

## EVALUATION OF LIBRARY FACULTY

### FAM 652.4

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#### Purpose and Scope

The purpose of evaluation is to develop and maintain high quality faculty who are intellectually and professionally active. The goal of evaluation is to ensure the protection of faculty, student, and institutional interests.

This policy governs all aspects of evaluation of the university's library faculty. Procedures contained in this document are in accordance with the Collective Bargaining Agreement (CBA). In cases where disagreement occurs between this policy and the CBA, the CBA shall prevail.

## **Policy statement**

Peer judgment is vital to any evaluation process designed to maintain high academic standards. Peer evaluation occurs at the Library and the University level. In addition, evaluation includes administrative review.

The CBA uses the term "Faculty Unit Employees" to refer to all persons in Bargaining Unit 3. In this policy, the term "faculty" shall refer to all faculty unit employees who are librarians.

Faculty in the "Faculty Early Retirement Program" (FERP) are not eligible to serve on University and College evaluation committees. They may serve on Library Evaluation Committees and Department Evaluation Committees when specific conditions are met (refer to FAM 652.1: Evaluation of Tenure-Line Faculty).

The acronym *FAD* is used in this policy to refer to Faculty Affairs and Development.

## **Overview**

### 1. Types of evaluation

There are two types of evaluation. First is performance review, which is applicable to all probationary faculty members for purposes of determining retention, tenure, and/or promotion. Performance review is also applicable to tenured Senior Assistant and Associate Librarians requesting consideration for promotion. The second type of evaluation is formative review, which is applicable to all faculty members not subject to performance evaluation.

General provisions of evaluation: Several general provisions apply to both performance review and periodic evaluation.

- a. Only tenured faculty members and academic administrators may engage in deliberations and make recommendations regarding the evaluation of other faculty members. Evaluation criteria and procedures shall be available to faculty members before the evaluation process begins. No changes in such criteria or procedures may be made during the evaluation process.
- b. At all levels of review, before recommendations are forwarded to the next evaluation level, faculty members shall be given a copy of each recommendation stating in writing

- the reasons for the recommendation. Faculty members have the right to respond or submit a rebuttal within ten working days following the date that the receipt was signed. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File (WPAF), and shall also be sent to any previous levels of review. Upon request, the faculty member may be provided an opportunity to discuss the recommendation with the recommending party. This provision shall not require that evaluation timelines be altered.
- c. Personnel recommendations or decisions relating to retention, tenure, promotion, termination, or any other personnel action shall be based primarily on material contained in the Personnel Action File (PAF). If a personnel recommendation or decision is based on reasons not contained in the PAF, the party making the recommendation or decision shall commit those reasons to writing and this signed statement shall be placed in the PAF and a copy provided to the faculty member.
  - d. In cases of promotion, only those members of the Library Evaluation Committee with a higher rank than the applicant(s) may participate in the evaluation. The applicant may either give consent for the review to proceed with the remaining two members or may request the vacancy be filled by a qualified third person. See Section 4.a., below, for this procedure.
  - e. Recommendations shall be confidential except that the affected faculty member, the designated administrators, the President, and the peer review committee members shall have access to written recommendations.
  - f. Timetables for performance review and periodic evaluation are prepared at the beginning of each academic year by the FAD Office and submitted to the Faculty Senate for approval.
2. Library evaluator: Selection and Function
- a. *Selection:* The Library Evaluator shall hold the rank of Librarian and be elected for a 2-year term. In the event that the current Library Evaluator is presently up for an evaluation, a substitute Library Evaluator will be chosen for the purpose of this one review by election among all librarians.
  - b. *Function:* since there are no department chairs or their equivalent in the Pfau Library, the Library Evaluator is the first level of review for all evaluations.

### 3. Evaluation Committees: Composition and Functions

#### a. Library Evaluation Committee

*Composition:* The Library Evaluation Committee shall be composed of three tenured, elected members, two of whom must be at the rank of Librarian and the third, Associate Librarian or Librarian. The committee shall elect a chair who shall hold the rank of Librarian. The Library Evaluator may not serve on this committee. No member of this committee can concurrently serve on the University Evaluation Committee. No one who is presently up for review, evaluation, and/or promotion may serve on the committee. In the event that one of the committee members must withdraw for this reason, that person has the option to agree to a review by the remaining two members. Otherwise, a third member may be selected using one of the methods stated below.

