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INDIANA UNIVERSITY LIBRARIES

# IU Library Faculty Handbook

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## **Indiana University Libraries Faculty Council – Operational Guidelines**

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*Revised: May 1996; July 1997; December 1997; June 2006; August 2006*

### **NAME**

The name of the organization is the Indiana University Libraries Faculty Council (IULFC).

### **PURPOSE**

The purposes of this organization are: to discuss matters of common concern to the library faculty members of the Indiana University Libraries system; to advise the Library Administration; and to communicate to the constituencies the results of Council activities.

### **MEMBERSHIP**

The membership of this organization shall be representative of the Indiana University Libraries system. The elected membership shall consist of four (4) members from the Bloomington library faculty, three (3) members from the IUPUI library faculty, and two (2) members from the regional campuses library faculty.

All librarians who have been appointed to library faculty positions (including non-tenure track, part time and visiting) may serve on IULFC, and may participate in IU library faculty elections and other votes. They are eligible for appointment or election to system-wide library faculty committees, subject to the specific membership distribution requirements of those committees.

The Ruth Lilly Dean of University Libraries shall be a non-voting member of the Council.

### **MEETINGS**

There shall be four (4) IULFC meetings each year with additional meetings called as necessary. All meetings shall be open and announced in the IUL News. The Executive Committee and the Council of Head Librarians are informed of IULFC meetings and are sent a copy of the agenda. Resource people may be invited to attend as needed. Library administrators, resource people, and visitors' attendance is recorded separately from that of the elected membership in the minutes.

### **QUORUM**

Five (5) representatives of the Council shall form a quorum, but that quorum must include at least one (1) representative from Bloomington, one (1) representative from IUPUI, and one (1) representative from the regional campuses.

### **OFFICERS**

The officers of the Indiana University Libraries Faculty Council shall be:

Presiding Officer	- Ruth Lilly Dean of University Libraries
Secretary	- Selected by the IULFC
Secretary-elect	- Selected by the IULFC

Whenever possible, the office of secretary should rotate annually among librarians from Bloomington, IUPUI, and the regional campuses libraries.

The Secretary-elect for the next year shall be chosen at the first meeting of the academic year from those representatives with continuing terms. This individual shall serve as the Secretary-elect and shall take office as Secretary on July 1st of the next year.

#### DUTIES OF THE OFFICERS

##### Presiding Officer

It shall be the duty of the presiding officer to call and preside at Council meetings.

##### Secretary

It shall be the duty of the Secretary to

- keep and issue minutes of meetings
- prepare and issue meeting agendas
- prepare and issue a current list of IULFC representatives and their terms
- prepare and issue a current list of system-wide IU Library faculty committees and their members
- conduct votes and/or surveys of the entire library faculty as directed by the Council
- collect and distribute annual reports of the university system-wide library committees to IULFC members
- forward to the Libraries Director of Human Resources, for inclusion in the Library Faculty Handbook, new or revised system documents which are the result of IULFC action
- maintain and update all IULFC records during his/her term of office
- determine whether a quorum will be present at a scheduled meeting and cancel the meeting if a quorum will not be present

It shall be the duty of the Secretary-elect to

- coordinate the election of IULFC membership as follows (see also ELECTION OF REPRESENTATIVES):
  - conduct the elections of the regional campus representatives including preparing, mailing, and tabulating of ballots, resolving any tie votes, and notifying all candidates of results
  - maintain physical evidence of elections, votes, and/or surveys as follows
    - keep tally sheets or records in the secretary's files
    - forward results and surveys to the University Archivist who shall retain them for the current and two preceding years
    - prior to any elections, request from the Libraries Director of Human Resources a list of all librarians (tenure track, non-tenure track, part time and visiting)
    - notify IULFC constituency groups that recommendations for names of persons willing to serve on the various IULFC Committees be submitted to the Secretary-Elect who compiles

- them and forwards them to the Ruth Lilly Dean of University Libraries by June 1st of each year
- forward to the Council the results of the election of IULFC representatives from the IUPUI and regional campuses

#### ELECTION OF REPRESENTATIVES

The Secretary-elect of the IULFC shall coordinate the election of Council representatives. The Secretary shall notify the council representatives that elections are to be held. Notification will include a list of current representatives with their terms of office. The term of office for an elected representative is two years, from July 1 through June 30 of the second year.

The Bloomington, IUPUI, and regional campus constituencies of the library faculty control their representatives' election procedures. These specific election procedures are as follows:

**BLOOMINGTON** - The Bloomington representatives to the IULFC shall be elected each year from the members of the Bloomington Library Faculty Council. At the first BLFC meeting each year, two members of the Council shall be elected to represent the Bloomington campus on IULFC. Each of these representatives shall serve two year terms. One of the two elected shall be a second year Council member; the other shall be a first year Council member. Any member of the Council may substitute for an elected representative and serving as a voting alternate. If a position is vacated during the year, another Council member shall be elected to fill out the term.

**IUPUI** - The IUPUI representatives to the IULFC shall be elected each year by a vote of the IUPUI Library Faculty.

1. Three members of the IUPUI Library Faculty serve as representatives to the IULFC. These members hold two year, staggered terms with two members elected one year, and one member elected in alternate years.
2. The Nominating Committee of the IUPUI Library Faculty conducts the election of IUPUI representatives and is responsible for notifying the IULFC secretary of the results by June 1st.
3. The candidate/s receiving the largest number of votes shall be the representative/s. The candidate/s receiving the next largest number/s of votes shall be the alternate/s.
4. An elected alternate may replace, if necessary, an elected member of the IULFC at a meeting and serve as a voting alternate.
5. If an elected IUPUI representative is unable to complete his/her term, a previously elected alternate with the same term as the member being replaced, shall become the council representative. The Nominating Committee of the IUPUI Library Faculty shall select a new alternate.

**REGIONAL CAMPUSES** - The regional campuses representatives to the IULFC shall be elected each year by a vote of the regional campuses library faculty.

1. Two librarians from the regional campuses serve as representatives to the IULFC. These

members hold two year staggered terms with one member elected each year.

2. Both regional campuses representatives to the IULFC shall serve as the regional campuses Nomination Committee.
3. The regional campuses Nomination Committee shall notify the IULFC Secretary-elect of persons who are willing to serve as representatives to the IULFC. The IULFC Secretary-elect shall prepare, mail, and tabulate returned ballots for the Regional Campuses IULFC election.
4. The candidate receiving the largest number of votes shall be the representative. The candidate receiving the second largest number of votes shall be the alternate.
5. An elected alternate may replace, if necessary, an elected member of the IULFC at a meeting and serve as a voting alternate.
6. If an elected regional campuses representative is unable to complete his/her term, the alternate elected with the same term as the member being replaced shall become the council representative. The person who received the third highest number of votes when the resigning member was elected, shall become the new alternate.

## COMMITTEES

There is a wide range of faculty participation in the governance of the University through University-wide committees, the memberships of which are appointed by University administrative officers or by the University faculty councils.

The IULFC requests that since these committees represent or deal with issues affecting library faculty that the committees keep the library faculty informed by submitting an annual report of their activities to the Council. The Council encourages the committees to bring issues which need full library faculty approval to the Council for discussion or action.

The following is a list of University-wide library faculty committees with their functions and make-up.

### INDIANA UNIVERSITY LIBRARIANS' DAY COMMITTEE

1. The function of this committee shall be to arrange the annual Indiana University Librarians' Day meeting. The purpose of Librarians' Day is to provide a forum for discussion of current topics and interaction among IU Librarians. In addition to the substantive content, the program for Librarians' Day should include a State of the Libraries Address by the Ruth Lilly Dean of University Libraries, discussion of system wide issues as directed by IULFC, reports of the various IULFC committees and announcement of the White Award winners.
2. The Librarians' Day committee shall consist of three (3) members. One (1) member shall be from Bloomington, one (1) member from the Indianapolis Campus and one (1) member from the regional campuses. One member of the committee shall be a member of IULFC. It would be preferable if one member had served on the committee the year before. All members are appointed by the IULFC at the first meeting of the year.

3. General guidelines for Librarian's Day are included in the Librarians' Day manual which should be updated from year-to-year by the Librarians' Day Committee.

#### INDIANA UNIVERSITY LIBRARIANS FACULTY REVIEW BOARD

1. The function of this Board is to provide all librarians employed by Indiana University with a fair and equitable appeal procedure for those differences which cannot be settled through normal administrative channels and/or the Libraries Director of Human Resources.
2. The Faculty Review Board shall be composed of seven (7) members. Three (3) members shall be from Bloomington, only one of whom shall be untenured; two (2) members shall be from IUPUI, only one of whom shall be untenured; and two (2) members shall be from the regional campuses, only one of whom shall be untenured. The chair and secretary for the Board shall be chosen in accordance with the "Librarians Faculty Review Board" section of this Handbook. The past chair shall provide the names of the new chair and secretary to the IULFC Secretary immediately following the election.
3. Seven (7) alternates shall be selected to serve on the Board when any member is disqualified or is no longer a member of the Library faculty. The alternates will be in the same proportions as the members (see 2 above). Where possible, alternates shall only replace members of the same tenure status and the same constituency.
4. Members and alternates shall be elected to serve two year terms with terms being staggered to provide continuity of representation for each constituency. Members and alternates shall be eligible for reelection for one successive term.
5. The chair of the Board shall inform the IULFC Secretary before April 1st each year which positions on the Board will be open. New members are elected by the respective constituencies in coordination with the IULFC Secretary-elect. In these elections, at least two (2) names shall be offered for each open position.

#### INDIANA UNIVERSITY LIBRARIANS FACULTY STANDARDS COMMITTEE

1. This Committee shall have the following functions:
  - a. Review and analyze general responsibilities, privileges, and compensation of the library faculty and make recommendations where appropriate
  - b. Review existing appointment and promotion and tenure criteria and make recommendations where appropriate
  - c. Review existing methods for evaluating performance and make recommendations where appropriate
2. The Faculty Standards Committee shall be composed of three (3) members: one (1) from Bloomington, one (1) from IUPUI, and one (1) from the regional campuses. One member shall serve as chair. The immediate past chair serves as a non-voting consultant to the Committee and Libraries Human Resources serves as administrative support for the committee. It is the responsibility of the chair to coordinate committee activities with the Libraries Human Resources Office (Herman B Wells Library, Bloomington); for example, requesting or

forwarding necessary paperwork. A sixth person will be added to the Faculty Standards Committee as a liaison to the IULFC. This person will be a non-voting member of the Faculty Standards Committee and be elected from the IULFC at its first meeting of the academic year. At its first meeting each year, the Committee shall elect one member with two or more years to serve as vice-chair and that member shall assume the duties of chair the following year. The Committee chair shall provide the name of the vice-chair to the IULFC Secretary-elect immediately following the election.

3. The members of the Faculty Standards Committee are selected as follows. The Secretary of the BLFC and the nominating committees of the IUPUI Library Faculty and the regional campuses libraries submit to the IULFC Secretary-elect the names of persons willing to serve on the committee. By June 1<sup>st</sup>, the IULFC Secretary-elect forwards these names to the Ruth Lilly Dean of University Libraries who appoints the committee.
4. Members shall be appointed to serve two year terms with terms being staggered to provide continuity.
5. The Chair shall inform the IULFC Secretary, before April 1 of each year, which positions on the committee will be open.

#### INDIANA UNIVERSITY LIBRARIES MENTOR PROGRAM COMMITTEE

1. The primary responsibility of this Committee is to administer the Mentor Program which has as its goal to provide tenure track librarians in the Indiana University Libraries system with a mentor.
2. The Indiana University Libraries Mentor Program Committee is composed of three tenured librarians. The distribution should include one librarian from Bloomington, one from Indianapolis, and one from the Regional Campuses. The members should include past members of the IULFC Promotion and Tenure Committee. Members shall be appointed to serve two year terms with terms being staggered to provide continuity. The Libraries Director of Human Resources shall serve as ex officio to the committee.
3. This Committee shall have the following functions:
  - a. To contact new tenure track librarians
  - b. To recruit tenured librarians to be mentors
  - c. To match mentors and mentees and to maintain a directory of participants
  - d. To contact participants in the Mentor Program annually to monitor the success of the program
  - e. To educate prospective mentors about the mentoring relationship
  - f. To inform librarians about the Mentor Program

#### INDIANA UNIVERSITY LIBRARIANS PROMOTION AND TENURE COMMITTEE

1. The primary responsibility of this Committee is to review each dossier submitted in the promotion and tenure processes, and to make recommendations to the Ruth Lilly Dean of University Libraries.



2. The Indiana University Librarians Promotion and Tenure Committee is composed of nine (9) tenured, voting librarians and may include one or more non-voting members of other faculties. The voting membership of the committee is proportional to the number of tenure track positions throughout the University, with a total committee membership of nine. The distribution is determined annually, prior to the appointment of new committee members, by the Libraries Director of Human Resources. Figures are based on the number of tenure-track positions in each of the three groups of librarians: IU Bloomington, IUPUI campus (Indianapolis), and the six regional campuses. At no time shall any group have fewer than two representatives, regardless of the number of tenure-track positions in that group. The chair, vice-chair and secretary of the Promotion and Tenure Committee shall be chosen in accordance with the "Librarians Promotion and Tenure Committee Organization and Procedures" section of this Handbook. The Committee chair shall provide the names of the vice-chair and secretary to the IULFC Secretary-elect immediately following the election.
3. The voting membership is proportionally distributed by rank as follows: two librarians, four associate librarians, and three additional librarians of any rank.
4. The membership of the Promotion and Tenure Committee is appointed as follows. The Secretary of the BLFC, the Nominating Committee of the IUPUI Library Faculty, and the Nomination Committee of the regional campuses libraries submit to the Secretary-elect of the IULFC the names of tenured persons willing to serve on the Committee. The IULFC Secretary-elect forwards these names to the Ruth Lilly Dean of University Libraries.
5. Bloomington-based members of the committee recommend rank and tenure status (including, if applicable, years toward tenure) of librarians appointed to tenure track positions in the IU-Bloomington libraries.
6. Voting members serve for two years; they may not succeed themselves.
7. The Committee Chair shall inform the IULFC Secretary-elect before April 1 of each year, which positions on the Committee will be open.
8. The Libraries Human Resources Office (Herman B Wells Library, Bloomington) serves as administrative support for the committee. It is the responsibility of the chair to coordinate committee activities with Libraries Human Resources; for example, requesting or forwarding necessary paperwork.

#### INDIANA UNIVERSITY LIBRARIANS RESEARCH COMMITTEE

1. The Indiana University Libraries Research Committee shall have the following functions.
  - a. to monitor the research support needs of the IU library faculty,
  - b. to develop means of addressing those needs,
  - c. to encourage research by the IU library faculty and to raise their research consciousness,
  - d. to raise the consciousness of the University community about IU librarians doing research.
2. The Research Committee shall be composed of six (6) members: two (2) from Bloomington,

two (2) from Indianapolis, and two (2) from the Regional Campuses. A seventh member, elected from the IULFC at its first meeting of the academic year, shall be added to the Research Committee as a liaison to the IULFC. The members shall be drawn from volunteers with an interest in promoting research support (not necessarily experienced researchers themselves). The members shall be appointed to serve two-year terms, those terms being staggered to provide continuity. In addition, each Regional Campus shall have a liaison to the committee, serving a two-year term; two of those liaisons shall also be members of the Committee. In addition to serving on the committee as a whole, the members from each campus are considered local research support subcommittees, able to take local initiatives (of which they shall keep the committee informed).

