/or Promotion)*

##### *A.1.3.1 External Reviewers*

Three letters from reviewers outside of the Library, the University, and the OSU branch campuses are required for faculty being considered for tenure and/or promotion. Letters from external reviewers are not required for the first reappointment as Assistant Professor. In response to a request by the Dean of Libraries, a faculty member to be reviewed for tenure or promotion must provide the names of at least three external reviewers. Additionally, the faculty member’s

unit administrator in collaboration with the RPT Committee must provide the names of at least two external reviewers.

The external reviewers should have tenure and hold at least the rank for which the candidate is being considered, or be in a position with a level of responsibility similar to that of the higher rank. They should be recognized scholars or practitioners in their disciplines, and be especially knowledgeable about the faculty member's area of expertise.

From the faculty member's and unit administrator/RPT Committee's lists of reviewers, the candidate and unit administrator should select a group of at least three names (including at least one name from each list) for contact. The RPT Committee reviews the list before the unit administrator sends it to the Dean of Libraries who will write to the reviewers to solicit their comments regarding the faculty member.

#### A.1.3.2 Items Sent to External Reviewers

The following subset of items from each candidate's RPT file will be sent to external reviewers:

For candidates for tenure and possible promotion:

- Current year's A&D document (minus supporting documentation)
- All A&D documents (minus supporting documentation) since the time of appointment to the tenure-track
- Current vita
- Primary Assignment
- Self-Assessment Statement
- Relevant sections of the Library Faculty Handbook

For candidates for promotion:

- Most recent three formal A&D documents, which includes the current year A&D document (minus supporting documentation)
- Current vita
- Primary Assignment
- Relevant sections of the Library Faculty Handbook

A copy of the letters sent to the reviewers shall be provided to the faculty member and included in the external letters folder. Each candidate has the option to waive or to retain the right to review the letters received from external reviewers. A copy of a signed waiver shall be placed in the external letters folder.

#### A.1.4 Solicited Letters Received from Library Faculty

Each year, the Dean of Libraries provides the Library faculty with a list of the names of all persons who are scheduled to be reviewed by the RPT Committee. Faculty who wish to submit a letter regarding any of the persons to be reviewed are invited to send their written comments directly to the Dean of Libraries.

#### A.1.5 Unsolicited Letters Received from Other Faculty

This folder contains letters received by the Dean of Libraries from faculty outside of the Library who have clearly provided statements relating to tenure and/or promotion considerations.

#### A.1.6 Unsolicited Letters Received from Non-Faculty

Letters from persons who are not faculty members are placed directly into the Personnel File.

### **Part B: RPT Review Process**

#### *B.1 RPT Committee's Review*

The RPT Committee reviews the documentation for faculty members who are being considered for reappointment, promotion, and/or tenure fairly and objectively. The Committee carries out much of its work in February, and members give highest priority to participating in the deliberations, which are confidential. The Committee considers each individual's contributions in the areas of their primary assignment and other professional activities based on the established criteria. Consideration is given to the word ratings, the reports of activity, the evaluation statements, and related material in the Documentation File.

The Committee is expected to obtain as much information as needed to make their decision. In the process they may consult with any persons they believe may be able to clarify, or to provide additional information regarding material in the candidate's Documentation File. If additional information obtained by the Committee has the potential to result in a negative recommendation, this new information must be shared with the candidate in writing. However, clarification or additional information obtained from references for whom the candidate has waived the right to review will not be shared with the candidate. The candidate must have an opportunity to submit a response in writing or in person within a mutually agreed upon time period, not to exceed ten calendar days. The Committee must prepare written notes regarding any response from the candidate that takes place in person and share these notes with the candidate prior to finalizing the recommendation.

The chair of the Committee meets with the Dean of Libraries before the recommendations are completed to make the Dean aware of the recommendations coming forward.

Committee members prepare a written recommendation for each individual. The recommendation, with accompanying statements, is addressed to the Dean of Libraries and is signed by the Chair and all the RPT Committee members. This document contains the specific recommendation (e.g. "reappointment," "nonreappointment," "promotion," or "no promotion") and a brief statement addressing how the faculty member has or has not met the criteria as well as, if appropriate, areas needing attention not identified elsewhere that might enable the candidate to be successful in a future review. "If there is a divergence of opinion within the Committee, both majority and minority opinion shall be indicated within a single recommendation letter." (Oklahoma State University Policy and Procedures Letters 2-0902)

The Chair of the RPT Committee gives a copy of the Committee's recommendation to each candidate in a confidential manner as soon as reasonably practical, normally within three working days after the recommendation is finalized. The Chair of the RPT Committee also

places a copy of the RPT recommendation in each candidate's documentation file and provides copies to the respective unit administrator and the respective ADL.

## *B.2 Prepare Recommendation Statements*

### **B.2.1 Unit Administrator's Recommendation**

After the candidate has been reviewed by the RPT Committee, the unit administrator reviews the documentation file and develops a statement that gives a recommendation for tenure and/or promotion. The unit administrator places the statement in the documentation file and gives a copy to the candidate and to the respective ADL.

When the faculty member being reviewed for tenure or promotion reports directly to the Dean of Libraries, the Dean will appoint a senior member of the Library Faculty to serve as the faculty member's unit administrator. The "acting" unit administrator will review the documentation file and write a Statement of Recommendation as described above. The "acting" unit administrator will also record his/her recommended action and signature on the RPT Summary of Recommendations form.

### **B.2.2 College Level Review Committee Recommendation**

The College- Level Review Committee then reviews the documentation file and develops its statement that gives a recommendation for tenure and/or promotion. The Committee places the statement in the documentation file and gives a copy to the candidate and to the respective unit administrator.

### **B.2.3 Dean of Libraries' Recommendation**

The Dean of Libraries receives the documentation file and prepares a separate statement that gives a recommendation for tenure and/or promotion.

Each of the statements shall be given to the candidate in a confidential manner as soon as reasonably practical, normally within three working days, after the recommendation is finalized. The faculty member has the opportunity to write a rebuttal to the first negative recommendation. These recommendation statements are forwarded to the VPAA on top of the other A&D documents.

### **B.2.4 Faculty Member's Rebuttal (Optional)**

Faculty members have several opportunities to prepare rebuttals in the RPT process.

As part of the RPT process, faculty members have ten calendar days after they initially review their Documentation File to prepare rebuttals to any letters placed in that file, with the exception of letters from external reviewers to which the faculty member has waived his/her right to access. These rebuttals should be addressed and submitted to the Dean of Libraries, who will share them with the unit administrator and will place them in the Documentation File.