Annually, the Librarians' Council shall nominate and elect committee members from within the library. Should it become necessary in order to keep all three positions filled, the nominations and elections may take place more frequently. In the event of insufficient eligible/willing members to serve on the Library Evaluation Committee, the Librarians' Council shall either invite a faculty member of appropriate rank from outside the library who is acceptable to all the members to serve or nominate and elect faculty members from outside the library by assembling a panel of eligible members from among whom the necessary members shall be chosen.

*Functions:* This committee shall conduct performance reviews as well as periodic evaluations.

#### b. University Evaluation Committee

*Composition:* The University Evaluation Committee shall be composed of one tenured Professor elected from each College by the tenure-track faculty of the College; one tenured Librarian elected by the tenure-track library faculty; and one tenured Student Services Professional, Academic- Related (SSP, AR) or alternate elected by the tenure-track SSP, ARs. Department Chairs or Associate Deans may not serve on this committee. Library Evaluators may not serve on this committee. Members shall serve two-year staggered terms. The committee shall elect a chair. A member of this committee cannot serve concurrently as a member of any evaluation committee at a lower level.

*Functions:* This committee shall conduct performance reviews for faculty members at the University level in cases where recommendations from the Department, Department Chair, College and Dean are not unanimous as well as in cases involving non-retention, and denial of tenure or denial of promotion. This committee shall also serve as the higher- level peer review committee for librarians and SSP, ARs. In addition, the committee shall rank faculty in promotion cases, basing their rankings primarily on previous recommendations and rankings. This committee shall also conduct performance reviews in any case at the request of the President or designee.

#### 4. Instruments of Evaluation

##### a. Faculty Activities Reports (FARs)

FARs shall be submitted by all faculty members subject to performance review and by probationary and full-time temporary faculty members subject to periodic evaluation. These shall cover all three areas of evaluation: professional assignment, research, scholarly, or creative activities, service to university and/or community.

The FAR should cover the following periods of time:

- i. For all probationary faculty being considered for retention or tenure, the FAR should be cumulative since appointment.
- ii. For tenured faculty applying for promotion, the FAR should be cumulative since submission of the last FAR.
- iii. For all others (e.g., tenured faculty subject to periodic evaluation and full-time temporary faculty), the FAR should be cumulative since submission of the last FAR.

##### b. Supporting documentation

Supporting documentation for activities must be attached to this report (for example, reprints of publications, appropriate evidence regarding speeches, consultations, performances, exhibitions, work in progress, etc.) as follows:

- i. For probationary faculty being considered for retention, all supporting documentation should be cumulative since appointment.
- ii. For probationary faculty being considered for tenure and/or promotion, all supporting documentation should be cumulative since appointment.
- iii. For tenured faculty applying for promotion, all supporting documentation since

- submission of the last FAR.
- iv. For all others (e.g., tenured faculty subject to periodic evaluation and full-time temporary faculty), all supporting documentation since the last FAR was submitted.

Faculty members may include professional activities carried out prior to appointment. Pre-employment dates of such activities should be noted. The entire professional experience of the faculty member should be examined and considered, but primary consideration shall be given to the professional accomplishments during the appropriate time period as indicated above.

All FARs must be accompanied by an Index of Attachments.

When a faculty member reports collaborative research, scholarly, or creative activities or accomplishments, a Joint Activities Report form should be submitted with the FAR for each joint activity.

c. Library Evaluator's Report

A Library Evaluator's Report shall be completed for each faculty member subject to performance review or periodic evaluation. This report shall be completed after the appropriate FAR is submitted to the Library Administration Office (LAO) and before the Library Evaluation Committee and the Library Dean review the FAR. The report makes no recommendation regarding performance review or periodic evaluation retention, promotion or tenure decisions. The faculty member shall receive a copy of the report from the Library Evaluator and meet with the Library Evaluator to review it (if desired). Any agreed-upon changes shall be incorporated into the final report submitted to the LAO. If there are any further changes or disputes, the faculty member may submit a written response or rebuttal within ten days following its receipt for consideration in the current evaluation cycle. This statement shall be included in the PAF.

5. Files

a. The Personnel Action File (PAF)

- i. A PAF shall be maintained for each faculty member. PAFs are kept at the LAO.
- ii. A faculty member shall have the right to submit additional materials to his/her PAF and shall have the right to submit a written rebuttal to any material in his/her file. Only material identified by source may be placed in the PAF.

Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. The faculty member shall be provided with a copy of any material to be placed in the PAF at least five days prior to the placement.