3. The members and liaisons of the Research Committee shall be selected as follows. The Secretary of the BLFC and the nominating committee of the IUPUI Library Faculty shall submit to the IULFC Secretary-elect the names of librarians willing to serve on the committee. The Regional Campuses Nominating Committee shall submit to the IULFC Secretary-elect the names of one librarian from each campus to act as a liaison for that campus. The IULFC Secretary-elect shall forward these names to the Ruth Lilly Dean of University Libraries, who shall appoint the members and liaisons. At its first meeting of the academic year, the Committee shall elect one member of the Committee with two years to serve, as vice-chair, and that member shall assume the duties of chair the following year. The Committee chair shall provide the name of the vice-chair to the IULFC Secretary immediately following the election.
4. The Chair shall inform the IULFC Secretary-elect before April 1 each year which positions on the Committee or among the liaisons are open for the following year.

#### INDIANA UNIVERSITY LIBRARIANS SABBATICAL LEAVE COMMITTEE

1. The function of this Committee shall be to consider sabbatical leave proposals of librarians from the Bloomington and regional campuses and to make recommendations to the Ruth Lilly Dean of University Libraries.
2. The Sabbatical Leave Committee shall be constituted of four (4) members. Three (3) members shall be from Bloomington and one (1) member shall be from one of the regional campuses. If possible, one (1) member shall hold the rank of Librarian, two (2) shall hold the rank of Associate Librarian, and one (1) shall hold the rank of Assistant Librarian. The chair and vice-chair shall be chosen in accordance with the "Librarians' Sabbatical Leave Program Guidelines" section of this Handbook. The Committee chair shall provide the name of the vice-chair to the IULFC Secretary-elect immediately following the election. (Since librarians at IUPUI submit requests for sabbatical leave to the sabbatical leave committee on the IUPUI campus rather than the Indiana University Librarians Sabbatical Leave Committee, they are not represented by this committee.)
3. The members of the Sabbatical Leave Committee are selected as follows. The Secretary of the BLFC and the Nomination Committee of the Regional Campuses submit to the IULFC Secretary-elect the names of persons willing to serve on the committee. The IULFC Secretary-elect forwards these names to the Ruth Lilly Dean of University Libraries. This committee is appointed by University Libraries Administration.

4. The term of service of any one member shall be limited to two (2) years and appointments shall be staggered so that no more than two (2) members shall come to the end of their term in one year.
5. The Committee Chair shall inform the IULFC Secretary-elect, before April 1 of each year, which positions on the Committee will be open.
6. The Libraries Human Resources Office (Herman B Wells Library, Bloomington) serves as administrative support for the committee. It is the responsibility of the chair to coordinate committee activities with the Libraries Human Resources Office (Herman B Wells Library, Bloomington); for example, requesting or forwarding necessary paperwork.

#### HERBERT S. AND VIRGINIA WHITE PROFESSIONAL DEVELOPMENT AWARD COMMITTEE

1. The function of this Committee shall be to consider all applications for the White Award which is described in "The Herbert S. and Virginia White Professional Development Award" section of this Handbook.
2. The Committee shall be composed of five (5) members: two (2) from Bloomington, one (1) from Indianapolis, one (1) from the Regional Campuses and one (1) IULFC liaison.
3. The members of the White Award Committee are selected as follows: the members are nominated by the IULFC at the first meeting of the academic year and appointments are made by the Ruth Lilly Dean of University Libraries.
4. The term of service of any one member shall be limited to two (2) years and appointments shall be staggered.
5. The Chair of the Committee will be selected by the Ruth Lilly Dean of University Libraries.
6. The Libraries Director of Development serves as a non-voting administrative liaison to the committee and provides support for the committee. It is the responsibility of the chair to coordinate committee activities with the Libraries Director of Development; for example, requesting or forwarding necessary paperwork.
7. The White Awards are conducted on the following timetable:
  - A. Award Committee appointed by IULFC by October 31.
  - B. Application forms are available in the Library Faculty Handbook and can be requested from the Libraries Human Resources Office (Herman B Wells Library, Bloomington). In the advertising for applications it is important to state that the award is open to employees of the Indiana University Libraries (from all campuses, including extra-systems libraries) in clerical, technical, academic, or professional/administrative positions who have earned the M.L.S. or equivalent degree. A timetable will be included with the announcement.
  - C. Applications should be sent to the Libraries Director of Development by December 15.

- D. Award Committee will meet to review applications by January 15.
  - E. Notification letters will be sent by February 15 and the decision forwarded to the Ruth Lilly Dean of University Libraries for implementation. The Budget Officer will establish an account for disbursement of the award. A certificate will be signed by the chair and presented to the award recipient(s) at Librarians' Day, or, if the recipient(s) is unable to attend, by mail. The recipient's name will be added to a plaque containing the names of the White Award recipients. It will be placed in a public area in the Herman B Wells Library.
  - F. The decision will be announced at the Spring meeting of IULFC, in IUL News, and at Librarians' Day.
  - G. It is appropriate and recommended that the award recipient(s) and the Committee Chair send appreciation letters to the Whites after the award is made each year to thank them for their continuing generosity to the IU Libraries.
- 8. The chair shall inform the IULFC Secretary-elect before April 1 each year which positions on the Committee or among the liaisons are open for the following year.
  - 9. Changes in criteria and procedures will be made by the White Award Committee, with the approval of the IULFC Research Committee.
  - 10. The Chair of the White Committee will submit an annual report to the Ruth Lilly Dean of University Libraries upon completion of his/her term of office.

#### AD HOC COMMITTEES

Ad Hoc committees may be appointed as the IULFC deems necessary or desirable. All Ad Hoc committees shall have written terms of reference which shall include specific dates by which reports must be submitted to the Council.

An Ad Hoc committee shall remain in existence until its final report has been accepted.

#### AMENDMENTS

The IULFC Operational Guidelines may be amended or revised by the Council. Amendments or revisions must be approved by a majority of the voting members of the Council.

## Librarians Faculty Review Board

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*Approved Effective September 1986*

### I. PREAMBLE

The Indiana University Librarians Faculty Review Board will serve all librarians employed by Indiana university. The purpose of the Review Board is to provide all librarians with a fair and equitable appeal procedure for differences which cannot be settled through normal administrative channels and the Libraries Director of Human Resources. The Board intends that an atmosphere of cooperation and harmony prevail, and that all librarians be assured of access to this procedure free from interference, restraint or reprisal. All cases brought before the Board and the names of all persons who bring cases before the Board will be confidential.

Petitions to the Board may be concerned with, but not limited to:

- A. Voluntary termination
- B. Promotion and tenure recommendations
- C. Appointment, reappointment, reassignment, and non-reappointment
- D. Salary inequity
- E. Nature or conditions of work
- F. Administrative action resulting in alleged unfair treatment relating to the performance of professional responsibilities or in violation of academic freedom

In the review process the Board will consider each case on its individual merits but will emphasize the procedural aspects of decision making and administrative action. In so doing, it recognizes that reasonable persons may differ on the interpretation of specific actions. At the end of the review process the Board will make its recommendations to the Ruth Lilly Dean of University Libraries for administrative action.

### II. THE BOARD

#### A. Membership

1. The Board shall be composed of seven members of the library faculty with the rank of Affiliate Librarian or above. Five members of the Board shall compose a quorum. All librarians within each division of the University (i.e., Bloomington, IUPUI, Regional Campuses) shall be eligible to vote for members representing their division. The distribution of members shall be: three (3) members of the Bloomington libraries, only one of whom shall be untenured; two (2) members from among the Regional Campus libraries, only one of whom shall be untenured; and two (2) members from IUPUI, only one of whom shall be untenured. This tenured and untenured balance of members from each division of the University shall be achieved where possible.
2. There shall be seven alternates elected. An alternate will serve on the Board when any member is disqualified, disqualifies himself/herself, is on leave and chooses not to serve, or no

longer is a member of the library faculty. An alternate shall serve throughout any case for which he/she is chosen. All librarians within each division of the University shall be eligible to vote for alternates representing their division. The distribution of alternates shall be: three (3) alternates from the Bloomington libraries, only one of whom shall be untenured; two (2) alternates from among the Regional Campus libraries, only one of whom shall be untenured; two (2) alternates from IUPUI, only one of whom shall be untenured. Where possible, alternates shall only replace members of the same tenure status, and the same division.

3. The Ruth Lilly Dean of University Libraries and the Libraries Director of Human Resources shall not be eligible to serve on this board.

#### B. Term of Service

1. Members and alternates shall be elected to serve a two-year term, terms being staggered so as to provide continuity of representation for each division of the University. All members and alternates shall be eligible for re-election to one successive term.
2. The chairperson of the Board shall inform the Indiana University Library Faculty Council Secretary before April 1 each year which positions on the Board will be open.
3. The Indiana University Library Faculty Council shall serve as a Nominating Committee to conduct elections to replace retiring members and alternates. (However, no member or alternate of the Board who is serving on the council shall be eligible to participate in the nominating process). For each open position, whether a member or an alternate, no fewer than two candidates shall be offered for the election process. The results of elections for Review Board members and alternates shall be published by the Secretary of the Indiana University Libraries Faculty Council in IUL News within one month after the election. Terms will start on July 1, but retiring members and/or alternates shall complete the review of any case which they have begun to consider.

#### C. Officers

1. The Board shall elect a chairperson and a secretary from its membership, each to serve for a period of one year and to be eligible for re-election. It shall be the duty of the chairperson to preside at meetings of the Board and to prepare the annual report. Before September 1 of the academic year following his/her tenure, the chairperson shall arrange for the election of a new chairperson and secretary. This election may be conducted at a Board meeting or through the mail. It shall be the duty of the secretary to record the minutes of the Board.
2. The results of the election for Review Board chairperson and secretary shall be published in IUL News by the Review Board secretary within one month of the election.

### III. GENERAL POLICIES

The Board shall abide by the following general policies.

- A. Every librarian shall be advised of Board policy and procedures of case review.

- B. Any librarian may petition the Board for review of his/her case.
- C. If a member of the Board is involved in a case, the member shall be disqualified for the duration of the proceedings on that case. Any member of the Board shall disqualify himself/herself whenever that member believes that he/she cannot render an impartial judgment and shall be replaced for the duration of the proceedings on the case by an alternate.
- D. The Board shall take every precaution to protect the rights and privacy of all parties, witnesses, and other participants in the review process.
- E. Petitioners may be accompanied by an advisor/representative. Should a petitioner choose to be represented by a lawyer, Indiana University shall provide the Board with legal counsel.
- F. The Board shall report annually to the Indiana University Library Faculty Council. The report shall include the number and types of cases presented to the Board during the year, and the number of cases in which it is recommended that the librarian be sustained. The chairperson of the Board is responsible for providing his/her successor with a written copy of the annual report.
- G. Upon the completion of each case, the members of the Board shall return copies of all documentation to the chairperson who shall be responsible for having all duplicate records destroyed. The official records of cases completed shall be sealed and filed for security in the Libraries Human Resources Office (Herman B Wells Library, Bloomington) for a period of five years, during which time they may be opened only by court order. At the end of five years, records shall be destroyed by the Board.
- H. The Indiana University Library Faculty Handbook and officially approved library procedures on individual campuses shall be the procedural guides for decisions by the Board

#### IV. PREREQUISITES TO BOARD CONTACT

##### A. Cases Involving Non-Reappointment of Librarians

1. After a librarian has received notice of a negative recommendation or decision on reappointment or tenure, his/her first recourse shall be to request an oral explanation from her/his principal administrative officer.
2. Upon written request to the principal administrative officer, submitted within thirty (30) calendar days of notification on non-reappointment, that officer shall provide the librarian within the next thirty (30) days a written statement of the reasons for non-reappointment. The statement of reasons should reflect careful consideration of the qualifications of the librarian in terms of the professional standards and the needs of his/her department, or division, and the University Libraries.
3. The librarian who believes that recommendation or a decision that she/he not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.

4. If the librarian is dissatisfied with the result of a request for reconsideration she/he may petition the Librarians Review Board for a review of the procedures employed in the decision not to recommend reappointment. The petition must be initiated within thirty (30) calendar days following the receipt by the librarian of the written statement of the reasons for non-reappointment.

The "Prerequisites to Board Contract" may not be omitted or waived.

B. All Other Cases

1. The librarian must have sought to resolve the issue through discussion with the appropriate department head, comparable immediate supervisor, or the directorate of the library, including the Libraries Director of Human Resources, that is, with whoever took the action or implemented the decision which led to the petition for review.
2. If the problem is not satisfactorily resolved through discussion and the librarian chooses to proceed, he/she shall submit a written appeal to the same administrator with whom the initial discussion was held. This written appeal must be presented not later than thirty (30) calendar days following the aforementioned discussion of the matter which is the basis of the issue.
3. The librarian shall discuss the written appeal with the administrator appealed to at this point who in turn shall attempt to resolve the problem through normal administrative channels, which shall include discussion with each successive level of library administration.
4. The administrator appealed to shall render a written decision with reasons therefore to the librarian within thirty (30) calendar days following receipt of the written appeal. At this point the librarian may withdraw the appeal.

These "Prerequisites to Board Contact" may not be omitted or waived.

V. PETITIONER'S INITIAL CONTACT WITH THE BOARD

Each member of the Board shall be available to talk with a librarian about a request for review of his/her case.

- A. Within thirty (30) calendar days following receipt by the librarian of the written administrative decision, the librarian shall initiate the review procedure by presenting to the Board:
  1. a written petition for review of a librarian's case and
  2. a written statement of the case, which should contain:
    - a. the exact nature of the case, including names of persons and dates involved and an indication of available documentation
    - b. a summary of the actions taken by the petitioner for redress of the appeal(s) specified
    - c. the exact nature of the redress sought with the assistance of the Board and
    - d. a copy of the written decision from the administrator



- B. The Board may then request from all parties involved in the case any additional documentation that the Board considers necessary in making its preliminary decision to conduct a review.
- C. The Board may refuse to conduct a review of the case only by the unanimous decision of its members. The reasons for refusal must be given to the petitioner in writing. Notification of the Board's action will be given to other parties involved and all documentation returned.

## VI. REVIEW PROCEDURES

- A. Once the Board has decided to review a case, parties involved may submit additional documentation.
- B. The Board will decide if sufficient evidence has been submitted upon which a recommendation may be based, or the Board may solicit additional information and/or witnesses as necessary.
- C. The Board will then make a recommendation or decide that a formal hearing should be held.
- D. In a hearing before the Board, all parties involved in the case shall have the right to counsel of their own choice, shall be permitted to present witnesses or other evidence in their behalf and shall be entitled to the cooperation of the Board in securing the attendance of witnesses, and also shall have the right to hear and question all witnesses and to examine all evidence presented.