As part of the RPT process, faculty members have three working days to write a rebuttal of no more than 1,000 words to the *first* negative reappointment, promotion, and/or tenure

recommendation they receive (from the RPT Committee, unit administrator, College-Level Review Committee, or Dean). When this rebuttal is to the RPT Committee's, unit administrator's, or College-Level Review Committee's recommendation, it should be addressed and submitted to the Dean of Libraries. When this rebuttal is to the Dean's recommendation, it should be addressed to the VPAA and submitted to the Dean of Libraries. The Dean will share the rebuttal with the appropriate unit administrator and ADL, and add it to the faculty member's Documentation File.

## **Part C: Primary Assignment Statement**

### *C.1 Description*

The primary assignment statement describes in broad terms the major duties and responsibilities of each Library faculty's position. Responsibilities are listed in order of importance. The relative importance of an activity is a factor in an individual's overall performance rating.

The unit administrator prepares the statement and revises it when there are major changes in an individual's responsibilities. Revisions are not needed for minor changes, such as when duties are temporarily reassigned to cover vacancies. The unit administrator decides whether or not the statement needs to be signed.

There may be major activities identified which need to be carried out in the year ahead or the next few years; these complement the primary assignment statement but are not an integral part of it. They can be included in the A&D document under a heading such as "Major Activities," "Areas Needing Attention," or "Goals and Objectives."

### *C.2 New Tenure-Track Faculty*

The primary assignment statement for newly appointed tenure-track faculty is prepared and shared with the faculty member within three months after the beginning of employment. It may be revised during the year should the assignment change.

### *C.3 Continuing Tenure-Track Faculty (Non-Tenured.)*

The primary assignment statement is reviewed as part of the A&D process as described in Appendix IV, Part A.5.2. It is revised at other times as assignments change.

### *C.4 Tenured Faculty*

The primary assignment statement is reviewed as part of the A&D process as described in Appendix IV, Part A.5.2. It is revised as needed and at other times as assignments change.

### *C.5 Non-Tenure Track Faculty*

The primary assignment statement for non-tenure track faculty is prepared and shared with the faculty member within a month after the beginning of employment. It is reviewed and revised as needed during the A&D process and at other times as assignments change.

## **Appendix VI**

### **Cumulative Review for Tenured Faculty**

#### **Part A: Introduction**

A Cumulative Review shall take place for each tenured faculty member every five (5) years. “A review conducted to grant promotion qualifies as cumulative review.” (Oklahoma State University Policy and Procedure Letter 2-0109 Section 1.01) All members of the Reappointment, Promotion and Tenure Committee shall serve as the Cumulative Review Committee. The Committee shall provide feedback to the faculty under review, including accomplishments or deficiencies, which “promote faculty development” (Oklahoma State University Policy and Procedure Letter 2-0109 Section 2.10).

#### **Part B: Faculty Subject to Cumulative Review**

For each tenured faculty member a cumulative review shall take place every five (5) years. A promotion review, including a review for Regents Professor, may be substituted for a cumulative review.

1. Rescheduled review. The cumulative review may be rescheduled due to a leave of absence, sabbatical, administrative assignment outside the department/Library or other extenuating circumstances as determined by the library administration.
2. Exemptions. Exceptions are tenured faculty with administrative appointments of Associate Deans and above, or those who have given formal notice of their retirement or resignation.

#### **Part C: Review Criteria**

The standards for Library Faculty Ranks in Section 1 of the Library Faculty Handbook serves serve as criteria for cumulative review of tenured faculty. For clarity, they are repeated in this section.

A faculty member’s rank is based upon professional accomplishments as a librarian rather than upon years of experience.

##### **1. Assistant Professor**

Assistant Professors are expected to be competent, productive librarians demonstrating an understanding of their roles in an academic library and making contributions beyond the basic requirements of the primary assignment. Assistant Professors also demonstrate continued professional development as evidenced, for example, by active participation in professional organizations and in library or university committees.

## **2. Associate Professor**

Associate Professors are expected to maintain a high-quality level of service and to contribute to the goals of the Library, the department or division and to the educational function of the University beyond normally assigned duties. Associate Professors also provide leadership in the development of library services and programs and in appropriate professional organizations or learned societies at the state, regional, and/or national levels.

## **3. Professor**

Professors are responsible for providing leadership in the overall development of the department or division, the Library and the University. In addition to improving library programs and services in their areas of expertise, Professors assume major responsibility for developing and coordinating library services provided on and off campus. Having achieved the rank of Professor each individual is expected to continue to make significant contributions professionally and/or academically.

### **Part D: Cumulative Review Documentation**

#### *D.1 Documentation the Associate Dean Must Provide:*

Associate Dean of Libraries for Planning and Assessment provides to the committee the following documents and information for each faculty member scheduled to be reviewed:

1. The annual appraisal and development documents together with primary assignment statements of the faculty member for the last five years.
2. A copy of the faculty member's last cumulative review report or promotion recommendation.

#### *D.2 Documentation the Faculty Member Must Provide:*

The faculty member under review provides to the committee the following documents and information:

1. A current curriculum vita.
2. An individual development plan stating the faculty member's professional goals and objectives for the next review period.
3. The faculty should note his/her review of the file by signature on the "Cumulative Review Form: Development of the Cumulative Documentation File."

The faculty member is provided with the opportunity to review the Documentation file for accuracy and completeness. After the initial review of the Documentation File, the candidate has seven (7) calendar days to add additional supporting documentation or information.

### **Part E: Review Process**

The Committee shall

1. Assess the faculty's member overall performance during the review period in terms of the Library's performance standards and expectations, and encourage continued professional growth and development.
2. Prepare a written report to describe the faculty member's accomplishments or deficiencies, and submit it to the faculty member under review and their unit administrator.
3. Propose a corrective development plan in cooperation with the unit administrator and faculty members if deficiencies are found.

The faculty member and the unit administrator shall be given ten (10) working days to respond to the report in writing, and the committee may revise its report based on the faculty member's response and the unit administrator's response.

A final copy of the committee's report, the faculty member's response, and the unit administrator's response, if any, shall be provided to the faculty member, the unit administrator, and/or the ADL. These documents and the documentation listed in VI. Part D, Cumulative review documentation, shall be included in the faculty member's personnel file.

