

#### **IV. APPOINTMENT, REAPPOINTMENT, PROMOTION, AND TENURE**

The Division of Libraries functions without a departmental organization (cf. *New York University Faculty Handbook*, Title II, Section X, paragraph 5, as modified by specific provisions).

The term “department,” as used in these Bylaws, refers only to an operational unit of the Division of Libraries.

##### **1) Appointment, Reappointment, and Promotion Panel**

The Division of Libraries shall have a panel on appointment, reappointment, and promotion. From this panel, which shall be elected annually by the Faculty of the Division of Libraries, the Dean of Libraries shall select Committees to advise on specific recommendations.

The panel shall include three representatives of each of the four library ranks, who shall be elected from among the faculty of Bobst Library, the Institute of Fine Arts Libraries, the Courant Institute of Mathematical Sciences Library, and the Real Estate Institute Library.

Composition of the Committee must meet the rank criteria, i.e. members of promotion committees outrank the candidate, and members of reappointment committees are to be of rank at least equal to that of the candidate under consideration.

In the case of an appointment recommendation affecting a department that is not sufficiently represented on the panel, the Dean may, in consultation with the selected Committee, appoint additional faculty from among the faculty of Bobst Library, the Institute of Fine Arts Libraries, the Courant Institute of Mathematical Sciences Library, and the Real Estate Institute Library. The number of these additional members normally shall not be greater than half the number of Committee members selected from the elected panel.

The Dean of Libraries shall, in addition to receiving a recommendation from the Committee, also consult with the appropriate department director and other advisors or advisory bodies to meet the demands of specific situations.

##### **2) Tenure Committee**

The Committee shall be composed of all tenured members of the faculty of the Division of Libraries. The Committee shall be available, as a whole or as a panel selected for specific recommendations, to advise the Dean on all

individual tenure recommendations and on all individual promotion recommendations that involve a tenure decision.

The duty of the tenured faculty members to give advice on tenure and promotion decisions is perhaps their highest responsibility. The process begins with their review, and it is highly dependent upon their thoroughness, fairness, and rigor. To give weak advice to the Dean on the assumption that the difficult decisions will be made at a later stage subverts the principle of peer review and faculty governance and is an abdication of the faculty's responsibility. The process of evaluating a candidate for tenure is an inquiry: Is the candidate for tenure among the strongest in his or her field, in comparison with other individuals at similar points in their careers? An assessment must not ignore candidates' defects. Lack of perfection is not a bar to promotion or tenure, and "advocacy" assessments that attempt to gloss over imperfections are more likely to arouse suspicion than admiration. It is far more helpful to a candidate, the Promotion and Tenure Committee, and the Dean to have a balanced discussion of a candidate's strengths and weaknesses.

Discretion plays a large part in all promotion and tenure cases. Candidates due for review must exercise discretion in determining how to build their portfolios and how to present their contributions. Review committees must exercise discretion in determining how best to evaluate a candidate's dossier. Such discretion cannot be reduced to a mechanical process, nor can any set of guidelines foresee all possibilities. What follows should be read and understood in this light.

It is essential that tenured faculty members who participate in the tenure process uphold high standards of responsibility and ethical behavior. Responsibility includes the obligation to give careful attention to the materials of a tenure case. Ethical behavior includes a clear obligation to maintain the confidentiality of the proceedings, since confidentiality makes honest and open discussion possible in the Committee.

All Committee action under the following two sections is to be in accordance with the latest criteria and procedures adopted by the faculty.

### **3) Criteria**

The criteria and policies on appointment, reappointment, and promotion are governed generally by the University Bylaws, and are contained in the *NYU Faculty Handbook*. The criteria set forth below govern minimum qualifications for the various ranks in the Division of Libraries.

The librarian's academic preparation for a probationary appointment to the Library Faculty is normally established on the basis of a master's

degree in library science from an institution accredited by the American Library Association, or a recognized foreign equivalent. A high standard of excellence in job performance is a prerequisite for tenure at NYU, as is the promise of further contributions toward both the work of the Libraries and the intellectual life of the University.