- iii. A faculty member shall have the right of access to all material in his/her PAF, exclusive of pre-employment materials, except when the pre-employment materials are used in personnel actions.
- iv. The PAF may be inspected by the faculty member upon request to the appropriate office. A copy of all materials requested shall be provided within fourteen days of the request. If the faculty member believes that any portion of the file is not accurate, a correction or deletion of those materials may be requested. If the request is denied, the faculty member shall have seven days to submit the request to the President. Within twenty-one days of the request to the President, the President shall provide to the faculty member a written response. If the President or designee grants the request, the record shall be corrected or the deletions made, and the faculty member shall be sent a written statement to that effect. If the President or designee denies the request, the response shall include the reason(s) for denial.
- v. The PAF shall be held in confidence. Access to a faculty member's file shall be limited to persons with official business. The appropriate office shall log all instances of access to a PAF. This record shall be a part of the file.

b. Working Personnel Action File (WPAF)

The WPAF refers to the portion of the Personnel Action File used during the time of performance review or periodic evaluation of a faculty member. The WPAF shall include where required the following:

- i. A FAR (and the Index of Attachments to the FAR) reflecting the cumulative record in all areas of evaluation.
- ii. Library Evaluator's reports.
- iii. Responses and rebuttals.
- iv. Faculty authored reports from sabbatical leaves, difference-in-pay leaves, mini-grants, and other internal CSUSB grants.
- v. All other evaluation materials appropriately included in the PAF.
- vi. All current and previous summary statements and recommendations resulting from the evaluation process.

Materials submitted to the WPAF by a faculty member for evaluation purposes shall be deemed incorporated by reference in the PAF but need not be physically placed in the file. An index of such materials shall be prepared by the faculty member and submitted with the materials. Such an index shall be permanently placed in the PAF.

WPAFs for all librarians shall be housed in the LAO unless they are currently being reviewed by the University Evaluation Committee, in which case FAD Office shall temporarily house them. All others shall be housed in the FAD Office.

c. Recommendations

Recommendations shall be made following a thorough review of the WPAF relative to each applicable criterion. All participants who make recommendations shall, in addition, ensure that criteria are applied equally for each faculty member evaluated. If there are omissions of documentation, information or recommendations in the materials submitted for review, the materials may be returned for amplification. Any such amplification shall be provided in a timely manner.

d. Decision

The President or designee shall receive the WPAF, review its contents and recommendations, and reach a decision. The President's or designee's decision shall be communicated in writing to the faculty member and shall state the reasons for the decision.

## **Performance Review**

1. Definitions

- a. *Performance Review*: Performance review is the process whereby decisions concerning retention, promotion, and tenure are made. Performance reviews are based upon information obtained from peers and administrators in the manner described in this document. Upon completion of deliberations at each level of performance review, a copy of the recommendation shall be forwarded to the faculty member, who may respond in writing within 10 days after receipt of the recommendation and/or request a meeting with the recommending party.
- b. *Probation*: The normal period of probation shall be six years of credited service or full-time probationary service. A year of service for a faculty member in an academic year position is two semesters of employment within an academic year.



Any deviation from the normal six-year probationary period shall be the decision of the President or designee, following consideration of recommendations from the Library Evaluation Committee, Library Dean, and the University Evaluation Committee, if applicable.

A probationary faculty member in the second year of service shall be notified by the President or designee of a final decision on retention no later than February 15. A probationary faculty member who has served more than two years of probation shall be notified by the President or designee of a final decision on retention or a terminal year appointment no later than June 1.

- c. *Tenure*: Tenure is the right of a faculty member to continue permanent employment at the campus except when such employment is voluntarily terminated or terminated by the employer pursuant to the provisions of a collective bargaining agreement or law.

The President or designee may award tenure to a faculty member after a six-year probationary period. Upon application by a candidate and consideration of positive recommendations from evaluation committees and the Library Dean, the President or designee may award tenure before the end of the six-year probationary period. Tenure shall be effective at the beginning of the academic year succeeding the year in which tenure is awarded.

- d. *Promotion*: Promotion is the advancement to a higher rank of a probationary or tenured faculty member. A probationary faculty member shall not normally be promoted during probation. A probationary faculty member shall normally be considered for promotion at the same time he/she is considered for tenure. Probationary faculty members shall not be promoted beyond the rank of Associate Librarian. Upon application by the candidate and following consideration of positive recommendations from evaluation committees and the Library Dean, probationary faculty members may be promoted to the rank of Associate Librarian. Promotion of a tenured faculty member shall normally be considered during his/her fifth year of service in the same rank. Upon application, and following consideration of positive recommendations from the evaluation committees and the Library Dean, a tenured faculty member may be promoted to the rank of Associate Librarian or Librarian prior to the fifth year of service in the same rank.