Unit administrator shall provide a summary report of the cumulative review results to the Dean on an annual basis.

### **Part F: Rewarding Faculty for Outstanding Performance**

The cumulative review process should identify and recognize outstanding performance by faculty members. The report may be used by the Library administrators as a basis for supporting faculty members in carrying out their professional goals and responsibilities and compensating those with outstanding performance.

### **Part G: Corrective Development Plan**

The committee shall develop a corrective plan to improve performance and address deficiencies for faculty members whose overall performance reflects substantial deficiencies.

1. The plan shall be developed in cooperation with the unit administrator and the faculty member.
2. It should be individualized and flexible; taking into account the faculty member's intellectual interests, abilities, and career stage, as well as needs of the unit and the library.

3. The plan should include the following.
  - a. Establish clear performance goals.
  - b. Specify steps designed to achieve those goals,
  - c. Define indicators of goal attainment.
  - d. Identify resources available for implementation of the plan.
  - e. State the consequences of failure to attain the goals.
4. The annual appraisal and development review should be used to assess progress toward goals specified in the plan.
5. The plan shall be completed twenty one (21) calendar days after the committee submits its final report to the faculty member under review and the unit administrator.

#### **Part H: Dispute Resolution**

If a faculty member believes that the committee report, the corrective plan, or administrative actions taken as a result of the cumulative review are unfair or that they fail to honor the legitimate exercise of academic freedom, he/she may request a review of the matter utilizing the policies and procedures outlined in Appendix E of the Policy Statement.

#### **Part I: Disciplinary Action**

The purpose of cumulative review is to promote faculty development. Any disciplinary action that comes after cumulative review shall adhere to all prescribed procedures in the Policy Statement.

## Appendix VII

### Timeline for Annual Review of Library Faculty

The following timeline provides an approximate schedule for the A&D process. Library faculty should follow the calendar issued each year in the fall by the Dean of Libraries.

- August** Associate Dean of Libraries for Planning and Assessment prepares preliminary list of faculty scheduled for RPT review in the coming year; Dean of Libraries distributes to all faculty.
- Faculty with an option to withdraw, or who wish to request an early review, submit their request to Dean of Libraries.
- Continuing member of the RPT Committee provides Library Faculty members with information regarding the upcoming election to form a new RPT Committee.
- September** Election of Faculty RPT Committee begins on the third Monday of the month and ends on the following Thursday. Continuing member of RPT Committee announces results of election and convenes members for first meeting. New chair is elected by committee members.
- Library faculty scheduled for RPT review are so notified by the Vice President's office.
- Faculty members being considered for reappointment, promotion, and/or tenure should be notified by the unit administrator that they have through mid-January to assemble and submit materials for their documentation file.
- Dean of Libraries receives information from Vice President regarding the A&D process which includes the names of Library faculty scheduled for RPT review.
- The Associate Dean of Libraries for Planning and Assessment reviews names to ensure they coincide with Library's list of persons scheduled for review.
- The Associate Dean of Libraries for Planning and Assessment conducts an annual orientation session on A&D and RPT process for all faculty members.
- Dean of Libraries requests names of external reviewers from faculty members being considered for tenure and/or promotion, and from their unit administrators in collaboration with the RPT committee, as outlined in Appendix V, A.1.3
- October** RPT Committee has organizational meeting and develops plans for the year; Dean of Libraries meets with Committee.

Dean of Libraries sends memorandum to all Library faculty regarding the A&D process, including the timetable and procedural instructions which must be followed, and which includes a copy of the form to be completed for those being reviewed.

The RPT Committee reviews the list(s) of external reviewers before the unit administrators send them to the Dean of libraries, as outlined in Appendix V, A.1.3

Faculty begin to prepare material for the A&D process as appropriate.

**November/  
December** Dean of Libraries writes to external reviewers to solicit their comments regarding candidates scheduled for tenure and/or promotion consideration by the RPT Committee.

RPT Committee sponsors informational sessions, announced in advance, which are intended to assist faculty who need clarification regarding any aspect of the A&D process.

Dean of Libraries notifies Library Faculty that they may submit statements concerning the faculty scheduled for RPT review.

Associate Dean of Libraries for Planning and Assessment prepares information for RPT documentation files and ensures that each file is kept secure to maintain confidentiality.

Faculty scheduled for RPT consideration conduct initial review of their Documentation File and prepare any rebuttals to letters, with the exception of letters from external reviewers to which the faculty member has waived his/her right to access.

A&D documents are completed by all faculty scheduled for RPT review and provided to the unit administrator and placed in the Documentation File.

Unit administrator and appropriate ADL review documentation and develop A&D evaluations; conference is held with the faculty member to discuss the A&D evaluations. All evaluations are placed in the Documentation File.

Faculty members scheduled for RPT review submit any rebuttals to their A&D evaluations, complete a final review of the Documentation File, and sign the "Reappointment, Promotion/Tenure Recommendations Form: Development of the RPT Documentation File."

**January** RPT Committee begins its deliberations regarding each of the candidates scheduled for review.

**February** Faculty not scheduled for RPT review, or who have exercised their option to withdraw from consideration, complete their A& D evaluations and provide them to their unit administrators.

Unit administrators and appropriate ADLs evaluate the A&D documentation received from faculty not scheduled for RPT review; a conference is held with these faculty members regarding their A&D evaluations. Any rebuttals are submitted.

RPT Committee provides a written recommendation by the end of the first full week of the month, for each candidate, and places the recommendation in the candidate's Documentation File. The Committee gives also a copy of the recommendation to the candidate, the respective unit administrator and the ADL. The candidate may rebut this recommendation if it is the first negative reappointment, promotion, or tenure recommendation.

The unit administrator reviews the Documentation File, provides a written recommendation for each candidate by the middle of the month, and places the recommendation in the candidate's Documentation File. The unit administrator gives also a copy of the recommendation to the candidate, and the respective ADL. The candidate may rebut this recommendation if it is the first negative reappointment, promotion, or tenure recommendation.

The College-Level Review Committee reviews the Documentation File, provides a written recommendation for each candidate by the end of the month, and places the recommendation in the candidate's Documentation File. The Committee gives also a copy of the recommendation to the candidate, and the respective unit administrator. The candidate may rebut this recommendation if it is the first negative reappointment, promotion, or tenure recommendation.

**March**

The Dean reviews the Documentation File, prepares a recommendation for each candidate, and provides each candidate with a copy of this recommendation. The candidate may rebut the Dean's recommendation if it is the first negative reappointment, promotion, or tenure recommendation.