Once these prerequisites are met, and in order to have a reasonable prospect of gaining tenure at NYU, a candidate must have a record of outstanding achievement and recognition in scholarly research or creative or artistic work, together with a record of highly effective job performance integrally influenced by scholarly, creative or artistic work. Scholarship in librarianship is understood to be broad and cover a variety of intellectual pursuits, including digital projects, exhibitions, catalogues, and innovative programs. We recognize that the Libraries' faculty do not generally teach credit courses for students and that our contributions to knowledge in our field may not take the form or extent of scholarly research and publication expected in other academic fields.

In the absence of such a record, tenure will not be granted.

Evidence of this level of performance may be adduced from the judgments of colleagues on the Library Faculty, from members of the NYU academic community outside the library, and/or from professional or academic colleagues outside the University.

Additional evidence for promotion in rank includes:

- Contributions to the mission of the University: for example, teaching, not necessarily in a classroom situation; organization of workshops, institutes, or similar meetings.
- Service that advances the profession: for example, active participation in professional and learned societies as a member, as an officer, as a committee member, or as a committee chairperson; participation in review committees; or public appearances in the interest of librarianship.
- Activities related to inquiry and research: for example, publications, such as in professional and scholarly journals; presentation of papers; reviews of books and other materials; consulting; service on a team of experts, a task force, or a similar body that develops a new product that is not necessarily a published article (e.g., a new standard, a new mode of delivering services, or a jointly curated exhibition) — such work should evidence substantive intellectual contribution to the group's output.

Promotion to the ranks of assistant curator, associate curator, and curator requires a record of successful fulfillment of criteria at the lower rank.

(a) Library Associate (Instructor)

(i) Appointment

A faculty appointment as Library Associate is normally granted to one possessing a master's degree in library science from an institution accredited by the American Library Association, or a recognized foreign equivalent. Appointments at this rank shall require expectation of successful overall performance and the potential for a promising career in librarianship. Full-time service in the rank of Library Associate will not be counted toward the attainment of tenure and will be limited to three years at New York University.

(ii) Reappointment

A Library Associate shall normally be recommended for annual reappointment after demonstrating above-average performance according to accepted criteria, maintaining active membership in appropriate professional or scholarly associations, and demonstrating effective participation in the affairs of the library and/or the University community through committee work, group activity, and the like.

Prior to the start of the 3rd year (second annual reappointment) in this rank, each full-time Library Associate shall be notified by the Dean of Libraries that this second reappointment will be a terminal appointment at NYU in the event that said Library Associate will not have met the criteria for appointment as Assistant Curator.

(b) Assistant Curator (Assistant Professor)

(i) Appointment

A library faculty appointment as Assistant Curator is granted to one possessing either a master's degree in library science from an institution accredited by the American Library Association or a recognized foreign equivalent, or a subject master's degree and at least several years of successful professional library experience. Criteria for this rank include evidence of significant professional contributions. An appointee must also possess the same qualifications as a person promoted to the rank.

(ii) Promotion

The candidate must meet the criteria for appointment to this rank and be judged superior according to accepted criteria. In sum, the appointee or candidate shall have demonstrated maturity and attainment in the profession of librarianship.

(iii) Reappointment

An Assistant Curator shall normally be recommended for reappointment when maintaining or increasing the levels of performance and activities set forth in the requirements for appointment and promotion to this rank.

(iv) Third Year Review

After a full-time Assistant Curator has completed his/her third year, the Dean of Libraries shall consult the Promotion and Tenure Review Committee, elected and chosen in accordance with the provisions of IV, 1) above, to assess the individual's progress toward achieving the standards for tenure and promotion to Associate Curator. Assistant Curators undergoing "mid-stream review" shall be notified by the Dean of their progress toward achieving tenure and promotion.