The Chairperson of the Review Board shall be advised in advance concerning legal counsel, witnesses, and other evidence that will be a part of the hearing. The chairperson shall prepare an agenda for the hearing, shall make this agenda available to all parties involved in the case and shall indicate what kind of time restraints will prevail at the hearing.

A full stenographic record or tape recording of the hearing shall be prepared and made available to the parties concerned. The hearing shall be conducted in private, but shall be open if all the parties so agree.

- E. At any point in the proceedings, the petitioner may withdraw his/her petition in writing to the chair of the Board.
- F. The recommendation of the Board shall be by a majority of its members. It shall be submitted in writing with reasons therefore to the petitioner and the Ruth Lilly Dean of University Libraries. In cases of non-tenure, copies of the recommendation shall be sent also to the Dean of the Faculties and the appropriate Vice President or Chancellor. In other cases a copy shall be sent to the appropriate department head or comparable immediate supervisor. This recommendation shall be sent as soon as possible but not later than thirty (30) calendar days after the end of the presentation of evidence.
- G. The Ruth Lilly Dean of University Libraries shall act on the recommendation of the Board as soon as possible, but in no case later than thirty (30) calendar days after his receipt of the recommendation. The Ruth Lilly Dean of University Libraries shall communicate in writing his decision with reasons therefore to the petitioner, the board, and others advised of the Board's recommendation.

H. In cases not involving tenure, upon finding by the Indiana University Librarians Faculty Review Board (accepted by the Ruth Lilly Dean of University Libraries) that the librarian did not enjoy full benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary to avoid prejudicing the rights of the librarian, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the librarian.

I. Time limits may be extended in specific instances by written agreement of parties concerned.

Recourse by a librarian to the various rights of appeal, review, and reconsideration set forth above shall not be construed as precluding the University's rights to give timely notice of non-reappointment (See Criteria for Promotion and Tenure, section IV.I.). In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.

#### VII.METHOD FOR REVISING THE PROCEDURES

A. Revisions to the Board's procedures shall be proposed in writing to the members of the Board. After review by the Board members, the proposed revisions shall be submitted to the Indiana University Library Faculty Council Secretary with the Board's recommendations.

B. The IULFC Secretary shall submit the proposed revisions to the IULFC. Proposed revisions not approved by the IULFC shall be returned to the Board.

C. The IULFC shall submit the endorsed revisions to the voting members of the library faculty for a vote by mail. Revisions shall require approval by a majority of those members of the library faculty voting.

## Promotion and Tenure Criteria for Librarians

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*Approved by the Library Faculty June 2004*

### **A. Principles for promotion and tenure of librarians**

The principle of tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty member and librarian. In order to meet its responsibilities to its students and to society, the University must attract and retain faculty and librarians of outstanding quality. To that end the University provides academic freedom and economic security, which are implicit in the principle of faculty and librarian tenure.... Librarians, on their part, are obligated to maintain high standards of professional service, research and creativity, and performance in the development of library services and the communication of information and knowledge to others (*Indiana University Academic Handbook, 2001, p.63*).

A librarian in the academic community is responsible for the collection and dissemination of information and materials and for services pertaining thereto in support of the teaching, research, and general learning functions to the University. A librarian is obligated to keep abreast of the latest developments in the profession and with processes and services to improve library service (*Code of Academic Ethics, Indiana University Academic Handbook, 2001, p. 47*). A librarian must have a master's degree from an American Library Association accredited library school or the equivalent professional credentials, or a graduate degree in other professional or scholarly fields where appropriate.

Indiana University expects that a librarian will, first and foremost, excel in the position held at Indiana University. Librarians who excel will want to share their accomplishments with others through professional activities. The primary indicator of excellence is impact: What impact does the librarian have on the library, the university, and the profession as a whole? How has the librarian enhanced the reputation of Indiana University? As a librarian approaches full rank, demonstrated impact beyond the institution is expected.

### **B. Areas to be evaluated**

The areas to be evaluated for the tenure and promotion of librarians are (1) performance, (2) professional development, research and/or creativity, and (3) service (*Indiana University Academic Handbook, 2001, p.73*).

### **C. General criteria for tenure**

After the appropriate probationary period, tenure shall be granted to those librarians whose professional characteristics indicate they will continue to serve with distinction in their appointed roles. (See "Policies Governing Appointment, Reappointment, and Non-Reappointment of Librarians" for policies regarding the probationary period.)

A candidate for tenure must excel in performance and be satisfactory in the areas of professional development, research and/or creativity, and service. Criteria for the assessment of each area are found

in sections F, G, and H of this document. Tenure considerations must take into account the mission of the particular unit and the individual librarian's contribution to that mission.

#### **D. General criteria for promotions**

Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. When considered for promotion the individual will be assessed in regard to all three areas. Favorable action should result when the individual has demonstrated a level of competence and distinction appropriate to the proposed rank. Criteria for the assessment of each area are found in sections F, G, and H of this document.

Promotion considerations must take into account differences in mission among campuses, and among schools within some campuses, as well as the individual librarian's contribution to the school/campus mission. The relative weight attached to the criteria above must vary accordingly.

It shall be the privilege of any librarian to submit a recommendation for the promotion of any librarian, including one's self.

##### **1. Promotion from Affiliate Librarian to Assistant Librarian**

This promotion is based primarily on evidence of excellent performance. A promising beginning of professional development, research and/or creativity and service is expected.

##### **2. Promotion from Assistant Librarian to Associate Librarian**

Excellent performance is the primary criterion. Professional development, research and/or creativity and service are secondary criteria. The candidate must demonstrate continued improvement beyond the satisfactory level in one and be satisfactory in the other.

##### **3. Promotion from Associate Librarian to Librarian**

Promotion is based upon achievement beyond the level required for associate librarian. The librarian must demonstrate exceptional achievements in performance. Professional development, research and/or creativity and service are secondary criteria. The librarian must demonstrate excellence in one of the two areas and be at least satisfactory in the other area. The librarian's performance and contributions to the secondary area must be carefully documented so that the quality is unquestionable and extraordinary in relation to peers.

#### **E. The balanced case**

In exceptional cases, a librarian may be tenured or promoted based on excellent performance and a presentation of balanced strengths across the other two areas of professional development, research and/or creativity, and service. In such cases, where neither of these two areas reaches the appropriate level of distinction when considered separately, the consideration of the two areas together show a level of distinction appropriate to the rank under review. The balanced case may be particularly suitable

for librarians whose professional development, research and/or creativity and service activities are very closely intertwined.

The balanced case (see UFC Circular U13-94) will not compromise current criteria for performance and may be applied only to professional development, research, and/or creativity and service.

## **F. Performance**

Librarians collect, organize, and provide access to the record of human knowledge. They instruct and assist in finding and evaluating information, wherever it may be located. Librarians preserve the record of the past, help individuals inform themselves in the present, and shape the information environment for the future. A librarian must exhibit intelligence, integrity, a spirit of cooperation, an ability to think critically, and a commitment to the needs of library users.

A librarian must, first and foremost, excel in the position held at Indiana University.

### **1. Indicators of quality of performance**

The following indicators provide guidance for the assessment of the quality of performance. The list is not exhaustive, nor are the indicators meant to be equally weighted for each librarian. Not all indicators will apply to every librarian.

- impact on furthering the goals of the libraries, the specific campus, and the University
- impact on identified constituencies
- level of intellectual work involved
- creativity and initiative shown
- evidence of collaboration and teamwork
- skills in meeting user needs and stimulating wider use of resources
- development of leadership skills
- quality of work performed
- quantity of work performed

### **2. Criteria for assessment of performance**

*Excellent.* The librarian rated excellent is proficient in the performance of professional responsibilities. There is evidence that the librarian thinks critically about his or her area of responsibility. The librarian uses professional experience, knowledge of appropriate research, and creativity to solve problems, improve services, and innovate. There is evidence of demonstrated impact on identified constituencies, the libraries, the specific campus, or the university.

## **G. Professional development, research and/or creativity**

A librarian who is responsive to the demands of the profession keeps abreast of the latest developments in the profession (*Indiana University Academic Handbook, 2001, p.47*) and makes contributions through professional development, research and/or creativity. Consequently, activities in this area fall into two general types: those focused on advancing the education and

knowledge of the individual librarian (e.g., academic coursework, workshops, etc.) and those focused on the sharing of research and expertise (e.g., publication, participation on panels, etc.).

### **1. Indicators of quality of professional development, research and/or creativity**

The following indicators provide guidance for the assessment of the quality of professional development, research and/or creativity. The list is not exhaustive, nor are the indicators meant to be equally weighted for each librarian. Not all indicators will apply to every librarian.

- impact on the development of the librarian
- impact on the advancement of the profession
- level of intellectual work involved
- creativity and initiative shown
- quality of activities
- quantity of activities
- professional reputation

### **2. Criteria for assessment of professional development, research and/or creativity**

*Satisfactory.* The librarian rated satisfactory demonstrates a definite continuing program of relevant professional development. Quality is considered more important than mere quantity.

*Beyond satisfactory.* The librarian who has progressed beyond satisfactory demonstrates a definite continuing program of relevant professional development, marked by some degree of continuity and connection between individual activities. Quality is considered more important than mere quantity.

*Excellent.* The librarian rated excellent demonstrates a definite continuing program of relevant professional development, marked by focused pursuit of professional expertise and significant scholarly contributions. The librarian must demonstrate evidence of distinguished contributions to the university, profession, or community. Quality is considered more important than mere quantity.

## **H. Service**

Service is the application of a librarian's knowledge, skills, and expertise to benefit the institution, the discipline, the profession, or the community in a manner consistent with the missions of the university and the campus. Typically, activities in this area fall into four categories.

*Service to students* involves support for curricular and extra-curricular activities or organizations (e.g., teaching, mentoring students, advising a student organization, etc.).

*Service to the institution* involves activities that sustain or lead the academic community, including the libraries, (e.g., library committees, participation in faculty governance, etc.).

*Service to the discipline or the profession* involves activities designed to enhance the quality of disciplinary or professional organizations or activities (e.g., serving as an officer of a professional society, etc.).

*Service to the community* involves activities that contribute to the public welfare beyond the university community (e.g., leading a non-profit board, organizing or advising special projects, etc.).

(Categories adapted from *Service @ Indiana University: Defining, Documenting, and Evaluating*. Indianapolis: Center for Public Service and Leadership, 1999, pp. 3-5.).

The relative weight given to certain categories of service will vary according to the mission of the specific campus.

A librarian is expected to assume service responsibilities. Fulfilling these responsibilities enhances the value of the librarian as a member of the University and library community. (University Faculty Council, November 30, 1976; *Indiana University Academic Handbook*, 2001, p. 73).

### **1. Indicators of quality of service**

The following indicators provide guidance for the assessment of the quality of service. The list is not exhaustive, nor are the indicators meant to be equally weighted for each librarian. Not all indicators will apply to every librarian.

- impact on furthering the goals of the libraries, the specific campus, and the university
- impact on the development of the librarian
- impact on the advancement of the profession
- significance of the individual's contribution
- level of intellectual work involved
- leadership demonstrated
- creativity and initiative shown
- evidence of collaboration and teamwork
- quality of activities
- quantity of activities
- professional reputation

### **2. Criteria for assessment of service**

*Satisfactory.* The librarian rated satisfactory demonstrates a definite continuing commitment to service that reflects favorably on the university and the libraries. Quality is considered more important than mere quantity.

*Beyond satisfactory.* The librarian who has progressed beyond satisfactory demonstrates a definite continuing commitment to service that reflects favorably on the university and the libraries, marked by increased levels of responsibility. Quality is considered more important than mere quantity.

*Excellent.* The librarian rated excellent demonstrates a definite continuing commitment to service that reflects favorably on the university and the libraries, marked by a high level of responsibility and significant impact. The librarian must demonstrate evidence of distinguished contributions to the university, profession, or community. Quality is considered more important than mere quantity.

## **I. Authority for implementation**

The implementation for tenure for librarians is based upon the following statement adopted by the Board of Trustees at its meeting of June 30, 1972:

1. Subject to the provisions which follow, a person appointed as a professional librarian in the Indiana University Library System shall have Library tenure after the same probationary period that is applicable to the faculty.

a. In general the same procedures which govern faculty tenure determinations (i.e., probationary period, termination of probationary service, non-reappointment, appeal procedures, etc.) for members of the teaching faculty shall be applicable to professional librarians.

## **J. Geographic limitation of tenure**

All of the foregoing principles, policies, and procedures relating to tenure are applicable in all University Libraries on all campuses. If a librarian's appointment is at a specific, geographically localized campus at the time one acquires tenure, the tenure shall be specific to that campus. Any subsequent changes affecting the geographic locus of one's tenured appointment must be agreed to in writing by the University and the tenured librarian. All campuses provide appropriate structures and administer the necessary procedures for the implementation of general University tenure policies.

In any case in which the position of a librarian with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make every reasonable effort to place the librarian in a comparable position elsewhere in the University or in another institution.

-Refer also to the Indiana University Academic Handbook, pages 20-25, "Faculty and Library Tenure."



## **Non-Tenure Track Appointments**

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### **Visiting Appointments**

The term visiting is used in instances where, (1) an individual is on leave from another place of employment, or (2) an individual is employed on a temporary basis. The individual may be engaged in full-time or part-time duties at Indiana University. Although an individual may be reappointed as a visiting appointee, the title is not normally used for more than two consecutive years.

This is not a tenure track appointment. The visiting appointee may not enjoy all the rights and privileges of full-time appointees - such as voting rights; eligibility for Faculty Council membership; sabbatical leaves; and access to research, travel, or other special funds reserved for full-time faculty.

The university is not obligated to count service as a visiting appointee as credit toward tenure if the appointment is later changed to a regular appointment, but exceptions may be made in regular accordance with the procedures used by the university in making regular academic appointments.

### **Adjunct Appointments (non-tenure track)**

This title is used when the status conferred by such a title is deemed important and in a variety of circumstances ranging from those in which the appointees are contributing their services gratis, for a limited period and on a part-time basis, to other cases in which the appointees are compensated for part of their time.

This is not a tenure track appointment.

### **Part-time Appointments (non-tenure track)**

Individuals holding these positions devote only part of their time to the duties of a librarian. They may also be gainfully employed in other activities, either with Indiana University or elsewhere. Thus a full-time employee of Indiana University may still be a part-time librarian. A part-time appointee is also appointed at the rank which would be given were that individual being considered for a full-time position. When an individual is employed in such part-time on a continuing or recurrent basis, promotion in rank must go through normal procedures of that unit of the library.

This is not a tenure track appointment.

## **Instructions/Guidelines for Promotion and Tenure Dossiers**

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*Approved by the Library Faculty June 2004*

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      - b. List of References Supplied by the Ruth Lilly Dean of University Libraries or the Principal Administrator's Office
      - c. Copies of Letters Soliciting Evaluations
      - d. Letters from References

## **I. DOSSIER ORGANIZATION**

A well-organized dossier is very important to the success of your case. Understand the criteria for the tenure and/or rank to which you are seeking promotion and make sure that your dossier speaks to the criteria. The presentation, length, and design of your dossier can add or detract from your case.