Dean of Libraries forwards completed Documentation File and the recommendations regarding each candidate being reviewed to the Office of the Vice President.

A&D evaluations for all faculty not considered by the RPT Committee are forwarded to the Dean of Libraries for review and placement in the Personnel File for the respective faculty members.

Associate Dean of Libraries for Planning and Assessment prepares information for the cumulative review documentation files and ensures that each file is kept secure to maintain confidentiality.

All faculty scheduled for cumulative review must provide to the Associate Dean for Libraries for Planning and Assessment the individual development plan that states the faculty member's professional goals and objectives for the next five (5) years. This plan will be added to their cumulative documentation file.

**April** Cumulative Review Committee begins its deliberations regarding each of the candidates scheduled for cumulative review.

Cumulative Review Committee provides a written report by the end of the month, to the candidate, the respective unit administrator, and /or the ADL. The candidate and/or unit administrator may respond to this report.

**May** The VPAA reviews the Documentation File, prepares a recommendation for each candidate, and provides the Dean of Libraries with this recommendation.

Cumulative Review Committee may revise its report based on the responses from the faculty member and/or the unit administrator, if any. A final copy of the committee's report and the responses shall be provided to the faculty, the respective unit administrator, and/or the ADL. These documents shall also be placed in the faculty member's personnel file.

If needed, any corrective development plans required by the Cumulative Review Committee are completed. This is done in conjunction with the faculty member and the respective unit administrator.

Corrective development plans are provided to the candidate, the respective unit administrator and/or the ADL.

The unit administrator provides a summary report of the cumulative review results to the Dean.

**June** Reappointment, tenure and promotion recommendations are acted upon by the Board of Regents.

Dean of Libraries informs individual faculty and their department heads and ADLs of the Board of Regent's action in writing. The letters must be distributed within 48 hours after the Board's action.

## **Appendix VIII**

### **Sample Documents**

The pages that follow contain examples of documents that have a role in the A&D, RPT, and cumulative review processes.

#### **Annual Faculty Appraisal and Development Program Form**

#### **Instructions for Completion of A & D Documentation**

#### **Primary Assignment Statement**

Humanities/Social Sciences Division  
Catalog Department

#### **Reappointment, Promotion/Tenure Recommendations Forms to accompany recommendations for university action**

*“Development of the RPT Documentation File”*

*“Summary of Recommendations”*

#### **Composite List of Outside Reviewers And Waiver of Right to Examine Letters Received**

#### **Cumulative Review Form: Development of the Cumulative Documentation File**

**Annual Faculty Appraisal and Development Program Form**  
Check U:/RPT/Forms/AandDCoversheet.docx each year for the current version of this form

**OKLAHOMA STATE UNIVERSITY**  
**ANNUAL FACULTY APPRAISAL AND DEVELOPMENT PROGRAM FORM**

Name \_\_\_\_\_ Department \_\_\_\_\_  
Period covered by evaluation \_\_\_\_\_  
Faculty rank \_\_\_\_\_ Percent effort for: Teaching \_\_\_\_\_  
Research/Scholarship \_\_\_\_\_  
Outreach \_\_\_\_\_  
Clinical \_\_\_\_\_  
Administrative \_\_\_\_\_

Please provide on separate sheets an accurate and complete profile of your activities and accomplishments during the appraisal period. Long-term activities should include an indication of progress made during the period for which this appraisal is intended. List objectives for teaching, research, and/or outreach, as well as professional development activities for the next appraisal period. For each major area of responsibility that applies, provide the requested information and add additional comments that are relevant. A current vita should be attached to this document.

**TEACHING ACTIVITIES:**

Describe any of the following in which you were involved; do not list courses taught, since they are listed on another sheet:

- (1) *Course revisions or new course offerings.*
- (2) Instructional materials, textbook, laboratory manual, other publications.
- (3) Advising students or supervision of laboratory assistants.
- (4) Involvement in Honors, interdisciplinary academic programs and/or Scholar Development.

**RESEARCH/SCHOLARLY AND OTHER CREATIVE ACTIVITIES:**

List the following in which you were involved:

- (1) Funded research projects (source, amounts, duration).
- (2) Proposals submitted (source, amount requested, duration) and status.
- (3) Publications (give citations for journal articles, books, abstracts).
- (4) Presentations at professional meetings (title, location, date).
- (5) Graduate theses for which you were advisor.
- (6) Technology transfer activities (disclosures, patents, licenses, other entrepreneurial activities).
- (7) Other creative activities.

**OUTREACH ACTIVITIES:**

Outline your primary duties as assigned for your position, and describe any of the following in which you were involved:

- (1) Programs developed or revised.
- (2) Extension grants received.
- (3) Publications authored (e.g., fact sheets, manuals, AV materials).
- (4) Courses or conferences organized.
- (5) Cooperative and other extension activities.
- (6) International activities.

**CLINICAL ACTIVITIES:**

Outline primary duties as assigned for your position.

**ADMINISTRATIVE ACTIVITIES:**

Outline primary duties as assigned for your position.

**PROFESSIONAL ACTIVITIES:**

List the following in which you were involved:

- (1) Committees (departmental, college, and university levels).
- (2) Service in professional organizations (e.g., offices held, committee assignments, papers reviewed).
- (3) Consulting services.

**AWARDS AND HONORS:**

**SIGNATURES:**

Faculty Member \_\_\_\_\_ Date \_\_\_\_\_  
Unit Administrator \_\_\_\_\_ Date \_\_\_\_\_  
Dean \_\_\_\_\_ Date \_\_\_\_\_

### **Instructions for Completion of A & D Documentation**

Most Library Faculty have assignments that are regarded as 100 percent “Librarianship.” For detailed guidance relating to the various areas that are included in this category, including examples of activities included in each area, Appendix I of the Oklahoma State University Library Faculty Reappointment, Promotion, Tenure and Cumulative Review Handbook should be consulted. Library Faculty should report their activities using the primary assignment and other criteria in Section 3 as a guide to arranging information. This material should be attached to the cover Faculty Appraisal and Development Program form.

**Primary Assignment Statement**  
*Humanities/Social Sciences*

**Reference Service.** Provide 12-16 hours of reference service at the General Reference desk including giving directions, helping patrons locate materials, and instructing patrons in the use of indexes, electronic reference tools, and other reference and bibliographic tools.