It is the responsibility of the Promotion and Tenure Committee to assemble the relevant documentation for this review, to examine it in detail, and to prepare a written report assessing the candidate's progress in meeting the criteria for tenure and promotion to Associate Curator. These criteria, as explained elsewhere in this document, are: 1) a consistently high level of performance in carrying out job responsibilities; 2) effective service to the Libraries, the university, and the profession as evidenced by meaningful contributions to committees, etc.; and 3) significant scholarship, creative work or artistic work.

The documentation includes but is not limited to:

Current curriculum vitae (provided by candidate)

Candidate's statement of his/her professional contributions and activities (provided by candidate in c.v.)

List of committee activities with roles played on each committee, including committee chair's name (provided by candidate in c.v.)

Candidate's statement of his/her scholarly contributions, creative work or artistic work, including research projects or other relevant activities in progress (provided by candidate in c.v.)

Supervisor evaluations for the past three years (provided by Human Resources)

Annual reappointment letters sent to candidate by the dean in the past two years (provided by Human Resources)

Candidate's statement describing what s/he plans to do during the coming three years in order to meet the tenure and promotion criteria (provided by candidate)

A list of three to five evaluators, together with their titles, scholarly or professional credentials, and an explanation for their inclusion on the list (provided by candidate). Some evaluators may be from outside NYU, and others may be from within (either within the Division of Libraries or elsewhere in the university). The number of external and internal evaluators submitted is up to the candidate. At its discretion, the Promotion and Tenure Committee may solicit additional evaluations from either or both categories. It may also choose not to solicit an evaluation from anyone proposed by the candidate. The Committee should solicit as many internal and external evaluations as it deems necessary for forming a well-rounded picture of the candidate's accomplishments. The Committee may forward copies of anything in the candidate's dossier to the evaluators it selects, in order to provide them with necessary background.

Report of the Promotion and Tenure Committee (provided by the committee). This report must not be an advocacy document; it must strive to provide a fair assessment of the strengths and weaknesses of the candidate. It must indicate, with reasons, why the candidate is or is not making suitable progress in meeting the criteria for tenure and promotion to Associate Curator.

(v) Notification

During the probationary period, i.e. six years, each full-time Assistant Curator shall be notified annually by the Dean of Libraries of the faculty member's prospect of being recommended on the

evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing. Where paragraph 72 (e) of the University Bylaws covers library faculty in the rank of Assistant Curator, each member shall be notified annually by the Dean of his/her status under this provision (cf *NYU Faculty Handbook*, Title II, Section XI).

(c) Associate Curator (Associate Professor)

(i) Appointment

A library faculty appointment as Associate Curator is granted to one possessing a master's degree in library science from an institution accredited by the American Library Association, or a recognized foreign equivalent, and an additional graduate degree.<sup>1</sup> The candidate must also demonstrate an outstanding level of attainment in job performance; service to the Libraries, the university, and the profession; and scholarship or creative or artistic work. An appointee must also possess the same qualifications as a person promoted to the rank.

(ii) Promotion

The candidate must meet the criteria for appointment to this rank, be judged superior according to accepted criteria, be actively involved in activities such as committee work in the Libraries or University, and in professional or scholarly associations, or in important planning and committee work for the larger community, and have a record of research publication projects, creative work, or artistic work.

In sum, appointees or candidates for promotion to this rank should offer the potential of exceptional contribution to be made to the University through librarianship, productive scholarship, creative or artistic work, or other educational service.

(iii) Reappointment

As appointment or promotion to this rank does not necessarily

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<sup>1</sup> In the exceptional cases where a faculty member pursues the equivalent of a second master's degree, the coursework taken must be equal in credits and rigor to master's degree programs offered by New York University. Permission to substitute an alternative academic program must be granted at least three years prior to the decision for promotion to Associate Curator by an Advisory Committee to the Dean chosen from the Appointment, Reappointment, and Promotion Panel.

presume later promotion, so, too, reappointment as Associate Curator does not imply any subsequent appointment at higher rank. An Associate Curator is normally recommended for reappointment when there is positive evidence of maintaining or increasing the levels of performance and activities set forth in the requirements for appointment and promotion to this rank.