Dossiers for tenure cover the entire professional career including relevant professional positions held prior to Indiana University.

Dossiers for promotion cover the time in rank at Indiana University.

The period covered by all dossiers should include the year in which the case is submitted. In most instances, the work being assessed as the basis for tenure or promotion will have been completed either since initial appointment or the last promotion.

*In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. (Indiana University Academic Handbook, August 2001, page 71).*

The Libraries Human Resources Office (Herman B Wells Library, Bloomington) will review the dossiers for completeness to insure that all appropriate forms, letters, etc. are contained in the dossier. The Libraries Human Resources Office (Herman B Wells Library, Bloomington) will notify the candidate if any required materials are missing.

### **A. BINDERS**

1. Dossiers should be submitted in three-ring binders. The pages of the dossier should fit loosely into the binder. If the dossier is tightly packed into the binder it is very difficult to handle.
2. Binders larger than the two inch size are too big to be easily handled and should not be used. If the dossier is too large to fit loosely into a two inch or smaller binder, it should be submitted in more than one binder. Multiple volume dossiers should be plainly labeled as such, "Vol. 1", "Vol. 2", etc.
3. The front cover and spine of the dossier must be labeled with the candidate's name, campus, and the appropriate copy number. It is also helpful if promotion and/or tenure information is included on the label, for example, "Promotion to Associate with Tenure," or "Promotion to Librarian," etc.

### **B. COPIES**

1. Bloomington candidates must provide two copies of the dossier, candidates at the regional campuses must provide three copies, and candidates at Indianapolis must provide four copies (this is due to the additional routing of dossiers at these campuses). In addition to the copies of the dossier submitted, an additional personal copy should be kept.
2. Each copy of the dossier must be an exact duplicate of the original. It should contain exactly the same pages in exactly the same order as the original. The original copy should be marked on both the spine and the front cover as copy 1, with additional copies appropriately numbered. All pages in the dossier must be legible. If a page does not photocopy well, a note explaining what is on the page, or a transcription of the illegible page should be included in the dossier and noted with the current date.

### **C. ADVICE AND FEEDBACK**

- Consult your supervisor and/or mentor frequently to determine the types of activities that are appropriate for each area; the Libraries Human Resources Office (Herman B Wells Library, Bloomington) can provide you with names of former P & T Committee members who are willing to give you advice.
- Attend Promotion and Tenure seminars every year prior to submitting your case.
- Review sample dossiers and other documentation examples. Contact the Libraries Human Resources Office (Herman B Wells Library, Bloomington) for additional information.
- Be familiar with the criteria and requirements on your campus in addition to those in the Library Faculty Handbook and the Indiana University Academic Handbook.
- Obtain input from your mentor and/or others with regard to the organization and clarity of your dossier. This means that the preparation of your dossier must commence well before the date it is due.

### **D. FORMAT**

Dossiers should be divided into the following sections.

- General Summary
- Performance
- Professional Development, Research and/or Creativity
- Service
- Supporting Documents

These sections should be divided in the binder with labeled dividers. Include a table of contents for your dossier.

The sections for performance, professional development, research and/or creativity, and service are comprised of statements describing accomplishments in each of these areas during the entire time period covered by the dossier in a way that enables evaluators to apply the indicators of quality (see “Promotion and Tenure Criteria for Librarians”.)

Annual reviews are not required for inclusion in dossiers. At the candidate's discretion or as required by the campus they may be included either in full or in part.

Compile summary statements that highlight your accomplishments and contributions in each area. The summaries should help make a cohesive case that fulfills the criteria for promotion and/or tenure. There should be four summary statements: one overall statement and one each for performance, professional development, research and/or creativity, and service.

The section containing supporting documents includes the supporting documentation for performance, professional development, research and/or creativity, and service. Documentation should represent and reinforce the impact and evaluation of accomplishments.

### **E. TENURE DOSSIERS – NON-IUL EXPERIENCE**

Dossiers prepared for tenure cover the entire professional career including relevant professional positions held prior to Indiana University. All previous professional library positions must be covered in a tenure dossier, but the dossier is not limited to professional library positions. Relevant professional

experience outside of the library field may be included if it would be seen as strengthening the dossier. The candidates who are unsure about what to include should seek guidance from their mentors, their supervisors, or colleagues.

The content and format of non-IU positions covered in the dossier is the responsibility of the candidate and may be dependent on the type of documentation available from previous positions. Ideally these sections of the dossier would include position descriptions, evaluative statements, and/or reviews prepared while the positions were held. However, these types of documents are not always available, or may have never existed.

In cases where documentation was done, but is not at hand, the candidate may contact previous employers or supervisors and request copies of position descriptions and any evaluative documentation that exists. If documentation was never done, previous supervisors may be contacted and asked to prepare an evaluation of the candidate in the position. This process should be started far in advance of the time the dossier is to be completed as a collection of these documents may take considerable time.

If documentation was never done or cannot be obtained (unable to contact former employers, documentation no longer in existence, etc.), the candidate may reconstruct descriptions of the previous experience. Such reconstructed documents should be clearly stated as such and should be prepared with the goal of providing those who will be reviewing the dossier as complete a picture of previous professional experience as possible.

If documentation from the previous positions has been reconstructed or is incomplete, the candidate should add a brief explanation of what is in the dossier. This may be in the form of a written statement at the beginning of the section of the dossier covering pre-IU experience, or it may be incorporated into the candidate's general summary statement in the beginning of the dossier.

Those who are reviewing the dossier are aware that many tenure candidates have difficulty obtaining documentation from positions held outside of IU, and that in some cases such documentation doesn't exist. Therefore, there are no set requirements as to what must be included and the format in which it must appear. It is the candidate's responsibility to include the documentation that can be obtained, and if necessary to reconstruct descriptions of previous professional positions, and to present it in a cohesive, organized fashion in a manner that will give those reviewing the dossier a thorough picture of one's professional career.

## **II. CONTENTS OF DOSSIER**

### **A. GENERAL SUMMARY SECTION**

**1. Checklist:** The checklist indicates documents that should be included in the General Summary section as well as other sections of the dossier. Where applicable, forms should be signed and dated. All appropriate items should be checked. The checklist is included as an aid to the candidate to insure that the dossier is complete. Checklist form.

**2. Signature Routing Sheet:** The appropriate routing sheet should be included.

Signature Routing Sheet – Regional Campus Libraries

Signature Routing Sheet – IPFW

Signature Routing Sheet – IUPUI Professional School Libraries

Signature Routing Sheet – IUPUI University Libraries

Signature Routing Sheet – Bloomington Extra-System Libraries  
Signature Routing Sheet – Bloomington System Libraries

**3. Official Recommendation Forms:** If the dossier is for both promotion and tenure, both recommendation forms must be included.

Official Recommendation Form - Promotion

Official Recommendation Form - Tenure

**4. Libraries Promotion and Tenure Committee Voting Record Sheet:**

Libraries Promotion and Tenure Committee Voting Record Sheet

**5. Mission Statement(s):** A copy of the campus mission statement is required. Also include a copy of the library mission statement and department or unit mission statement if available. If multiple mission statements were applicable during the period under review include all mission statements and note years that each statement was in place. The mission statements should be arranged in reverse chronological order.

**6. Librarian Promotion and Tenure Criteria:** Include a copy of the Indiana University Libraries Promotion and Tenure Criteria.

**7. Candidate's Vita Outline:** The vita outline is a summary of the candidate's professional career. It includes information about education, a listing of professional positions held, and a summary of major professional activities and/or accomplishments. It is not a full curriculum vita; it should list, but not describe, positions. Descriptions of the positions show up later in the dossier. Consider creating a vita for your dossier that is organized into the areas of performance, professional development, research and/or creativity, and service. The summary of professional activities should not be a listing of every meeting or workshop attended. The vita should include a list of memberships in professional associations (including dates). The vita should also include a full bibliography of the candidate's research and creative activities.

**8. Candidate's Summary Statement:** The summary statement is the candidate's opportunity to speak directly to the P & T committee, highlighting significant aspects of the career. It is also an opportunity to present career objectives and accomplishments. Do not rewrite or detail everything that appears later in the dossier. The candidate's summary statement should clearly indicate the elected area of secondary emphasis.

The summary statement can be used to address professional experience prior to appointment at IU. Since non-IU experience is often not documented the same way as at IU, the summary statement can be used to explain the type of, or lack of, documentation for non-IU experience. This statement must be signed and dated.

**9. Supervisor/Evaluator/Team Leader's Summary Statement: (required)**

**Peer Review Committee's Summary Statement: (if applicable)**

**Department Chair/ Head's Summary Statement: (if applicable)**

**Library Director's Summary Statement: (required)**

These summary statements are placed in the dossier after it has been turned in to the supervisor. They must be signed and dated. The candidate has access to the dossier and to its contents at any time during the review process and so has the opportunity to see these statements.

## **B. PERFORMANCE SECTION**

**1. Position Descriptions:** Position descriptions covering the years included in the dossier make up the first part of the performance section of the dossier. These are arranged chronologically.

All position descriptions should clearly specify the years covered. If there is no change in the position description over a period of more than one year, a single copy which clearly states the period covered should be used, i.e., if a position description was unchanged for years, it isn't necessary to put in three identical copies. One copy indicating the years covered is sufficient.

**2. Summary of Performance Accomplishments:** This summary statement highlights particularly significant accomplishments and refers to specific pieces of documentation.

The performance section should describe major accomplishments during the entire time period covered by the dossier in a way that enables evaluators to apply the indicators of quality (see “Promotion and Tenure Criteria for Librarians”.)

This section should be written in a narrative or essay style. Clear organization is essential. Grouping the discussion of major accomplishments by type (e.g. bibliographic instruction, fund management, etc.) is recommended. For all activities addressed in the summary, take care to explain the significance of the activity in light of the indicators of quality listed in “Promotion and Tenure Criteria for Librarians” or other relevant indicators. Also take care to explain the degree to which the librarian developed and/or implemented the activity.

All abbreviations and acronyms should be adequately explained. The librarian should keep in mind that not all individuals who review the promotion and/or tenure dossier will be familiar with the types of activity or with the professional association(s) listed.

## **C. PROFESSIONAL DEVELOPMENT, RESEARCH AND/OR CREATIVITY SECTION**

**1. Summary of Professional Development, Research and/or Creativity:** This summary statement highlights particularly significant accomplishments and refers to specific pieces of documentation.

The professional development, research and/or creativity section should describe major accomplishments during the entire time period covered by the dossier in a way that enables evaluators to apply the indicators of quality (see “Promotion and Tenure Criteria for Librarians”.)

This section summarizes the librarian's efforts to expand individual professional knowledge by conducting research, developing creative projects, pursuing advanced degrees and/or participating in continuing education activities.

This section should be written in narrative or essay style. Clear organization is essential. Grouping the discussion of major accomplishments by type (e.g., continuing education, professional memberships, conference attendance, workshop attendance, papers presented, publications) is recommended. For all activities addressed in the summary, take care to explain the significance of the activity in light of the indicators of quality listed in “Promotion and Tenure Criteria for Librarians” or other relevant indicators.

For published papers include an explanation of the significance of the journal for those outside the area of specialization. For collaborative activities and works of joint authorship, the extent of each individual's contribution should be clearly stated.

All abbreviations and acronyms should be adequately explained. The librarian should keep in mind that not all individuals who review the promotion and/or tenure dossier will be familiar with the types of activity or with the professional association(s) listed.

#### **D. SERVICE SECTION**

**1. Summary of Service Activities:** This summary statement highlights particularly significant accomplishments and refers to specific pieces of documentation.

The service section should describe major accomplishments during the entire time period covered by the dossier in a way that enables evaluators to apply the indicators of quality (see “Promotion and Tenure Criteria for Librarians”.)

Service to the libraries, the university, students, the discipline or library profession, the community, and other organizations is reported in this section.

This section should be written in narrative or essay style. Clear organization is essential. Grouping the discussion of major accomplishments by type (e.g. service to students, to the institution, to the discipline or profession, and the community) is recommended. For all activities addressed in the summary, take care to explain the significance of the activity in light of the indicators of quality listed in “Promotion and Tenure Criteria for Librarians” or other relevant indicators.

The extent of participation in service activities should be fully explained (e.g., offices held and accomplishments achieved, importance and impact of the committee's work, and the librarian's specific contribution to the committee's work).

All abbreviations and acronyms should be adequately explained. The librarian should keep in mind that not all individuals who review the promotion and/or tenure dossier will be familiar with the types of activity or with the professional association(s) listed.

#### **E. SUPPORTING DOCUMENTS**

Documentation must effectively represent activities and accomplishments in a way that enables evaluators to apply the indicators of quality found in “Promotion and Tenure Criteria for Librarians” or other relevant indicators. Documentation in this section should be subdivided into sections documenting the three areas: performance, professional development, research and/or creativity, and service.

Be selective in your choice of supporting documents. The purpose of documentation is to communicate the significance of your activities, not to prove that you did them. Documentation for important activities and accomplishments mentioned in each area summary should be included in the supporting document section.



Include a table of contents listing the documentation. If necessary brief annotations may be added to the table of contents or documents to explain the impact of activities/accomplishments, clarify roles in joint projects, and provide other information needed to support the case.

The year to which the documentation applies should be noted on each document.

**1. Supporting Documents for Performance:** Documentation of performance should represent the impact of accomplishments reported. The supporting documents included in this section should allow the evaluator to assess the quality of performance using the indicators of quality in the “Promotion and Tenure Criteria for Librarians” or other relevant indicators.

Documentation for the area of performance might include the types of documents listed below. This list is not exhaustive. Not all types of documentation will apply to every librarian.

- Evaluative statements from former supervisors, colleagues, students, faculty, or other users of the library, including joint statements when the librarian served as part of a team
- Descriptions and evaluation of teaching responsibilities that are part of one's job assignment
- Evidence of the significance and impact of innovative applications
- Materials prepared and their use or application
- Descriptions of development or use of new or existing technologies which impact performance and services to users
- Evaluator's portion of annual reviews
- Solicited letters requested by a third party
- Grant proposals related to performance written and/or received, including results
- Descriptions of performance-related continuing education

Multi-page documents, regardless of format, such as library handbooks or procedural/training manuals prepared by the librarian should not be included in their entirety. The following types of information may be included: several sample pages of a handbook or manual; tables of contents; introductory sections about the scope of the handbook or manual; number of pages; and an outline of headings (if there is no table of contents). If a library guide or manual has been rewritten several times during the course of a given year, include selected pages only from the most recent document. Provide the URL for all World Wide Web materials listed. Describe your level of contribution to the pages, that is, did you develop the content and/or create the design and/or provide technical expertise. Sample pages (screen prints) and/or an annotation of the web product would be useful if it is a significant part of your case.

It is not necessary to include examples of routine activities such as correspondence and statistical reports. Remember the purpose of documentation is to communicate the significance of your activities, not to prove that you did them.

If an activity is listed as teaching, indicate whether you developed the curriculum and syllabus and the extent to which others participated in teaching the course. If teaching or bibliographic instruction is a significant item in building your case, secure systematic evaluations of your teaching over a period of time. (If possible use a form comparable to that used by teaching faculty on your campus or in your school.)