**Collection Development.** Perform collection development and evaluation activities in the areas of Accounting, Marketing, Philosophy, and Political Science and other areas as assigned.

**Faculty Liaison.** Serve as Faculty Liaison to those assigned departments.

**Library Instruction.** Provide bibliographic instruction and library orientation services as needed within the Humanities and Social Sciences Division.

**Primary Assignment Statement**  
*Catalog Department*

**CATALOGING.** Catalog and classify new monographs and serials according to AACR2R and Library of Congress standards. Utilize OCLC, an international bibliographic utility, and the local system conforming to standards and format requirements of OCLC and Voyager. Establish name and series headings according to AACR2R and Library of Congress standards. Responsible for resolving heading conflicts for names and series in the online Public Catalog. Assist in developing cataloging procedures. Assist in coordinating the cataloging and processing of Agricultural Experiment Station publications.

**SUPERVISION OF COPY CATALOGING.** Supervise, train and evaluate one cataloging assistant who performs the cataloging of monographs with LC copy on local system and who assists in the cataloging of materials with NUC copy. This includes editing of copy according to local policies and NOTIS requirement, assignment of cutter numbers, verifying series authority, creating MARC holdings records and item records where appropriate, and correcting headings and other bibliographic elements in cataloging records.

**DATABASE MANAGEMENT.** Assist in developing procedures for authority control. Serve as a resource person for local system conflicts and errors detection reports. Contribute original name and series authority records to the national authority file as a participant in NACO. As a participant in BIBCO, contribute original bibliographic records to the national database and enhance existing bibliographic records.

**SPECIAL PROJECTS.** Participate in special cataloging projects, such as the agricultural experiment station publications cataloging project, and other projects to enhance access to materials. Assist in departmental organization and planning. Serve on library committee. Perform other duties as assigned.

**Reappointment, Promotion/Tenure Recommendations Forms to accompany recommendations for university action**

*“Development of the RPT Documentation File”*

**OKLAHOMA STATE UNIVERSITY  
REAPPOINTMENT, PROMOTION/TENURE RECOMMENDATIONS FORM  
DEVELOPMENT OF THE RPT DOCUMENTATION FILE**

**1. INFORMATION CONCERNING THE RPT ACTION:**

Name: \_\_\_\_\_ Action Considered: Reappointment \_\_\_\_\_  
Promotion \_\_\_\_\_

Academic Unit: \_\_\_\_\_ Date this action will become effective if fully approved: \_\_\_\_\_

Current rank: \_\_\_\_\_ Date of current rank: \_\_\_\_\_

Date of initial appointment at Oklahoma State University: \_\_\_\_\_

Will this action confer tenure if fully approved? Yes \_\_\_\_\_ No \_\_\_\_\_

Is this considered an early action as defined in the “Appointment Periods and Time in Rank” section of the Policy and Procedure letter on Reappointment, Promotion and Tenure Process for Ranked Faculty?<sup>2</sup>  
Yes \_\_\_\_\_ No \_\_\_\_\_

**NOTE:** It is the responsibility of the faculty member and the unit administrator to prepare a documentation file to clearly summarize the history of the faculty member's appointment before any deliberations begin regarding reappointment, promotion and/or tenure.

**2. DOCUMENTATION THE UNIT ADMINISTRATOR MUST PROVIDE:**

The following is intended to be a minimal list of items to be provided by the unit administrator, not necessarily a listing of the *only* items to be included.

a. Listing of academic appointments, reappointments and promotions at Oklahoma State University

Rank	Type of Action (Appointment, Reappointment, Promotion)	Effective Date
_____	_____	_____
_____	_____	_____
_____	_____	_____

\_\_\_\_\_

Check

- \_\_\_\_\_ b. Initial appointment documents including position description (required only for those who have not yet been awarded tenure).
- \_\_\_\_\_ c. A statement describing the work assignment within the University (teaching, research, extension, service, administration, and/or advisement) during the time period considered for this personnel action. A summary of percentages for each category of activity should be included.
- \_\_\_\_\_ d. Annual appraisal and development documents prepared during the period considered for this personnel action. (For tenured faculty, only the documents for the three most recent formal appraisals need be included.)
- \_\_\_\_\_ e. Written statements, if any, documenting either special achievements or deficiencies related to the personnel action under consideration.
- \_\_\_\_\_ f. Records of sabbatical or other periods of leave (not to include annual leave).
- \_\_\_\_\_ g. Copies of applicable departmental policies and procedures for reappointment, promotion, and/or tenure decisions. Major revisions of the above which have occurred during the tenure of the faculty member and which may influence this personnel action must be indicated.
- \_\_\_\_\_ h. Letters from peer reviewers for promotion and/or tenure considerations.
  - \_\_\_\_\_ Peer review letters are included in the documentation packet. All such letters should be placed in a colored file folder within the packet for easy identification.
  - \_\_\_\_\_ Faculty member has waived the right to read his/her peer review letters. If checked, attach the signed waiver to the outside of the colored file folder.

**3. DOCUMENTATION THE FACULTY MEMBER MUST PROVIDE:**

The following is intended to be a minimal list of items to be provided by the faculty member, not necessarily a listing of the *only* items to be included.

Check

- \_\_\_\_\_ a. Current vita with complete list of publications, instructional accomplishments, other creative activities and important achievements. Reprints of publications need not be included. Designate publications in refereed journals. Documentation of instructional achievements could include teaching awards, peer evaluation, course syllabi and tests, student evaluations, other testimonies, etc.
- \_\_\_\_\_ b. Self-assessment statement(s) on instruction, research and/or extension/public service activities, as appropriate, from faculty being considered for tenure.
- \_\_\_\_\_ c. If the faculty member finds that information provided by the unit administrator in Sections 2.a. through 2.h. is incomplete or inaccurate or if there is additional documentation he/she would like reviewed, documentation should be added to clarify and complete the file prior to signing the RPT form.

- \_\_\_\_\_ d. The faculty member should note his/her review of the file by signature below. This signature indicates that the faculty member has been given an opportunity to review the materials contained in the documentation file up to this point in the process, including all materials submitted by the unit administrator and the faculty member, and that the file is complete. Such signature *does not* indicate that the faculty member agrees with the substance of each document. The Statements of Recommendation from the departmental committee, unit administrator, college-level committee (if applicable), and dean *are not* included in the file at this point in the process.