(iv) Notification

If the appointment or reappointment to the rank of Associate Curator carries with it the right of continuous or permanent tenure, refer to Division of Libraries Bylaws, IV, 4) (c), "Tenure Decisions."

(d) Curator (Professor)

(i) Appointment

A library faculty appointment to Curator is granted to one possessing a master's degree in library science from an institution accredited by the American Library Association, or a recognized foreign equivalent, and an additional graduate degree. The candidate must also demonstrate outstanding achievements in bibliographical activities, in research, in education, or in other professional activities. The appointee must also possess the same qualifications as a person promoted to the rank.

(ii) Promotion

The candidate must meet the criteria for appointment to this rank, be judged superior in all of the overall areas of the accepted criteria, be involved in committee work in professional associations or societies, have contributed services to the University, the profession and the wider community, and have a record of sustained scholarship through publication, creative work, or artistic work.

In sum, appointment or promotion to this rank should be granted to persons for whom there is reasonable certainty of their continuing contributions throughout the remainder of their working years. Promotion or appointment to this rank shall require outstanding achievements in bibliographical activities, research, or in other professional endeavors. It should be reserved as a mark of distinction and should never be granted as a reward for seniority.

(iii) Reappointment

A Curator is normally recommended for reappointment when there

is positive evidence of maintaining the levels of performance and activities set forth in the requirements for appointment and promotion to this rank.

(iv) Notification

If the appointment or reappointment to the rank of Curator carries with it the right of continuous or permanent tenure, refer to Division of Libraries Bylaws, IV, 4) (c), "Tenure Decisions."

#### **4) Procedures**

(a) Procedures for Appointment and Reappointment

(i) In order to insure that candidates and reappointees meet the accepted criteria for initial appointment and retention as library faculty, and that the procedures set forth in the *NYU Faculty Handbook* (cf. Section X) are followed, the Dean shall, in reaching a decision, consult with an advisory body of faculty members, elected and chosen in accordance with the provisions of IV, 1) above, and with other advisors or advisory bodies as prescribed in the same provision of the Library Bylaws.

(ii) The Dean shall approve or disapprove the appointment or reappointment, and shall notify in writing the advisory body and the candidate's department director of the decision along with the reasons for it.

(b) Procedure for Promotion

(i) Schedule

The Dean shall inform the faculty of the date by which recommendations for promotion are to be received by the Office of the Dean. This date shall be at least four weeks prior to the date by which these recommendations are to reach the Provost.

(ii) Initiation

Individual faculty members are responsible for making application for promotion. Department directors may advise individuals in their departments, and the Dean may advise department directors, to apply for promotion.

(iii) Documentation

The criteria for promotion to Associate Curator are the same as those for tenure. The same documentation is required.

(iv) Dean's Action

1. In accordance with procedures set forth in the *NYU Faculty Handbook* (as supplemented), and as modified by specific provisions in the Division of Libraries Bylaws, the Dean shall, in reaching a decision regarding any application for promotion, have the counsel of an advisory body of faculty members, elected and chosen in accordance with the provisions of IV, 1) above, and of other advisors or advisory bodies as prescribed in the same provisions of the Library Bylaws.

Criteria for promotion to the particular rank under consideration in the Division of Libraries shall govern the Dean's review of the application.

When any application for promotion would, if approved, effectively involve a tenure decision, the provisions of IV, 4) (c) Tenure Decisions shall be followed.

2. The Dean shall approve or disapprove the application for promotion, and shall notify in writing the advisory body and the candidate's department director of the decision with reasons for it.