**2. Supporting Documents for Professional Development, Research and/or Creativity:** Documentation of professional development, research, and/or creativity should represent the impact of accomplishments reported. The documentation should provide evidence to demonstrate the librarian's responsiveness to the demands of the profession by keeping abreast of latest developments and by contributions to knowledge and sharing of that expertise. The supporting documents included in this section should allow the evaluator to assess the quality of professional development, research and/or creativity using the indicators of quality in the "Promotion and Tenure Criteria for Librarians" or other relevant indicators.

Documentation for the area of professional development, research and/or creativity might include the types of documents listed below. The list is not exhaustive. Not all types of documentation will apply to every librarian.

- Evidence of the quality of research, publications, papers, presentations, and other professional contributions. Such evidence might include copies of publications, summary of project, samples pages, reviews, abstracts, letters, or colleague evaluations.
- Evidence of fellowships, grants, awards, and/or other special honors
- Evaluator's portion of annual reviews
- Evaluative statements from colleagues
- Solicited letters requested by a third party
- Description of the impact of continuing education activities

It is not necessary to include programs of conferences which were attended only. Remember the purpose of documentation is to communicate the significance of your activities, not to prove that you did them.

Copies of publications, regardless of format, should be included. Photocopies are acceptable. If the journal citation does not appear on the photocopy, type it on the top of the first page. It is not necessary to include a copy of the entire journal. Provide the URL for all World Wide Web materials listed. Describe your level of contribution to the pages, that is, did you develop the content and/or create the design and/or provide technical expertise. Sample pages (screen prints) and/or an annotation of the Web product would be useful if it is a significant part of your case.

The exact status of each publication should be noted. For example, articles which have been officially accepted by an editor or publisher should be identified as "in press". Articles which have been submitted for editorial review, but which have not been accepted or which have been accepted subject to revision should be identified as "submitted" or "under editorial review". Work in progress should be so labeled. Normally, work in progress will be of little relevance in the promotion process, but may be relevant to the tenure decision.

Indicate peer reviewed or refereed journals and/or papers. For refereed or non-refereed journals, describe the circulation and readership.

**3. Supporting Documents for Service:** Documentation of service should represent the impact of activities and accomplishments reported. The documentation should provide evidence to demonstrate the librarian's application of knowledge, skills, and expertise to benefit the institution, discipline, profession, or the community. The supporting documents included in this section should allow the

evaluator to assess the quality of service using the indicators of quality in the “Promotion and Tenure Criteria for Librarians” or other relevant indicators.

Documentation for the area of service might include the types of documents listed below. The list is not exhaustive. Not all types of documentation will apply to every librarian.

- Evidence of the significance and impact of professional service activities (university, library, regional, state, national, community, etc.)
- Evaluative statements from colleagues or others that your service has impacted
- Evidence of individual leadership contributions and/or significant roles which may include offices held in professional associations with summary of accomplishments
- Evidence or copies of service-related publications or presentations
- Description and evaluation of teaching responsibilities performed for departments or agencies outside the library
- Evidence of professional consulting projects
- Solicited letters requested by a third party

If committee service or participation is cited in a conference or workshop program, it is not necessary to include the program. If conference planning was a major factor you may want to include representative pages. Remember the purpose of documentation is to communicate the significance of your activities, not to prove that you did them.

If an activity is listed as teaching indicate whether you developed the curriculum and syllabus and the extent to which others participated in teaching the course.

If teaching is a significant item in building your case, secure systematic evaluations of your teaching over a period of time. (If possible use a form comparable to that used by teaching faculty on your campus or in your school.)

**4. Supporting Documents for Dossier for Librarian Rank:** The following documents are included only for promotion to librarian rank.

**a. List of References Supplied by the Candidate:** A list of at least four references should be provided by the candidate to the Ruth Lilly Dean of University Libraries. These persons should be acknowledged experts who know the candidate and his/her work well enough to write an evaluative statement and should have agreed to serve as references. At least three of the referees should not be currently affiliated with Indiana University. Referees would not normally be current or former co-worker(s) or supervisor(s) of the candidate. The candidate shall explain briefly why each individual is an appropriate reference. The list of references must include a brief supporting statement for each reference.

It is the librarian's responsibility to insure that people who have been listed as references have been contacted and have indicated that they will serve as a referee and will be available to do so. The general criteria for promotion from Associate Librarian to Librarian should be clearly stated to referees including the primary area of review (performance) and the identified elected area of secondary emphasis (professional development, research and/or creativity, or service) for the case under review. A copy of the “Promotion and Tenure Criteria for Librarians” should be provided to referees.

**b. List of References Supplied by the Ruth Lilly Dean of University Libraries or the Principal Administrator's Office:** The Office of the Ruth Lilly Dean of University Libraries or the principal administrator may add names of references with a brief statement of reasons for each additional name. The candidate should be informed in writing of any additional referee.

**c. Copies of Letters Soliciting Evaluations:** The Office of the Ruth Lilly Dean of University Libraries, or the principal administrator, shall request letters from at least three references provided by the candidate. Copies of the letters soliciting evaluations are added to the dossier by the Ruth Lilly Dean of University Libraries' Office.

**d. Letters from References:** Letters from the references are added to the dossier by the appropriate Human Resources Office.

## Promotion and Tenure Dossier Checklist (for Initiating Unit)

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Candidate \_\_\_\_\_ Department \_\_\_\_\_

### General:

- Tenure and Promotion Routing and Action Summary Form
- Mission Statements
  - Campus Mission Statement
  - Library and/or Department Mission Statement, if available
- Copy of unit and school criteria used to evaluate the candidate.
- Chairperson's personal recommendation and a summary evaluation of teaching, research/creative activities, and service.
- Departmental recommendation (report of exact votes or separate memos from colleagues).  
Departmental evaluation of teaching, research or creative activities, and service (including exact votes).
- Candidate's CV
- Candidate's own statement on teaching, research or creative activities, and service.
- A minimum of six outside evaluations to be secured by Dean or Chairperson.
- Copy of list of referees supplied by candidate.
- Copy of list of referees supplied by chairperson or Department/School committee.
- Copy of referees selected to write and those who did not respond.

### Teaching:

- Courses taught each semester, number enrolled. Number of Ph.D./M.A. committees chaired or served on.
- Titles (and abstracts where relevant) of any dissertations directed.
- Copies of any textbooks written.
- Evidence of any curricula development.
- Evidence of quality of teaching.
- Evaluation by students (e.g., summaries of student course evaluations).
- Summary of student evaluation forms and transcription of comments from forms.
- Write-ups of student interviews done by unit.
- Letters from former students (solicited by and written to someone other than the candidate).
- Evaluation by colleagues, preferably first-hand (e.g., team teaching, symposia, visitation by colleagues).

### Performance (Librarians Only):

- Position descriptions arranged in chronological order.
- Summary of performance accomplishments.
- Supporting documents for performance.

### Research:

- Summary of professional development, research and/or creativity accomplishments (librarians only).
- Evidence of impact of research/creative activity, such as citation analysis.

- Departmental evaluation of stature of (1) journals in which publications appear or (2) museums/venues in which showings have been presented, performances (which may include “journal impact” measures).
- Departmental assessment of the contribution made by candidate to co-authored or collaborative work.
- Copies of professionally relevant publications  
and/or
- Copies of creative work, reviews of creative performances and exhibitions  
and/or
- Copies of research papers and development projects.
- Documentation of grants obtained and applied for.

Service:

- Summary of activities (Departmental or other University service; local, state, or national service; professional or other).
- Evaluation by chairperson of the quality as well as the quantity of service.
- Evaluation by professional colleagues (or other knowledgeable individuals) of the quality and impact of the service activities.

Area of Secondary Emphasis (Librarians Only):

- Professional Development
- Service
- Balanced Case

I have signed this checklist in the presence of the candidate, and copies have been given to the candidate and placed in the dossier.

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(Signature of dean or unit head)

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(Date)

## Librarians Promotion and Tenure Committee - Organization and Procedures

*Revised: July 1997; February 1999; February 2002; August 2006*

### 1. NAME

The name of this committee is the Indiana University Librarians Promotion and Tenure Committee.

### 2. RESPONSIBILITIES

The primary responsibility of the committee is to review each dossier submitted to it through the appointment, promotion and tenure processes. Bloomington-based members of the committee make recommendations regarding rank and tenure of candidates being interviewed for tenure-track positions in the Indiana University Libraries, Bloomington.

Committee members do not serve as emissaries of their departments, or schools, though they provide valuable information about and contribute to the understanding of their areas. They are chosen for professional excellence, independence of judgment, and non-parochial outlook.

### 3. MEMBERSHIP

a. The committee is appointed by the Ruth Lilly Dean of University Libraries and approved by the Vice Chancellor, Dean of Faculties. It is composed of nine tenured, voting librarians and may include one or more non-voting members of other faculties. The Libraries Director of Human Resources serves as administrative support for the committee.

b. The committee may recommend the replacement of a voting member who is, or expects to be, absent from two or more consecutive scheduled meetings of the committee.

### 4. TERM OF APPOINTMENT

Voting members of the committee serve for a two-year term, and may not succeed themselves. Selection of the committee will begin no later than June 1 each year, for appointments to begin on July 1.

### 5. STRUCTURE

a. The voting membership of the committee is proportional to the number of tenure track positions throughout the University, with a total committee membership of nine. The distribution is determined annually, prior to the appointment of new committee members, by the Libraries Director of Human Resources. Figures are based on the number of tenure-track positions in each of the three groups of librarians: IU Bloomington, IUPUI campus (Indianapolis), and the six regional (smaller) campuses. At no time shall any group have fewer than two representatives, regardless of the number of tenure-track positions in that group.

b. The voting membership is proportionally distributed by rank as follows: two librarians, four associate librarians, and three additional librarians of any rank.

c. Directors and Associate Deans in Bloomington and the Directors of the other campus libraries are excluded from serving on the committee.

## 6. OFFICERS

a. The officers are a Chairperson, Vice Chairperson (Chairperson-elect) and a Secretary.

b. Annually, at its first meeting after July 1, the committee elects a Vice Chairperson and a Secretary. The Vice Chairperson will succeed to Chairperson on July 1, following election. The Vice Chairperson and Chairperson-elect should be rotated among representatives from the various campuses.

c. It is the duty of the Chairperson to call and preside at meetings of the committee. It is the duty of the Vice Chairperson to perform these duties in the absence of the Chairperson. The Vice Chairperson also serves as parliamentarian for the committee.

d. It is the duty of the Secretary to record the minutes of the committee and to perform such other duties as designated by the Chairperson.

## 7. COMMITTEE MEETINGS

Rank and tenure deliberations and voting by the committee are open only to committee members.

## 8. COMMITTEE PROCEDURES

a. Parliamentary authority is Robert's Rules of Order (latest edition), except as otherwise specified.

b. Six voting members constitute a quorum.

c. All voting members, including the Chairperson, vote on recommendations related to rank. Decisions on recommendations for rank require the concurrence of a majority of the voting membership, i.e., five members. Any recommendations may be reconsidered at the request of any member before the close of the voting sessions.

d. All voting, tenured members, including the Chairperson, vote on tenure recommendations. Decisions on recommendations for tenure status require the concurrence of a majority of the voting membership, i.e. five members. Any recommendations may be reconsidered at the request of any member before the close of the voting sessions.

e. Members of the committee will excuse themselves from deliberations and voting on individual cases, if, in their judgment or the judgment of the committee, they cannot render an impartial judgment.

f. The committee examines and reviews only the dossier of each librarian under consideration which contains all recommendations and relevant materials to be considered by the committee. The committee appraises each dossier relative to the approved criteria and prepares a detailed statement justifying its recommendations. The committee chairperson records the committee vote on the appropriate forms for each dossier and signs both the forms and the recommendation statements. The Libraries Director of Human Resources serves as the contact between the committee and the candidate



and may be asked to request from the candidate additional information, clarifications, etc.

g. Following the appointment of the committee, the chairperson will furnish the faculty with a calendar including the deadlines for dossier materials. The committee may make exceptions for the inclusion of materials that are unavailable to the candidate by the announced deadline, such as important letters of recommendation or publications.

h. When a negative committee recommendation may affect continued appointment at the IU Libraries, the Ruth Lilly Dean of University Libraries will, within five working days after the committee completes its deliberations, give written notification with useful feedback and offer the opportunity for the candidate to submit additional material. The candidate must respond within five working days from receipt of notification to the Ruth Lilly Dean of University Libraries' Office. The promotion and tenure committee will reconvene to reconsider the dossier.

When a negative committee recommendation is made on a promotion and/or early tenure case, the committee will, within five working days after the committee completes its deliberations, give written notification with useful feedback. At this point the candidate may (1) withdraw the dossier from the process, (2) add material to the dossier, or (3) allow the dossier to proceed through the process. If the candidate elects option 2, the additional material should be submitted within five working days from receipt of notification to the Libraries Human Resources Office (Herman B Wells Library, Bloomington). The promotion and tenure committee will reconvene to reconsider the dossier.

i. The committee members treat as confidential all information acquired during consideration of an individual's rank and/or tenure status.

## Dossier Routing – Bloomington System Libraries

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Supervisor

Department Head

Chair, Indiana University Librarians  
Promotion and Tenure Committee

Ruth Lilly Dean of  
University Libraries

Vice Provost for Faculty and Academic Affairs,  
IU-Bloomington

Office of the Provost

Office of the President

Board of Trustees

## Dossier Routing – Bloomington Extra System Libraries

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Supervisor

Library Director

Chair, Indiana University Librarians  
Promotion and Tenure Committee

Ruth Lilly Dean of  
University Libraries

Dean, Director, or Chairperson  
(School/Department)

Vice Provost for Faculty and Academic Affairs,  
IU-Bloomington

Office of the Provost

Office of the President

Board of Trustees

## Dossier Routing – IUPUI University Libraries

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Primary Peer Review Committee

Team Leader

Chair, IUPUI Librarians Promotion  
and Tenure Committee

Dean of University  
Library, IUPUI

IUPUI Promotion and Tenure Committee

Dean of Faculties, IUPUI

Vice President/Chancellor, IUPUI

Office of the President

Board of Trustees

## Dossier Routing – IUPUI Schools of Dentistry, Law, Medicine

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Primary Peer Review Committee

Library Director

Chair, IUPUI Librarians  
Promotion and Tenure Committee

Dean of the  
Professional School

IUPUI Promotion  
and Tenure Committee

Dean of Faculties, IUPUI

Vice President/Chancellor, IUPUI

Office of the President

Board of Trustees

## **Dossier Routing – East, Kokomo, Northwest, South Bend, Southeast**

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Supervisor

Library Director/Dean

Chair, Indiana University Librarians  
Promotion and Tenure Committee

Ruth Lilly Dean of  
University Libraries

Chair, Campus Promotion  
and Tenure Committee

Vice Chancellor of Academic Affairs

Campus Chancellor

Office of the Executive  
Vice President

Office of the President

Board of Trustees

## Dossier Routing - Fort Wayne

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Supervisor

Library Primary Promotion  
and Tenure Committee

Library Dean

Chair, Indiana University Librarians  
Promotion and Tenure Committee

Ruth Lilly Dean of  
University Libraries

Chair, Campus Promotion  
and Tenure Committee

Vice Chancellor of Academic Affairs

Campus Chancellor

Office of the Executive  
Vice President

Office of the President

Board of Trustees

## **Mid-Tenure Review for Librarians**

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*Approved by library faculty July 1992. Revised May 1995; February 2002; February 2005*

During the fall of each year, the Promotion and Tenure Committee will review the progress toward tenure of librarians who have three years toward tenure as of the end of the previous fiscal year, i.e., June 30. In the case of Assistant Librarians, the committee will also review progress toward promotion to associate rank. The purpose of this review is to provide guidance to librarians as they progress toward tenure and promotion; therefore the review is optional rather than mandatory. If a librarian who is due for a mid-tenure review has chosen to go up for tenure and/or promotion that year, the process will replace the mid-tenure review.