**Faculty member's signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**NOTE:** With exception of peer review letters where the faculty member has waived his/her right to access, all materials in the documentation file should be reviewed by the faculty member before formal RPT deliberations begin.

#### 4. STATEMENTS OF RECOMMENDATION:

Copies of ALL Statements of Recommendation must be placed in the documentation file as each step in the review process is completed. Additionally, a copy of each statement shall be given to the faculty member in a confidential manner as outlined in the RPT policy and procedures letter.

- a. **Appropriate Departmental Faculty Counsel:** The departmental faculty or a special or permanent committee of the faculty of the administrative unit involved shall review the required documentation and prepare a Statement of Recommendation with justification regarding reappointment, promotion and/or tenure for the faculty member. The statement must address, in specific terms, how the faculty member has or has not satisfied applicable departmental criteria for promotion, tenure or reappointment.
- b. **Unit Administrator:** This Statement of Recommendation must address, in specific terms, how the faculty member has or has not satisfied applicable departmental criteria for reappointment, promotion and/or tenure in the view of the unit administrator. The statement must detail whether or not the performance of the faculty member adequately fulfills the published standards for the proposed personnel action. If the recommendation of the unit administrator differs from that of the appropriate faculty counsel, the reasons for differences must be explained in the statement.<sup>3</sup>

Before the documentation file and unit recommendations are forwarded to the dean, the following must be added by the unit administrator.

#### Check

- \_\_\_\_\_ (1) Completed Employment Action form for the proposed action.
- \_\_\_\_\_ 2) Draft copy of a letter to be sent to a faculty member who is not recommended for reappointment.
- c. **College-Level Committee (if applicable):** Faculty counsel may be, but is not required to be, sought by the dean from an elected college personnel committee or a special or permanent committee of the respective academic college. In such a case, the members of the committee shall review the required documentation and prepare a Statement of Recommendation with justification regarding reappointment, promotion and/or tenure for the faculty member.
- d. **Dean:** If the recommendation of the dean differs from that of the appropriate faculty counsel and/or unit administrator, the reasons must be explained in the Statement of Recommendation. Even if the recommendation of the dean agrees with that of the departmental committee and unit administrator, the dean is encouraged to include in the documentation file a written statement setting forth rationale for his/her recommendation.

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<sup>3</sup> Policy Statement, Section 1.2.3

**Reappointment, Promotion/Tenure Recommendations Forms to accompany  
recommendations for university action**

*“Summary of Recommendations”*

**OKLAHOMA STATE UNIVERSITY  
REAPPOINTMENT, PROMOTION/TENURE RECOMMENDATIONS FORM  
SUMMARY OF RECOMMENDATIONS**

NAME OF FACULTY MEMBER: \_\_\_\_\_

DATE:	RECOMMENDED ACTION <sup>1</sup> :	SIGNATURE:
Appropriate Dept. Faculty Counsel <sup>2</sup>	_____	_____ (Faculty Representative) <sup>3</sup>
Unit Administrator:	_____	_____
College-Level Counsel <sup>4</sup> :	_____ (if applicable)	_____ (Faculty Representative) <sup>5</sup>
Dean:	_____	_____
Provost and Senior Vice President:	_____	_____

<sup>1</sup>Reappointment, promotion, tenure, nonreappointment, no promotion.

<sup>2</sup>*Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University*, Section 1.1.1 (footnote 4)

<sup>3</sup>Chairman of unit faculty personnel committee or appropriately elected or appointed representative of the faculty

<sup>4</sup>*Policy Statement*, Section 1.5 and 1.6.1

<sup>5</sup>Chairman of college personnel committee or appropriately elected or appointed representative of the faculty

**OKLAHOMA STATE UNIVERSITY LIBRARIES  
Composite List of Outside Reviewers  
And Waiver of Right to Examine Letters Received**

Included below are the names, titles, and addresses of persons to be contacted regarding my candidacy for tenure and/or promotion in the Oklahoma State University Libraries. The list is a result of mutual agreement between myself and my Unit Administrator and includes names from each of our separate lists. Each of these people has been contacted prior to submitting his/her name and has agreed to serve as an external reviewer.

	<b>NAME</b>	<b>TITLE</b>	<b>ADDRESS</b>	<b>PHONE</b>	<b>EMAIL</b>
1.					
2.					
3.					
4.					
5.					
6.					

I have indicated below my option regarding statements that are received from the outside reviewers. When the outside reviewers are solicited, I understand that the option I have selected will be communicated to the persons contacted and to any individuals and committees making tenure and/or promotion recommendations.

\_\_\_\_\_ I hereby WAIVE my right to see, examine, and to submit a response to statements received from outside reviewers.

\_\_\_\_\_ I DO NOT WAIVE my right to see, examine, and to submit a response to statements received from outside reviewers.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

NOTE: The separate lists of the RPT candidate and the Unit Administrator must be appended to this document.

**OKLAHOMA STATE UNIVERSITY LIBRARY**  
**Cumulative Review Form:**  
**Development of the Cumulative Documentation File**

**1. INFORMATION CONCERNING FACULTY MEMBER UNDER REVIEW:**

Name: \_\_\_\_\_

Academic Unit: \_\_\_\_\_

Current rank: \_\_\_\_\_

Date of last current review or promotion decision: \_\_\_\_\_

**2. DOCUMENTATION THE ASSOCIATE DEAN OF LIBRARIES FOR PLANNING AND ASSESSMENT MUST PROVIDE:**

Check

\_\_\_\_\_ a. Appraisal and Development documents for the last five (5) years.

\_\_\_\_\_ b. Primary assignments for the last five (5) years

\_\_\_\_\_ c. Copy of faculty member's last cumulative review report, tenure, or promotion recommendation.

**3. DOCUMENTATION THE FACULTY MEMBER MUST PROVIDE:**

The following is intended to be a minimal list of items to be provided by the faculty member, not necessarily a listing of the *only* items to be included.

Check

\_\_\_\_\_ a. Current vita with complete list of publications, instructional accomplishments, other creative activities and important achievements. Reprints of publications need not be included. Designate publications in refereed journals. Documentation of instructional achievements could include teaching awards, peer evaluation, course syllabi and tests, student evaluations, other testimonies, etc.

\_\_\_\_\_ b. Individual development plan stating faculty member's professional goals and objectives for the next five (5) years.