3. The Dean shall transmit to the Provost, by the date scheduled for submission, approval or disapproval of the recommendation for promotion along with all relevant documentation required by the provisions of IV, 4), (b), (iii).

4. The Dean shall inform in writing the faculty member, the advisory body, and the department director of the Provost's decision.

(v) Resubmission

If a candidate's promotion is not viewed favorably at any level, the candidate shall not reapply for promotion without additional relevant documentation supportive of continued conformity to the criteria for promotion to the particular rank under consideration in the Division of Libraries.

## (c) Tenure Decisions

### (i) Criteria

The criteria for tenure in addition to the basic criteria for promotion, appointment, or reappointment to the rank of Associate Curator as outlined above in section 3), (c), (i) include:

#### 1. Job Performance:

Effectiveness of performance as a librarian evidenced by the continuing ability to perform at the highest professional level in areas that contribute to the educational and research mission of the University is the most important criteria for tenure. It is the Libraries' equivalent of teaching for the teaching faculty. Outstanding job performance is required before the other criteria can be evaluated. Candidates who do not have a record of excellent job performance will not receive tenure.

#### 2. Service to the Libraries, the University, the Community, and the Profession:

Effectiveness of service as evidenced by successful service on committees, participation in institutional governance, research workshops for students or faculty, advisement of students and student groups, and/or participation in professional and learned societies is the second requirement for tenure. Such service should evidence active participation, not merely tacit membership in committees or other groups. Candidates who do not have a record of significant service will not receive tenure.

#### 3. Scholarly, Creative or Artistic Activity:

Significant scholarship or creative or artistic work is essential for tenure. Scholarly, creative or artistic activity is evidenced by publication or the execution of significant research in librarianship or other academic areas, or by outstanding creative or artistic work. Scholarship, like creative work and work on standards, is the foundation of academic pursuits and is essential for tenure at a research library. Tenure will not be granted without significant contributions to scholarship or creative or artistic work.

(ii) Procedures

Notification of non-tenured faculty members is governed by the procedures set forth in the *NYU Faculty Handbook*, Section XI. After the third year of a tenure-stream appointment, the Dean shall consult with the Reappointment Committee on the progress of Assistant Curators toward achieving the standards for promotion to Associate Curator. Before the start of the year in which a tenure recommendation must be made for a faculty member, the Dean will inform the faculty member of this fact, and also of the date by which any supporting material to be submitted by the faculty member must be received by the Dean.

Tenure appointments are governed by the procedures as set forth in the *NYU Faculty Handbook*, Title II, Section XII, "Tenure and Appointments."

In preparing a recommendation on tenure for a library faculty member, the Dean shall have the counsel of the Tenure Advisory Committee, which shall be composed of all the tenured faculty of the Division of Libraries. The Dean may consult with the Committee as a whole or with a panel selected from the Committee for specific recommendations. The report of this body must record the number of votes for and against tenuring the candidate.

The Dean's recommendations on tenure, with reasons therefore, shall be transmitted to the Provost by the date scheduled for submission.

As provided in the University's rules, in making a recommendation to the President, the Provost shall support or oppose the Dean's recommendation. The Provost shall notify the Dean of the final decision, along with reasons therefore if the recommendation is disapproved. The Dean shall notify in writing the affected faculty member and the advisory body of this decision.

(iii) Documentation:

It is the responsibility of the Promotion and Tenure Committee to assemble the relevant materials, to review them in detail, and to prepare a written report with a recommendation for or against the promotion and/or tenure of the candidate. The Promotion and Tenure Committee will prepare a docket for examination by the Tenure Advisory Committee, the Dean, and the Provost. The Tenure Advisory Committee is selected by the Dean from the faculty to review the work of the Promotion and Tenure Committee. This

docket must begin with an examination of the prerequisites. It will include documents relating to:

a. Job Performance:

The candidate's job performance within the context of a research university, together with supporting evidence and documentation, including, but not limited to:

Annual reappointment letters sent to the candidate by the Dean for the last three years (provided by Human Resources)

Candidate's record of his/her professional contributions and activities (provided by candidate in c.v.)