Documentation for the mid-tenure review will include a brief summary statement of professional experience, the supervisor's statement, a detailed vita, position description(s) as appropriate, a brief summary of pre-IU professional activities (optional), the Mid-Tenure Review Form and Checklist. In addition, the committee will consult all previous annual reviews for each librarian whose campus requires the use of annual reviews in the promotion and tenure process. Other librarians may elect to submit annual reviews to the committee. All librarians submitting annual reviews should provide a brief summary for the review year of activities in professional development and service.

The summary statement is the librarian's opportunity to communicate directly to the Promotion and Tenure Committee. It should be a succinct statement of the candidate's professional experience, calling attention to accomplishment in all three areas: performance, professional development, and service. This statement is critically important if the librarian chooses not to submit annual reviews for the committee's consideration.

The librarian's permission is required for annual reviews on file in the Libraries Human Resources Office (Herman B Wells Library, Bloomington) to be made available to the committee. The librarian may choose whether or not to include the supervisor's evaluation portion of the annual reviews. The Libraries Human Resources Office (Herman B Wells Library, Bloomington) will send the librarian a Mid-Tenure Review Form on which to record permission concerning the annual reviews. The form also provides the opportunity to record the supervisor's name and for Assistant Librarians to declare a secondary area of emphasis.

At the conclusion of the review, the committee will notify the librarian and the immediate supervisor in writing that the review has been completed and inform them of the committee's comments. The supervisor then discusses with the librarian the content of the written evaluation and, if needed, plans for any future accomplishments. Although the supervisor may retain the committee's comments, the supervisor will not refer to them in future oral or written reviews.

A copy of the committee's written review will be retained by the Libraries Human Resources Office (Herman B Wells Library, Bloomington) but will not be used in any future review for promotion and/or tenure.



## Mid-Tenure Review Form

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*Revised August 1998; February 2005*

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

Supervisor's Name: \_\_\_\_\_

(A copy of the mid-tenure review will be sent to you and the supervisor listed above.)

Please complete and sign one of the following three statements:

I grant permission for the Indiana University Librarians Promotion and Tenure Committee to have access to my complete annual reviews/reports, including the supervisor's evaluation portions, which are on file in the Libraries Human Resources Office (Herman B Wells Library, Bloomington).

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

OR

I grant permission for the Indiana University Librarians Promotion and Tenure Committee to have access to my complete annual reviews/reports, excluding the supervisor's evaluation portions, which are on file in the Libraries Human Resources Office (Herman B Wells Library, Bloomington).

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

OR

My campus does not require the inclusion of annual reviews/reports in the Mid-Tenure or Tenure process, so these are not included.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

For Assistant Librarians: please identify your anticipated secondary area of focus for promotion to associate rank (mark one):

Professional Development

Service

Balanced Case (Professional Development and Service)

Please attach to this completed form the materials requested on the Mid-Tenure Review Checklist and return by [Insert appropriate date yearly]

Send all materials to:

Betty Davis  
Libraries Human Resources Office  
Herman B Wells Library 201A  
Indiana University  
Bloomington, IN 47405

## Mid-Tenure Review Checklist

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February 2005

\_\_\_ Mid-Tenure Review Form

- Identify supervisor
- Grant permission for annual reviews to be made available to the Promotion and Tenure Committee or indicate that you are not including them in your documentation
- Identify anticipated secondary area of focus for promotion to associate rank

\_\_\_ Summary statement

\_\_\_ Supervisor's statement

\_\_\_ Vita (a detailed vita, similar to that of a curriculum vita)

\_\_\_ Position descriptions as appropriate

\_\_\_ Pre-IU professional activities, brief summary (if applicable)

\_\_\_ If annual reviews are included, a brief summary for current year (January-August) activities in:

- Professional Development
- Service

## Librarian's Annual Review Form: Preparation Guidelines

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### POSITION DESCRIPTIONS

The annual review is based upon the position description used for the calendar year under review. A copy of the position description is attached to the report preceding the "Performance" section.

Changes to position requirements made during the year, e.g., additional responsibilities, should be clearly indicated in the librarian's review. Changes should be agreed upon by the librarian and the evaluator before the annual review is prepared. The librarian's and evaluator's signature on the annual review confirms that such changes have been accepted by both individuals. If there is more than one position description for a given year, include copies of both.

The position description is tailored to the person in the position as well as to the needs of the position. Annual revision of the description may occur as the career of the librarian develops or as the library environment changes. Or, the position description may be written with sufficient flexibility that annual changes are unnecessary.

### PERFORMANCE

#### I. Librarian

The annual review of performance summarizes the librarian's major activities for that year, including routine and special projects. This review should not be written as an annual report for the librarian's department but instead should focus on an explanation of specific contributions which the individual has made regarding areas such as cataloging, collection development, personnel training, and reference, among others.

This section should be written in a narrative or essay style. Separate paragraphs should be devoted to each topic covered, e.g., bibliographic instruction, reference, fund management, special projects, and so forth. In addition to listing an activity, an explanation should be provided regarding the significance of the activity, and the degree to which the librarian developed and/or implemented the activity.

This section may also include goals and objectives for the current and/or the forthcoming year. Such statements may then contribute to an ongoing process of assessing how the librarian achieves objectives from one year to the next. Changing goals and objectives may also be related to revisions in the position description.

For some positions, attendance at specific meetings and workshops is part of performance and should be included in this section

All teaching or instruction conducted by the librarian which is included in the position description should be included under "Performance." Other teaching activities not included in the position description

which may be performed for departments or agencies outside the library should be included in section 3 under "Service."

#### Documentation of Performance

Documentation of performance should represent the activities reported. The documents may be limited to brief summaries of projects, evaluations by library users and/or colleagues, and other materials.

Multi-page documents such as library handbooks or procedural/training manuals prepared by the librarian should not be included in their entirety. The following types of information may be included: several sample pages of a handbook or manual; tables of contents; introductory sections about the scope of the handbook or manual; number of pages; and an outline of headings (if there is no table of contents). If a library guide or manual has been rewritten several times during the course of a given year, include selected pages only from the most recent document.

It is not necessary to include examples of routine activities such as correspondence and statistical reports. The evaluator may also ask to examine additional examples of projects which should be returned to the librarian. (For further guidance, see the annual review worksheet.)

All supporting documentation should be removed from the annual review before it is submitted to the Libraries Human Resources Office (Herman B Wells Library, Bloomington) to be filed in the librarian's personnel file.

#### I.A. Evaluator

The evaluator should explain the significance of the librarian's activities described in section I. For example, how does each activity contribute to the operations of a department or of a library unit? What is the significance of special projects? What were the benefits to be derived from a new or innovative procedure developed and/or implemented by the librarian? This section should be written in a narrative style and should not be solely a repetition of activities listed by the librarian in section I.

Comments suggesting areas of improvement should be clearly stated with specific recommendations for change and/or improvement provided when possible. Such statements should be followed up by both the librarian and the evaluator in the next review with an explanation of how these areas of concern have been addressed.

#### I.B. Librarian

The librarian should use this section to respond to any areas of concern raised by the evaluator in section I.A. In addition, the librarian may want to express agreement or disagreement with the evaluator's comments.

### PROFESSIONAL DEVELOPMENT

#### II. Librarian

Section II of the report summarizes the librarian's efforts to expand individual professional knowledge by conducting research, developing creative projects, pursuing advanced degrees and/or participating in continuing education activities.

Activities in this section may be listed rather than presented in the narrative form of section I. Various types of activities should be divided into broad categories with appropriate headings, e.g., continuing education, professional memberships, conference attendance, workshop attendance, papers presented, publications, and so forth. Under each category should be listed the specific activity or membership, e.g., course titles and an explanation of content if not implicit in the title, memberships with an indication of whether a continuing or new membership.

In addition, where appropriate, there should be an explanation of an activity such as workshop attendance, e.g., outline of workshop topics, brief summary of new or innovative information acquired. If a copy of a paper published in a specialized journal is included, an explanation of the significance of the periodical will be helpful to those outside the area of specialization, e.g., members of promotion and tenure committees. For works of joint authorship, the extent of each individual's contribution should be clearly stated.

All abbreviations and acronyms should be adequately explained. The librarian should keep in mind that the annual review will become part of the promotion and/or tenure dossier and that not all individuals who review the report will be familiar with the types of activity or with the professional association listed.

#### Documentation of Professional Development

Documentation for this section may be limited to any of the following: an outline of a paper presented or conference lecture; summary of a program planned for a conference; a summary of a project or research undertaken; selected sample pages from a bibliography; and copies of publications. It is not necessary to include programs of conferences which were attended only.

If a paper presentation or panel participation is cited in a conference program, it is not necessary to include a copy of the entire program--only include a copy of the page with your name. If a program or session has been chaired or planned and this level of responsibility is not clearly noted on the appropriate page of the program, this information should be provided either within this section of the annual review or by an explanation attached to the program page.

At the top of all program pages included, type the name of the conference and the date. In addition, the name of the relevant session title should be underlined for efficient reference by individuals reading the annual review.

Copies of publications should be included. Photocopies are also acceptable. If the journal citation does not appear on the photocopy, type it on the top of the first page. It is not necessary to include a copy of the entire journal.

The exact status of each publication should be noted if the status is ambiguous. For example, articles which have been officially accepted by an editor or publisher should be identified as "in press." Articles which have been submitted for editorial review, but which have not been accepted or which have been accepted subject to revision should be identified as "submitted" or "under editorial review." Work in

progress should be so labeled. Normally, work in progress will be of little relevance in the promotion process, but may be relevant to the tenure decision.

The evaluator may ask to see additional examples of documentation which should be returned to the librarian. For further guidance, see the "Annual Review Worksheet," "Criteria for Librarians Promotions" and "Instructions for Dossier Preparation."

As noted under the section on "Performance," all supporting documentation should be removed from the annual review before it is submitted to the Libraries Director of Human Resources.

## II. A. Evaluator

For this section of the annual review, the evaluator should explain the significance of the activities described by the librarian. The evaluator should try to be as specific as possible in describing how activities relate to the librarian's career development. For example, are appropriate professional membership(s) listed? Has the librarian adequately described meetings or workshops attended? Did meeting or workshop attendance enhance the librarian's professional skills? What was the significance of conference participation such as the presentation of papers? Does the librarian's report show continued improvement?

Statements or comments suggesting areas of improvement should be clearly stated with specific recommendations for change addressed. Such statements should be followed up by both the librarian and the evaluator in the next review with an explanation of how these areas of concern have been addressed.

## II. B. Librarian

See explanation under I. B.

## SERVICE

### III. Librarian

Service to the libraries, the university, the library profession, the community, and other organizations is reported in this section. Activities may be listed rather than presented in narrative form. Different types of service contributions should be identified by broad categories, e.g., professional associations, library committees, university committees. Under each category should be listed the specific activity, e.g., offices held, memberships on sub-committees, and so forth.

The extent of participation in service activities should be fully explained. For example, in addition to listing committee memberships, the librarian should explain what the committee did, the importance of the committee's work, and the librarian's specific contribution to the committee's work. If the librarian was an officer in a professional association, the accomplishments achieved should be cited. All abbreviations and acronyms should be adequately explained. The librarian should keep in mind that the annual review will become part of the promotion and/or tenure dossier and that not all individuals who review the report will be familiar with the various types of service activities or with the organizations listed.

## Documentation of Service

Documentation may be limited to descriptive summaries of committee work and the librarian's role in that work, to outlines of presentations or panel participation, to letters of acknowledgment, and to other appropriate material. If committee service or participation is cited in a conference or workshop program, it is not necessary to include the entire program. Only include the relevant page underlining the name of the committee or other appropriate information. At the top of the page, type the name of the conference or workshop and the date.

The evaluator may ask to examine additional examples of service activities which should be returned to the librarian. For further guidance, see the "Annual Review Worksheet", "Criteria for Librarians Promotions", and "Instructions for Dossier Preparation."

As noted in the preceding sections, all supporting documentation should be removed from the annual review before it is submitted to the Libraries Human Resources Office (Herman B Wells Library, Bloomington).

### III. A. Evaluator

The evaluator should explain the significance of the service activities described in section III. The evaluator should try to be as specific as possible in explaining how a particular service activity contributed to the work of the committee, to the library, or to a professional organization. Whether or not the librarian's service contributions show continued improvement should also be addressed by the evaluator. This section should be written in a narrative style and should not solely be a repetition of service activities listed by the librarian.

Comments suggesting areas of improvement should be clearly stated with specific recommendations for change and/or improvement provided when possible. Such statement should be followed up by both the librarian and the evaluator in the next review with an explanation of how these areas of concern have been addressed.

### III. B. Librarian

See section I. B.

## ROUTING PROCEDURES

When the librarian has completed the report, it is submitted to the evaluator who adds a written evaluation for each section. The evaluator then returns the report to the librarian. For I.U.P.U.I. University Libraries, there are two stages for evaluator review: (1) the Primary Peer Review Committee; and (2) the immediate supervisor.

The librarian has not less than one week or more than two weeks to consider the evaluator's comments and to respond by completing the appropriate sections.

The librarian and the evaluator confer and sign the document. At this time, two copies are made of the report. The librarian keeps one copy and the original and second copy are given to the evaluator. The original is forwarded along administrative lines to the appropriate reviewing officer for consideration



and signature. The report is reviewed by the Ruth Lilly Dean of University Libraries and is retained in the librarian's personnel file.

## Annual Review Worksheet

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*Approved by the library faculty April 1989*

For an explanation of items on the worksheet, see the “Annual Review Form: Preparation Guidelines”. Required items are so marked. Supporting documents should conform to the outline order and format described. **The librarian shall provide relevant documentation if requested, as stipulated in the Academic Handbook.** The worksheet is intended as a guide for librarian’s preparation for the annual review. Do not submit this form with the annual review.