**FACULTY MEMBER'S SIGNATURE** \_\_\_\_\_

**DATE** \_\_\_\_\_

## Appendix IX

### Glossary

*A&D Document* Library faculty are required to report their activities and accomplishments for the past calendar year in essay or outline format, using the primary assignment and other criteria in Section 3 of this Handbook as a guide for organizing their information. Faculty should focus on activities for which they have responsibility, especially those in the primary assignment. The description should be concise, clear, and well organized, and should include enough detail to give a person who is not a close co-worker some idea of what the faculty member has accomplished. See Appendix IV, A.3 for further details

*A&D Documentation* These are the documents developed each year as a result of the Oklahoma State University A&D Process. For tenure-track faculty the A&D documents include: a description of activities during the year, goals and objectives for the year ahead, evaluative statements from the faculty member's administrators, notes on the evaluation conference, a primary assignment statement, and a current vita. For non-tenure track faculty, these documents include the same material in less detail and the vita is not required.

*A&D Process* The annual review of each faculty member. Initiated by the VPAA, the A&D process produces the A&D documentation, the primary documents in the Personnel File of the faculty member. These documents are used in the review for reappointment, promotion and tenure, and often for salary increases. See Appendix IV for further details and a copy of the form that serves as a cover sheet is found in Appendix VIII.

*ADL* See Associate Dean of Libraries.

*Administrator* See Unit Administrator.

*Appendix D* This is an appendix to the OSU Faculty Handbook prior to the Handbook's 2005 draft update. It contains the Board of Regents' "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University", which also is referred to as the Policy Statement.

*Appraisal and Development Process* See A&D Process.

*Associate Dean of Libraries (ADL)* Title used for senior administrative positions in the Library. Persons in the following positions participate in the A&D process for all faculty who report to them:

Associate Dean of Libraries for Research and Instruction Services;  
Associate Dean of Libraries for Collection and Technology Services; and the  
Associate Dean of Libraries for Planning and Assessment  
(This Associate Dean serves as a consultant to the RPT Committee, coordinates the process of electing the Committee, assembles and maintains the Documentation Files for the Committee and conducts annual orientation session on A&D and RPT process for all faculty members)

*College-Level Review Committee* Comprised of the Associate Deans of Libraries, this Committee reviews the candidates' documentation files and writes a RPT recommendation following the recommendations of the RPT Committee and the Unit Administrator.

*CRC* See Cumulative Review Committee.

*Cumulative Review* For each tenured faculty member a cumulative review shall take place every five years. The review shall be based on discussion and substantive documentation provided by the faculty member. (See Appendix VI, Part D) The cumulative review requires individual development plans for each faculty member. These plans will be consistent with the unit's and the Library's mission and vision. The process shall include written feedback to the faculty member as well as a provision for response. The results of the review may be used by appropriate administrators as a basis for providing support which will assist faculty members in carrying out their professional goals and responsibilities.

*Cumulative Review Committee (CRC)* This Committee is an extension of the Reappointment, Promotion and Tenure (RPT) Committee and its responsibility is to conduct cumulative reviews for tenured faculty. The Cumulative Review Committee has the same membership as the RPT except in those cases outlined in Appendix II, Part C. The CRC follows the guidelines written in the Appendix VI and VII.

*Departments/Divisions* Operating units within the Library, include the subject divisions of Humanities/Social Sciences (Hum/SS) and Science and Engineering (SED). Throughout this document, the term department refers both to department and to division.

*Documentation File* This file is developed as part of the review process when a faculty member is being considered for reappointment, tenure or promotion. It is the critical compilation of material in the review process and is made available to the faculty member, the faculty member's administrators, the RPT Committee, and the Dean of Libraries. It contains A&D documents, letters of reference, supporting material, and any rebuttals. Materials submitted by the candidate will remain a permanent part of the file and will not be returned to the candidate. For details, see Appendix IV, Part A.3, and Appendix V, Part A.

*Evaluation Terms* Several terms, criteria, and other factors are used in the evaluation process. They are applicable to all Library Faculty and are described in Sections 1 and 3, and in Appendix I and Appendix IV, Part C.

*Evaluator* See Unit Administrator.

*External Reviewers* Recognized scholars or practitioners outside of the Library, the University, and the OSU branch campuses who are asked to review the A&D documentation of faculty members being considered for tenure or promotion, and evaluate whether or not these faculty members have met the Library's tenure or promotion criteria. External reviewers should be especially knowledgeable about the faculty member's area of expertise.

*Faculty* Individuals who hold appointments with academic the Library.

*Faculty Handbook* This refers to the OSU Faculty Handbook which outlines University structure, functions, general policies, and procedures and affords ready access to basic materials which guide the conduct of University functions. While each printing may have some revisions in the front sections, the Policy Statement is revised only with a formal process. Every member of the faculty receives a copy. See also Policy Statement.

*Goals and Objective* Faculty are expected to develop goals and objectives for each calendar year to guide them as they plan and carry out their responsibilities. The aims should be achievable and should enable the faculty member to contribute to accomplishing the mission and vision of the Library and the University and to develop as a professional, as well as to make appropriate progress toward tenure and/or promotion.

*Library Faculty Handbook* Refers to this Oklahoma State University Library Faculty Reappointment, Promotion, Tenure, and Cumulative Review Handbook which establishes qualification standards for these actions.

#### *Mission and Vision Statements*

**Library** These administrative statements are based on those of the University and guide the Library faculty in planning, decision-making, and carrying out their responsibilities. They are shared with all faculty and staff; a copy is included in Appendix X.

**University** The mission statement of the University and the vision statement of the President are updated periodically and shared with all faculty and staff. A copy of these documents is included as Appendix XI; the mission statement is also in the college catalog and on the University's web site.

*Negative Recommendation* Recommendation from unit administrator, ADL, RPT Committee or Dean which recommends against reappointment, promotion, or tenure.

*Objectives* See Goals and Objectives.

*Oklahoma State University Policy and Procedures (P&P) Letters* These statements announce and implement official OSU policies and procedures. Each Department or Division maintains a complete file of current P&P Letters; it is available to faculty at all times. A current copy is also maintained on Reserve and in the University Archives, and there is one at the University's web site which can be accessed through the home page of the Personnel Services Office.

*P&P Letters* See Oklahoma State University Policy and Procedures Letters.

*Personnel File* This file is for the use of the Library's administrators. It contains material about each faculty member and is maintained by the Library's chief personnel officer. Material in the file includes, among other documents, appointment and other administrative papers, A&D and RPT documents, and correspondence. An individual's Personnel File can be consulted by the individual and by the individual's department head as well as by appropriate ADLs and the Dean of Libraries. Relevant material in the Personnel File is placed in the Documentation File when the faculty member is considered by the RPT Committee; for details see Documentation File.