Supervisor evaluations for the past three years (provided by Human Resources)

Peer assessments of job effectiveness (solicited by the Promotion and Tenure Committee at its discretion)

List of advisees (graduate and undergraduate), teaching, or training, as appropriate (provided by candidate in c.v.)

b. Service to the Libraries, the University, and the Community:

List of committee and other activities with roles played on each group, including committee chair's name, etc. (provided by candidate in c.v.)

c. Scholarly, Creative or Artistic Work

Once the prerequisites for job performance and service are met, tenure will be judged and granted on the basis of outstanding achievement and recognition in scholarly research or creative work in the arts. As evidence for such, the docket must include:

Current curriculum vitae (provided by candidate)

Candidate's personal statement (recommended, but optional) (provided by candidate)

Copies of the candidate's scholarly, creative or artistic work (or documentation when appropriate) (provided by candidate).

Examples:

- Books and/or articles
- Published translations of literary works, scholarly or professional publications, or other significant works
- Videorecordings
- Published artworks
- Screenplays
- Exhibition catalogues or descriptions
- Digital projects
- Conference or other programs

Evidence of the quality of the scholarly, creative or artistic work as appropriate. For example:

- Published book or article reviews (provided by candidate)
- Readers' reviews of unpublished books or articles (provided by candidate)
- Invited or peer-reviewed contributions (provided by candidate)
- Citation analysis (provided by the Promotion and Tenure Committee)
- Published reviews of productions or performances, or other creative or artistic work (provided by candidate)

Assessment of the candidate's scholarly research or creative or artistic work (provided by the Tenure Committee)

Assessment of the candidate's job effectiveness, as influenced and shaped by scholarly, creative or artistic work (provided by the Promotion and Tenure Committee)

Copy of candidate's Third- Year Review (provided by Human Resources)

A list of possible evaluators, as many as the candidate considers appropriate, together with their scholarly or professional credentials and an explanation for why they were chosen (provided by candidate). The Promotion and Tenure Committee may choose not to solicit an evaluation from anyone proposed by the candidate.

At least five (5) letters of evaluation from highly qualified external evaluators (solicited by the Promotion and Tenure Committee at its discretion). These five letters must be from evaluators who are not scholars or professionals with whom the candidate has been closely associated, such as a dissertation or thesis advisor, co-author<sup>2</sup>, or other close associate. No more than half of the evaluators should be from those suggested by the candidate, and the committee should carefully weigh the objectivity of any evaluator who has been suggested. If the Promotion and Tenure Committee inadvertently solicits an opinion from someone it later learns is close to the candidate, this must be noted in the Committee's report. The Committee may also choose to include additional letters from outside evaluators who have been suggested by the candidate or who are co-authors or the thesis advisor of the candidate, provided that this information is clearly noted in the docket. The Committee should solicit as many internal and external evaluations as it deems necessary for forming a well-rounded picture of the candidate's accomplishments. The Committee may forward copies of anything in the candidate's dossier to the evaluators it selects, in order to provide them with necessary background. The University's policy regarding the confidentiality of such external letters and other tenure decision materials is found in Section C of the statement on "Legal Protection for Faculty Members" in the *NYU Faculty Handbook*.

Report of the Promotion and Tenure Committee (provided by the committee). This report must not be an advocacy document; it must strive to provide a fair assessment of the strengths and weaknesses of the candidate. It must indicate, with reasons, why the candidate is or is not being recommended for promotion and tenure. Finally, the report must record the number of votes for and against promotion and tenure.

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<sup>2</sup> Co-authors will be acceptable reviewers only in certain fields, such as fields with very small membership or fields in which papers typically have a large number of authors (i.e. standards, guidelines, policies, multi-institution studies or surveys, quantitative analysis, etc.), and then only acceptable with permission of the Dean.