- \_\_\_ Library Faculty Position description (Required)
  
- \_\_\_ Annual Review Form
- \_\_\_ I. Performance (Required)
  - \_\_\_ I.A. Evaluators comments (Required)
  - \_\_\_ Primary Peer Review Committee comments (Required for IUPUI University Libraries)
  - \_\_\_ I.B. Librarian’s comments (Optional)
  
- \_\_\_ II. Professional development (Required)
  - \_\_\_ II.A. Evaluator’s comments (Required)
  - \_\_\_ Primary Peer Review Committee comments (Required for IUPUI University Libraries)
  - \_\_\_ II.B. Librarian’s comments (Optional)
  
- \_\_\_ III. Service (Required)
  - \_\_\_ III.A. Evaluator’s comments (Required)
  - \_\_\_ Primary Peer Review Committee comments (Required for IUPUI University Libraries)
  - \_\_\_ III.B. Librarian’s comments (Optional)
- \_\_\_ Tenure progress (Required)
- \_\_\_ Signatures (Required)

Supporting Documents (The following are examples of the types of documentation which may be included in the annual review.)

### I. Performance

- \_\_\_ Documentation of innovative procedures
- \_\_\_ Publications relative to performance, e.g., library guides
- \_\_\_ Sample pages from handbooks, manuals, etc.
- \_\_\_ Documentation of teaching if teaching is part of the position description
- \_\_\_ Evaluations by library users
- \_\_\_ Evaluations by library colleagues
- \_\_\_ Other evidence of the quality of performance

## II. Professional development

- Evidence of post-MLS education
- Copies of conference papers or lectures
- Documentation of panel participation at conferences
- Copies of research and/or creative publications
- Summary of fellowships, grants, awards, and/or other special honors
- Other evidence of service

## III. Service

- Copies of conference and/or workshop program (include only pages of direct relevance)
- Documentation of teaching activities performed for departments or agencies outside the library
- Summary of professional consulting projects (include reports or brief descriptions)
- Other evidence of service

## General supporting documents (Optional)

- Material not included in I.-III.

## Library Faculty Position Description Form

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Name:

Years covered:

Position Title:

If other than full time, please indicate:

Campus:

Library / Branch / Department:

Immediate Supervisor(s):

Department Head:

### I. Primary responsibilities

Please list here, in tabular form, those duties which you regularly or occasionally perform on which the majority of your time is spent. The duties should be directly connected with the title of your position and the function of your department. If these duties include any significant one-time projects, please specify.

II. Secondary responsibilities

Please list here, in tabular form, those duties which you regularly or occasionally perform but which do not require the majority of your time. These duties should include regularly scheduled departmental or administrative meetings, but should not include committee appointments unless service is ex-officio.

### III. Qualifications

Please list here any special qualifications for the completion of your primary responsibilities. If previous library experience is essential, please indicate its length and nature. Other qualifications might include language skills, advanced degrees in non-library areas, non-library experience, etc. If such qualifications would be merely helpful rather than essential, please do indicate.

## **Library Faculty Annual Review Form**

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Rank: \_\_\_\_\_

\_\_\_\_\_  
Librarian's name

Dossier for tenure due: \_\_\_\_\_

Check here if tenured: \_\_\_\_\_

\_\_\_\_\_  
Year covered by review

\_\_\_\_\_  
Evaluator's name

Directions for completing the Annual Review are located in the [Library Faculty Handbook](#) under: Indiana University Libraries' Annual Review Form: Preparation Guidelines.

### I. Performance

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Librarian's name                      Year

---

Evaluator's name

I.A. Evaluator's Comments (Required)

I.B. Librarian's Comments (Optional)



---

Librarian's name

Year

---

Evaluator's name

## II. Professional Development

---

Librarian's name

Year

---

Evaluator's name

II.A. Evaluator's Comments (Required)

II.B. Librarian's Comments (Optional)

---

Librarian's name

Year

---

Evaluator's name

### III. Service

---

Librarian's name

Year

---

Evaluator's name

III.A. Evaluator's Comments (Required)

III.B. Librarian's Comments (Optional)



## **Librarians' Sabbatical Leave Program Guidelines**

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*Approved Effective January 1987*

The Indiana University Library Faculty Council shall establish an Indiana University Librarians' Sabbatical Leave Committee to consider sabbatical leave proposals of librarians and to make recommendations on sabbatical leaves to the Ruth Lilly Dean of University Libraries. The Committee shall be constituted of four members in the following manner: three of these members from Bloomington and one member from the Regional Campuses, and if possible, one with rank of Librarian, two with rank of Associate Librarian, and one with rank of Assistant Librarian. The term of service of any one member should be limited to three years and appointments should be staggered so that no more than two members should come to the end of their term in any one given year. Each year the Indiana University Librarians Sabbatical Leave Committee will elect one member of the Committee, with two or more years to serve, as vice-chairperson and the member will assume the duties of chairperson the following year. Recommendations for appointment to the Committee shall be made by the Council to the Ruth Lilly Dean of University Libraries. The Libraries Director of Human Resources shall serve as administrative support for the committee.

### **POLICIES**

A sabbatical leave is "an investment by the University in the expectation that the sabbatical leave will significantly enhance the faculty member's capacity to contribute to the objectives of the University. For this reason, sabbatical leave applications are approved only if there is adequate reason to believe that they will achieve this purpose". (Academic Handbook, 1985, p.58)

Librarians have the right to apply for sabbatical leaves through the sabbatical leave committees of the local campuses. Each librarian should, therefore, consult her/his campus handbook for specific local policy.

The following information, description and directions are oriented in their detail substantially to Bloomington-based librarians, but this document is also intended to provide a guideline and framework for Regional Campus Librarians who, of course, were included in the Board of Trustees' action. Campus-specific policy and conditions must prevail; however, a proposal for sabbatical leave may receive a hearing and recommendation from the Indiana University Librarians Sabbatical Leave Committee and the Ruth Lilly Dean of University Libraries so that local committees and administrators can have the benefit of this peer judgment in arriving at a final decision. The committee may also recommend clarifications, enhancements, and/or revisions of the proposal prior to making a recommendation to the Ruth Lilly Dean of University Libraries.

### **ELIGIBILITY**

A librarian is eligible for one sabbatical leave during each period of seven years full-time service in rank (including time on sabbatical leave), the first to be taken following the completion of her/his first six years of full-time service as a librarian at Indiana University. For librarians, all creditable years of service in the Indiana University Libraries will be counted. In other words, a librarian who has worked 21 years

would be eligible for three sabbaticals. However, any two sabbatical leaves must be separated by at least four years. Leaves without pay do not count as part of the period by which eligibility for sabbatical leave is determined.

## **TERMS**

Sabbatical leave will be for one semester at full salary or for one year at half salary. To provide a leave arrangement comparable to that provided for faculty, a semester shall be computed as five months and a year as ten months. The librarian is expected to sign the following statement: "I have read the rules governing the sabbatical leaves of absence program in the Faculty Handbook. I agree not to accept any employment during the period of leave that has not been explained in this application. In the event I do not return for at least one year immediately following the sabbatical leave, I agree to reimburse Indiana University for any salary, retirement contributions, and insurance premiums paid during the Sabbatical Leave." (Indiana University Bloomington Campus Application for Sabbatical Leave. Information and Directions.)

## **SABBATICAL LEAVE PROPOSALS**

Acceptable sabbatical leave proposals include:

1. scholarly research,
2. pedagogical research,
3. creative work,
4. post-master's study (Second Master's degree or doctorate are legitimate programs. Such programs should normally be undertaken at another institution because librarians may take courses at Indiana University while employed full-time.),
5. other projects satisfactory to the responsible committee and deans.

In accordance with the criteria cited above, the application for sabbatical leave shall include a statement of:

1. purpose of proposed project,
2. rationale for proposed project,
3. procedure, method, or activity to be followed in the implementation of the project,
4. evidence that the relationship of the individual's background to the project makes probable the successful completion of the project,
5. verification of enrollment or candidacy for degree in cases of post master's or doctorate study.

Important concepts from Anya Peterson Royce, Dean of Faculties, in her September 15, 1986 memo to Prospective Applicants for Sabbatical Leave, Bloomington Campus:

"The Sabbatical Leaves Committee is charged with evaluating applications in light of the policy established by the Bloomington Faculty Council. To accomplish this, the committee judges each proposal in terms of intrinsic merit and potential contribution. Particular attention is paid to the following four points, which should be addressed in every application:

1. The purpose of the proposed project;

2. The rationale for the project;
3. The procedure, method, or activity to be followed in implementation of the project;
4. Evidence that the faculty member's background makes probable the successful completion of the project.

"The purpose of the proposed project - that is, its character, nature and aims - should be stated precisely and concisely. Vaguely worded proposals, suggesting that the goal of the proposal has not yet been clearly determined, run a high risk of rejection.

"The rationale should describe why the proposal is important and what contributions the project is expected to make to the University. These contributions should follow directly from the character of the proposal. For example, if scholarly research is proposed, it is reasonable to expect that publication will result.

"The statement of procedures, methods, or activities to be followed in order to accomplish the goals of the project should be concise and define the choice of location, travel plans, and facilities. These should be related clearly to the purpose and procedures of the project.

"Because the committee takes into consideration relevant prior work and training in its evaluation of the proposed project, it is important to list pertinent scholarly, academic, and creative accomplishment; to show the relationship between previous training and academic work and the proposed postdoctoral study; or to describe how the project is directed toward an advance in the faculty member's capacity to contribute to the objectives of the University.

"The committee makes little or no use of extensive supplementary materials such as grant proposals. In general, these kinds of materials should not be submitted with sabbatical leave applications."

#### **PROCEDURES FOR REQUESTING LEAVE**

Application forms may be obtained from the Libraries Human Resources Office (Herman B Wells Library, Bloomington). The application is to be submitted in duplicate (with accompanying letters or memos in duplicate) to the applicant's department or unit head, or the appropriate library administrator. If the applicant has had a sabbatical leave previously, a copy of the former report must be attached to this application. The applicant should also supply at least one letter supporting the significance of the proposed project. Questions about the interpretation of rules and about policy may be addressed to the Libraries Director of Human Resources who will seek the advice of the Dean of Faculties if necessary. The following routing of the application shall be observed:

1. The department or unit head or the appropriate library administrator shall be responsible for providing a written statement concerning specific evaluation of the project and scheduling adjustments in the unit. The department or unit head should apprise the applicant of the contents of that written statement.
2. Applications, with the department or unit head's comments, shall be forwarded to the Indiana University Librarians Sabbatical Leave Committee. The Committee shall be responsible for considering only the content and purpose of the proposal and not the timing or the department or unit head's comments. Based on its appraisal of the proposal, the Indiana University Librarians Sabbatical Leave Committee shall submit a written recommendation of



approval or denial of the proposal to the Ruth Lilly Dean of University Libraries. The Committee shall notify the applicant of the action taken.

3. The Ruth Lilly Dean of University Libraries shall consider the comments of the department or unit head and the recommendation of the Indiana University Librarians Sabbatical Leave Committee and either reject or endorse the application for routing to the local campus Dean of Faculties. The Libraries Director of Human Resources shall notify the applicant of the Ruth Lilly Dean of University Libraries' recommendation.
4. The office of the Dean of Faculties routes the application to the local campus Sabbatical Leave Committee which considers the merit of the proposal and makes final recommendations to the Dean of Faculties. The approved application then goes to the March meeting of the Board of Trustees for final action.

### **APPEAL**

Appeals based on issues relating to the within-library processing and/or recommendations(s) pertaining to one's sabbatical application may be referred to the Indiana University Librarians Faculty Review Board; but if a campus-specific sabbatical leave committee does not approve an application, the only appeal is to the local Dean of Faculties.

### **ROUTING OF THE PROPOSAL (IUB)**

1. August 16 - Notice of intention to apply for a sabbatical leave to department or unit head or appropriate library administrator and to the Libraries Human Resources Office (Herman B Wells Library, Bloomington)
2. September 6 - Application to department or unit head or appropriate library administrator (for transmittal to appropriate Associate Dean and to the Libraries Human Resources Office (Herman B Wells Library, Bloomington))
3. September 20 - Application to Indiana University Librarians Sabbatical Leave Committee (as transmitted by the Libraries Human Resources Office (Herman B Wells Library, Bloomington))
4. October 18 - Application to Ruth Lilly Dean of University Libraries
5. November 15- Application to Dean of Faculties, for determination of eligibility in terms of faculty service
6. Sabbatical Leave Committee
7. Dean of Faculties, for the Vice President
8. March meeting of Board of Trustees for final approval of applications

### **ROUTING OF THE PROPOSAL (Regional Campuses)**

- 1 August 16 - Notice of intention to apply for a sabbatical leave to department head and Director

of the Library

2. September 6 - Application to department head, Director, or Dean of Library. Director or Dean will forward application to Libraries Human Resources Office (Herman B Wells Library, Bloomington)
3. September 20 - Application to Indiana University Librarians Sabbatical Leave Committee (as transmitted by the Libraries Human Resources Office (Herman B Wells Library, Bloomington))
4. October 18 - Application to Ruth Lilly Dean of University Libraries
5. November 15 - Application forwarded to local campus Academic Vice-Chancellor who will present to Campus Sabbatical Leave Committee
6. Application forwarded to appropriate Campus Officer, then Campus Chancellor, then to President of IU, for transmission to Board of Trustees
7. March Meeting of Board of Trustees for final approval of applications

#### **REPORT**

If a sabbatical leave is approved by the Board of Trustees, the individual is required at the termination of the leave, and not later than three months after return, to submit a report to the Dean of Faculties and the Ruth Lilly Dean of University Libraries. Copies of the report form are available from the Libraries Human Resources Office (Herman B Wells Library, Bloomington). Sabbatical leave reports are read by the Dean of Faculties and used to evaluate future applications for sabbatical leave of persons who have had one or more such leaves.

-Refer also to the [Indiana University Academic Handbook](#), pages 53-55, "Sabbatical Leaves Program"



4. Plans for publications or other efforts to disseminate the results of your sabbatical leave:

(Please use additional pages to supplement this form if you require additional space.)

## Policies and Procedures for Access to Records

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At the October 11, 1983 meeting of the University Faculty Council, President Ryan announced our new policy governing access to academic employee records. The policy is a University policy and is to be implemented on November 1, 1983.

\* \* \* \* \*

Every academic employee shall have access to his or her personnel file. The file shall be made available upon request by the employee.

A. The Libraries Human Resources Office (Herman B Wells Library, Bloomington) maintains the following records which under this policy are accessible to the employee:

1. Personnel files for all librarians who are currently employed or who have been employed in the IU Libraries and for all support staff currently employed or who have been employed in the Bloomington Libraries (except for items as listed in B 1 & 2 below).
2. Appointment files for all those mentioned above. These consist of documentation related to the initial appointment as well as to subsequent permanent appointments. Appointments to positions such as "acting" are not included (except for items as listed in B 1 & 2 below).
3. Copies of dossiers for all librarians who have been candidates for promotion and/or tenure since 1976 (except for items as listed in B1 & 2 below).

B. The following items are not available to the employee:

1. Letters of evaluation solicited by the University under an explicit or implicit promise of confidentiality for purposes of recommendation on initial appointment, reappointment, promotion, or tenure, written prior to January 1, 1984.
2. Statements of evaluation in connection with appointment, reappointment, promotion or tenure decisions or reviews, which were written under an explicit or implicit promise of confidentiality by department or school administrators or faculty review committees before November 1, 1983.
3. Files on advertised positions (Search and Screen files).