*Policy Statement* See "Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University.

*Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University* This is formerly referred to as Appendix D of the OSU Faculty Handbook. It serves as the basic document in regard to appointment, reappointment, and promotion in academic rank, and tenure for Library Faculty.

*Primary Assignment* This term is described briefly in Appendix I, Part B: "Criteria Terms", and in more detail in Appendix V, Part C.

*RPT Committee* See Reappointment, Promotion and Tenure Committee.

*Reappointment, Promotion and Tenure (RPT) Committee* This Committee is an elected Library Faculty committee. Its primary responsibility is to recommend whether or not the candidate has met each of the applicable criteria and qualifications for the reappointment, tenure, or promotion and provide advice to the Dean regarding the personnel action being considered. A description of the committee and its election procedures are in Appendix II. The RPT review process is described in Appendix V, Part B.

*“Reappointment, Promotion/Tenure Recommendations Form: Development of the RPT Documentation File”* A form used by the University administration for routing recommendations of actions to take in the A&D process. A copy is included in Appendix VIII.

*“Reappointment, Promotion/Tenure Recommendations Form: Summary of Recommendations”* A form contains recommended actions and signatures of the RPT Committee chair, unit administrator, College Level Review Committee representative, Dean of Libraries. A copy is included in Appendix VIII.

*Reappointment, Promotion, and Tenure Review* See RPT.

*Rebuttals* A faculty member may write a rebuttal to an A&D evaluation to letters in the Documentation File, and to the first negative reappointment, promotion and/or tenure recommendation. Such letters must be written within their specified time frames, and be addressed and submitted as outlined in Appendix IV, Part A.4 and Appendix V, Part B.2.4

*RPT* University administrators and faculty often refer to the Reappointment, Promotion, and Tenure Review Process as the RPT. While the RPT review is separate from the A&D process, the A&D documentation is an integral part of the RPT process. In the Library the RPT process involves review by the RPT Committee, which makes a recommendation to the Dean of Libraries; for details see Appendix V, Part B.

*Unit Administrator* The department head is the unit administrator for faculty in that department or division. Each ADL is the unit administrator for department heads in their respective reporting line. The Dean of Libraries is the unit administrator for the ADLs and any other faculty in a direct reporting line.

*Vice President for Academic Affairs (VPAA)* As the chief administrative officer of OSU on the Stillwater campus, all recommendations for actions regarding faculty are reviewed by the VPAA

*VPAA* See Vice President for Academic Affairs.

## Appendix X

### Library's Mission and Vision Statements

#### *Mission Statement of the OSU Libraries*

The Library's primary mission is to serve as the intellectual commons of the University, providing high-quality resources, services, and gateways to information to meet the needs of OSU's diverse instructional, research, and outreach programs. In accordance with the University's land grant mission, the Library also serves as an information resource for all the citizens of Oklahoma through both direct access to its extensive collections and special services and by sharing these resources as needed with other libraries in the state.

#### *Vision Statement of the OSU Libraries*

As the academic heart of the University, the Library will be responsive to the needs of its constituents, will emphasize cooperative arrangements with other libraries, and will maximize the application of state-of-the-art technology to facilitate speedier and ever wider access to needed information. To serve the university community fully, the library must:

- Provide the best services, strongest collections and state-of-the-art information technologies for faculty, students and staff;
- Bring together in its collections the results of research and scholarship as well as a rich diversity of opinions and human experiences;
- Be a place where everyone is free to pursue knowledge without fear of disclosure or censorship;
- Lead Oklahoma academic libraries in building cooperative services, collections and applications of technology to serve all Oklahomans;
- Hire service oriented faculty, staff, and student assistants who represent diverse cultural and ethnic backgrounds.

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From: <http://www.library.okstate.edu/about/mission.htm> (accessed 24 August 2009)

## **Appendix XI**

### **University's Mission and Vision Statements**

#### *Oklahoma State University System Mission*

Oklahoma State University is a multi-campus public land grant educational system that improves the lives of people in Oklahoma, the nation, and the world through integrated, high-quality teaching, research, and outreach. The instructional mission includes undergraduate, graduate, technical, extension, and continuing education informed by scholarship and research. The research, scholarship, and creative activities promote human and economic development through the expansion of knowledge and its application.

#### *Oklahoma State University Vision*

Oklahoma State University System will advance the quality of life in Oklahoma by fulfilling the instructional, research, and outreach obligations of a first-class, land grant educational system.

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From: [http://system.okstate.edu/planning/plans/viewplans\\_sys.php](http://system.okstate.edu/planning/plans/viewplans_sys.php) (accessed 24 August 2009)

## Appendix XII

### History of Changes to Library Faculty Handbook

#### *Part A. Outline*

Approved	1978
Revised criteria and approved	1989
Modified criteria (changes in Policy Statement) and approved	1991
Rewritten and approved	1999
Revised and approved (comply with Oklahoma State University Policy and Procedures Letter 2-0902)	2001
Updated, reorganized and approved (comply with Oklahoma State University Policy and Procedure Letter 2-0902)	2006
Revised and approved (comply with Oklahoma State University Policy and Procedure Letter 2-0112)	2007
Revised and approved (comply with Oklahoma State University Policy and Procedures Letter 2-0109)	2008
Revised and approved (comply with Oklahoma State University Policy and Procedures Letter 2-0112)	2009

#### *Part B. Narrative*

The Library Faculty first developed its document in 1978, extensively revised the criteria in 1989 and modified them slightly in 1991 to accommodate changes in the Policy Statement. The Library Faculty Handbook was rewritten in 1999, and revised in 2001 to comply with the Oklahoma State University Policy and Procedures Letter 2-0902. It was updated and reorganized in summer 2006 by an ad hoc committee appointed by the Dean of Libraries. In 2007, the Handbook was revised to comply with changes in the Policy Statement. The document was revised in 2008 to comply with the Oklahoma State University Policy and Procedures Letter 2-0109 for cumulative review. To reflect the revision to the Handbook for cumulative review, the title was changed from “Reappointment, Promotion and Tenure Handbook” to “Reappointment, Promotion, Tenure and Cumulative Review Handbook.” In 2009, the Handbook was revised to comply with Oklahoma State University Policy and Procedure Letter 2-0112 regarding faculty rebuttals in the A&D process.