Requests to access personnel files must be made in writing using the appropriate form which may be obtained from the Libraries Human Resources Office (Herman B Wells Library, Bloomington).

Requests should be submitted at least three (3) days in advance to the Libraries Human Resources Office (Herman B Wells Library, Bloomington). Requests for immediate access will be considered based on the ability of the office staff to handle such requests. Once the employee's identity is established, files must be looked at under the direct supervision of the Libraries Human Resources Office (Herman B Wells Library, Bloomington). The employee shall not be permitted to change, destroy, annotate, or remove items from the file. Such action would be considered tampering with public records or theft. Requests

for removal of items shall be referred to the Libraries Director of Human Resources.

The Libraries Human Resources Office (Herman B Wells Library, Bloomington) staff will carefully check the files to insure that no restricted items remain available. Restricted items should be temporarily removed and replaced after the file has been seen by the employee.

Request forms will be retained as a permanent record.

-Refer also to the Indiana University Academic Handbook, pages 58-59, "Policy Governing Access to and Maintenance of Academic Employee Records."

## Form for Requesting Access to Personnel Records

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TO: Libraries Human Resources Office  
Herman B Wells Library 201A  
IU-Bloomington

Name \_\_\_\_\_

Library Address \_\_\_\_\_

Date of Request \_\_\_\_\_

Records Requested

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

-

\_\_\_\_\_  
Signature

These records will be available to you in the Libraries Human Resources Office (Herman B Wells Library, Bloomington) on \_\_\_\_\_

If this day is not convenient, please notify us immediately.

I have seen the records I requested:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## **Policies Governing Appointment, Reappointment, and Non-Reappointment of Librarians**

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*Approved by library faculty May 1976*

### I. Notice of Terms of Initial Appointment

- A. Before a librarian is appointed to a library rank in the University, the initial salary, rank, years as a librarian elsewhere creditable toward tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the librarian.
- B. The librarian shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the Academic Handbook and library documents.
- C. The librarian shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure, are agreed to.

### II. Credit Toward Tenure

Credit toward tenure for previous experience shall normally not exceed three years; however, in exceptional cases, tenure may be conferred at the time of initial appointment.\* Experience in a professional position without the Master's degree or its equivalent shall not normally be credited toward tenure.

#### A. Experience in other academic and/or research libraries

Service in a professional library position in other academic and/or research institutions may be credited toward tenure.

#### B. Experience in other libraries

Under ordinary circumstances, credit toward tenure may be given only for previous experience which is directly relevant to anticipated responsibilities at Indiana University. In case of doubt, a job description of the previous position(s) should be requested. Credit toward tenure for experience in other libraries may be granted on a year to year ratio after such experience has been evaluated.

#### C. Non-Library experience

If an individual holds a graduate degree in other professional or scholarly fields, relevant non-library experience may be credited toward tenure.



\*It should be explained to applicants that acceptance of the maximum of three years credit at the time of appointment may not work in her/his favor since review for tenure will begin in approximately two years. This may not be adequate time to prepare for review.

### III. Probationary Period

An individual appointed as a librarian for full-time service shall have library tenure after a probationary period of not more than seven years. Under administrative policies and practices at Indiana University, when a written agreement reduces a librarian's probationary period to less than seven years, this agreement is binding on both parties. The length of the probationary period resulting from any such reduction cannot at a later date be extended to suit the convenience of a librarian or his/her library unit. Since the acquisition of tenure represents a major change in a librarian's status, the librarian to whom tenure is being granted shall be so informed in writing.

Librarians are appointed on a fiscal year basis. When a probationary period expires during a fiscal year, the probationary period will be extended to the end of the year.

### IV. Annual Review

- A. All librarians, with the exception of full-rank librarians, shall receive a written annual review of professional performance. There will be an oral annual review for full rank librarians. A written annual review will be prepared at the request of the librarian or the supervisor.
- B. The librarian shall cooperate with the principal administrative officer to insure that the file on which such a review is based contains all relevant materials. Each annual review shall be kept in the file, and a copy given to the librarian.

### V. Notice Requirements

- A. Before any decision is made within a library unit about whether to recommend reappointment or the award of tenure, the librarian shall be notified that she/he is under such consideration and that within a specified and reasonable period of time the librarian may submit materials which she/he believes will be relevant to a consideration of her/his professional qualifications.
- B. The librarian shall be notified as soon as possible of any decision by a library unit not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint her/him.
- C. At the time that a librarian is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a copy of the Indiana University Librarians Review Board procedures to insure that he/she is fully informed of his/her rights.

### VI. Notice of Non-Reappointment

For full-time librarians, notice of non-reappointment shall be given in writing in accordance with the following standards:

- A. Not later than February 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
- B. No later than November 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
- C. At least twelve months before the expiration of an appointment after two or more years in the institution.

VII. Review of Decision of Non-Reappointment of Librarian

- A.
  1. Upon receiving notice of a negative recommendation or decision on reappointment or tenure, the first recourse of the librarian shall be to request an oral explanation from her/his principal administrative officer.
  2. Upon written request, submitted within thirty days of notification of non-reappointment, to the principal administrative officer, that officer shall provide the librarian within thirty days a written statement of the reasons for non-reappointment. The statement of reasons should reflect careful consideration of the qualifications of the librarian in terms of the professional standards and the needs of her/his department, or division, and the University Libraries.
  3. The librarian who believes that a recommendation or a decision that she/he not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.
- B.
  1. If the librarian is dissatisfied with the result of a request for reconsideration, she/he may petition the Librarians Review Board for a review of the procedures employed in the decision not to recommend reappointment. The petition must be initiated within thirty days following the receipt of the librarian of the written statement of the reasons for non-reappointment.
  2. Before undertaking a review, the Indiana University Librarians Review Board may seek to bring about a settlement of the issue satisfactory to both parties. The Indiana University Librarians Review Board shall provide copies of its report and recommendations within thirty days of reaching its decision to the librarian, the principal administrative officer of the library unit in which the librarian holds an appointment, the Ruth Lilly Dean of University Libraries, the campus Chancellor, and other appropriate administrative officers.
  3. Upon finding by the Indiana University Librarians Review Board (accepted by the Ruth Lilly Dean of University Libraries) that the librarian did not enjoy full benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary to avoid prejudicing the rights of the librarian, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the librarian.

Recourse by a librarian to the various rights of appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.

In light of the legitimate educational interests of students, faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected librarian to observe promptly and fully the above procedures.

#### VIII. Dismissal

Dismissal shall mean the involuntary termination of a tenured librarian's appointment prior to retirement or resignation or the termination of the appointment of a non-tenured librarian prior to the expiration of his term of appointment. Dismissal is thus to be distinguished from the non-reappointment of a probationary librarian. Dismissal shall occur only for a reason of (a) incompetence, (b) serious personal or professional misconduct, or (c) extraordinary financial exigencies of the University. No librarian shall be dismissed unless reasonable efforts have been made in private conferences between the librarian and the appropriate administrative officers to resolve questions of fitness or of the specified financial exigency. If no resolution is attained, the librarian to be dismissed shall be notified of dismissal in writing by the appropriate University administrative offices one year before the date the dismissal is to become effective, except that a librarian deemed guilty of serious personal misconduct may be dismissed upon shorter notice but not in less than ten days' notice. Upon receipt of the dismissal notification, a librarian must be accorded the opportunity for a hearing. A librarian shall be suspended during the pendency of dismissal proceedings only if immediate harm to herself/himself or others is threatened by continuance. Any such suspension shall be with pay.

-Refer also to the Indiana University Academic Handbook, pages 22-24.

## **Indiana University Libraries Mentor Program**

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*Approved by IULFC May 1978; Revised January 1994; November 2005*

### **GOAL**

The goal of the Mentor Program is to provide tenure track librarians in the Indiana University Libraries system with a mentor. One role of the mentor is to assist the librarian in understanding the requirements of promotion and tenure at Indiana University. The Mentor Program is not designed to take the place of the supervisor's mentoring role. The objective of the Mentor Program is to supply the librarian with an additional source of information and guidance in the area of professional development, research, creativity, and/or service and to provide the librarian with assistance in the preparation of annual reviews and/or dossiers. The librarian's primary source of guidance in the area of performance must continue to be the supervisor.

### **ROLE OF THE MENTOR**

The mentor should:

1. be generally available to the librarian to whom he/she has been assigned
2. maintain regular contact with the librarian to whom he/she has been assigned
3. maintain current knowledge of the promotion and tenure process

The mentor may:

1. give advice and guidance in the areas of professional development, research, creativity, and/or service
2. give advice and guidance in the preparation of the annual review and/or the promotion and tenure dossier

### **RESPONSIBILITY OF THE LIBRARIAN**

The implementation of the Mentor Program does not remove from the librarian the responsibility for meeting the criteria for promotion and tenure at Indiana University. The librarian must be accountable for his/her levels of performance, professional development, research and/or creativity, and service as well as for the quality of annual reviews and dossiers.

### **IMPLEMENTATION**

Newly appointed librarians will be contacted by the IULFC Mentor Program Committee regarding participation in the program. Other librarians may participate by contacting the Committee. (See Form on the IU Libraries Intranet: <http://elmo.libraries.iub.edu/intranet/materials.php?mt=form&id=190>.)

## Form for Requesting Participation in the Indiana University Libraries Mentor Program

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Name \_\_\_\_\_

Job Title \_\_\_\_\_

Library Address \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Telephone \_\_\_\_\_

Date Requested \_\_\_\_\_

I. \_\_\_ I would like to participate in the Mentor Program as a Mentee. Please contact me.

II. \_\_\_ I would like to volunteer to be a Mentor in the Mentor Program.

Rank \_\_\_\_\_

Number of years in rank \_\_\_\_\_

Current library assignment type (check all that apply):

\_\_\_\_\_ Technical Services

\_\_\_\_\_ Public Services

\_\_\_\_\_ Collection Management

\_\_\_\_\_ Administration

\_\_\_\_\_ Other (please specify): \_\_\_\_\_

Please supply additional information (by attaching an additional sheet of paper if necessary) that might be helpful in matching you with a prospective Mentee.

III. \_\_\_ I prefer to be matched with a mentor or mentee based on the following criteria

(check all that apply):

\_\_\_\_\_ Type of library work

\_\_\_\_\_ Campus location

\_\_\_\_\_ Other (please specify): \_\_\_\_\_

Please mail this form to: Chair, IULFC Mentor Program Committee, c/o Libraries Director of Human Resources, Herman B Wells Library 201B, Indiana University, Bloomington.

## **The Herbert S. and Virginia White Professional Development Award**

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*Approved by IULFC October 26, 1994; Revised December 1997, June 1999, June 2003, December 2005*

### **Herbert and Virginia White**

Herbert and Virginia White met at the Library of Congress, where he was a Special Recruit Intern, and she was Administrative Assistant to the Assistant Librarian of Congress. Although responsibilities of family, child rearing, and involvement in a variety of volunteer posts (libraries, hospitals, museums, scouting) drew her away from professional participation in the field, Virginia always retained her interest, and served as a colleague and mentor with her husband.

Herbert White's career took him from the Library of Congress through a variety of government and corporate posts ranging from librarianship to information and corporate administration and an ultimate role in academia. The Whites came to Bloomington in 1975, when he assumed the role of Professor and Director of the Research Center of what was then the Graduate Library School. Herbert White served as dean of the Indiana University School of Library and Information Science from 1980 to 1990. During his tenure SLIS courses expanded to many campuses, and the program became one of the largest in the country. Upon his return to full time teaching and research, he was named a Distinguished Professor.

Herbert has always been professionally active. His record of distinguished service in the American Library Association is widely acknowledged, and he served as President of the Special Libraries Association from 1968-69 and President of the American Society for Information Science from 1974-75. In addition, he has been a prolific writer and columnist for numerous professional journals.

It is the intention of the Whites to support, during their active involvement in SLIS and after retirement, the process of individually motivated continuing education and professional growth, not directly related to a particular job assignment. Many formats are available for this process, and it is not intended that the options chosen be pre-judged by some criterion of expectation of what might be traditional. The intent is to provide a level of support, where support can be most useful.

### **Guidelines for Development of a Proposal**

The White Award is to be used to support the professional development of employees of the IU Libraries who have earned the MLS or equivalent degree. It is difficult to categorize guidelines for the White Award, because it is anticipated that each proposal will be highly unique and original. To define its scope and breadth too specifically would defeat the purpose. The underlying premise for proposal development is that regardless of the type of project, it must contribute to and emphasize the growth of the individual in the library profession, not necessarily in his/her job. The activity does not have to be quantified in the form of a product. If a product such as a publication or presentation results, however, that may be perfectly acceptable.

The applicant for the White Award should write an essay clearly stating his/her intentions and expressing how the project or activity will fit into the individual's career goals. The essay should describe the activity in detail, stating when and where it will take place, including an itemized list of

anticipated expenses, and the expected benefits to the individual's professional growth. A variety of activities - possibly, though not necessarily, related to research and/or continuing education - may be considered. When judging the relative merit of proposals, quality, not quantity, will be important.

The White Award will not support the purchase of materials for the IU collections, or tuition fees covered by the University in the form of fee courtesy or any activities which the state of Indiana has the responsibility to provide for its University employees and students.

Eligibility: Employees of the Indiana University Libraries eligible to apply for the White Award include those persons in clerical, technical, academic, or Professional/Administrative positions holding ALA-accredited MLS degrees, or equivalent work experience, from all campuses, including extra-systems libraries. Visiting and Part-time Librarians are not eligible for the award. Librarians who receive the White Award may not apply again during the year following receipt of the Award. Preference will be given to those who have not previously received the Award.

Criteria: Proposals will be evaluated on the basis of the following:

- Growth of the individual in the library profession.
- Appropriateness of the project to the stated career goals of the applicant.
- Originality.
- Timeliness of the project on the applicant's career path.
- Cohesiveness of the various components of the proposed project.
- Clarity and strength of the narrative description.

Type of Award: Annual award of up to \$2,500. The award may be given to one person or divided by several. Award monies used to pay for graduate student assistants are taxed.

Final Report: The White Award recipient must write a brief description of the activity upon its completion, and send a copy to the Chair of the White Award Committee and the Libraries Executive Director of Development. The Chair will share the report with IULFC. The Libraries Executive Director of Development will share the report with the Whites as part of the gift stewardship process.

#### **Application Form:**

Application Form – White Award

(<http://www.libraries.iub.edu/secure/defiles/Compiled%20Library%20Faculty%20Handbook.pdf>)

## **Application Form – Herbert S. and Virginia White Professional Development Award**

Indiana University Libraries

1. Applicant's name: \_\_\_\_\_

2. Position: \_\_\_\_\_

3. Office address: \_\_\_\_\_

Campus: \_\_\_\_\_

4. Telephone: \_\_\_\_\_ E-mail: \_\_\_\_\_

5. On a separate sheet, please describe, in essay form, the project that you wish to pursue. Clearly state how the proposed activity will contribute to your career as library professional either within or outside of your current job responsibilities. Be sure to include a timetable for the project, as well as an itemized list of anticipated expenses.

6. Attach a current resume.

7. Please give the name and address of your supervisor and any other people who will be writing the required letters of support for this project.