The President or designee shall notify the faculty member in writing of the final decision on promotion no later than June 15. Such notification shall include the reasons for approval or denial and shall indicate the effective date of the promotion.

2. Participants in Performance Review

- a. Faculty Members: Performance review applies to all second-, fourth- and sixth-year probationary faculty members, tenured faculty members applying for promotion, and probationary faculty members applying for early tenure and/or early promotion. Third- and fifth-year probationary faculty members may also be subject to performance review upon notification by the President or designee.
- b. Library Evaluator
- c. Library Evaluation Committee
- d. Library Dean
- e. University Evaluation Committee
- f. President or Designee

3. Procedures for Performance Review

The performance review process is composed of a number of steps involving the accumulation of materials to be evaluated and the determination of recommendations at various levels of peer and administrative review. Procedures governing performance review for faculty members:

- a. Faculty member completes the FAR and submits it to the LAO. The LAO assembles the WPAF, then notifies the Library Evaluator that the WPAF is ready for review.

Prior to the beginning of the review process, the faculty unit employee subject to review shall be responsible for the identification of materials he/she wishes to be considered and for the submission of such materials as may be accessible to him/her.

Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation not provided by the employee.

A specific deadline before the recommendation is made at the first level of evaluation shall be established by campus policy at which time the WPAF is declared complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after the date of this declaration must have the approval of the Library Evaluation Committee and shall be limited to items that became accessible after this declaration. Material inserted in this fashion shall be returned to the Library Evaluator for review, evaluation and comment before consideration at subsequent levels of review. If, during the review process, the absence of required evaluation documents is discovered, the WPAF shall be

returned to the level at which the requisite documentation shall have been provided. Such materials shall be provided in a timely manner.

- b. Library Evaluator shall complete the Library Evaluator's Report before the Library Evaluation Committee and the Library Dean review the WPAF. The report makes no recommendations regarding performance review or periodic evaluation retention, promotion or tenure decisions. The faculty member shall receive a copy of the report from the Library Evaluator and meet with the Library Evaluator (if desired) to review it. Any agreed-upon changes shall be incorporated into the final report submitted to the LAO. If there are any further changes or disputes, the faculty member may submit a written response or rebuttal within ten days following its receipt for consideration in the current evaluation cycle. This statement shall be included in the PAF. The LAO adds the Evaluator's report to the WPAF. The LAO then notifies the Library Evaluation Committee that the WPAF is ready for review.
- c. The Library Evaluation Committee reviews the WPAF and prepares a report consisting of their recommendations and ratings. This report is submitted to the LAO. The LAO adds this report to the WPAF and sends a copy to the faculty member. The faculty member may submit a written response or rebuttal within ten days following its receipt for consideration in the current evaluation cycle. The LAO then notifies the Library Dean that the WPAF is ready for review.
- d. The Library Dean reviews the WPAF and prepares a report consisting of recommendations and ratings. This report is submitted to the LAO. The LAO adds this report to the WPAF and sends a copy to the faculty member. The faculty member may submit a written response or rebuttal within ten days following its receipt for consideration in the current evaluation cycle.
- e. The LAO submits the WPAF to the FAD Office. The FAD Office then notifies the University Evaluation Committee that the WPAF is ready for review, recommendations, and rankings in promotion cases. The University Evaluation Committee prepares a report which is added to the WPAF by the APO and sends a copy to the faculty member. The faculty member may submit a written response or rebuttal within ten days following its receipt for consideration in the current evaluation cycle.
- f. The APO, in coordination with the LAO, submits the WPAF to the President or designee for decision. In addition to decisions regarding retention, promotion or tenure, the President or designee may notify probationary faculty members that performance

review is required in the third or fifth probationary year.

## Periodic Evaluation

### 1. Definitions

- a. *Periodic Evaluation.* Periodic evaluation is the process whereby faculty members who are not subject to performance review are evaluated. Those subject to periodic evaluation include temporary part-time and temporary full-time faculty members, and first-, third- and fifth-year probationary faculty members, and tenured faculty members. Third- and fifth-year faculty members applying for early tenure and/or early promotion will be subject to performance review and therefore periodic evaluation will not be necessary. Periodic evaluation will also not be necessary for third- and fifth-year faculty members subject to performance review as a result of notification by the President or designee.
- b. *Purpose of periodic evaluation:* The purpose of periodic evaluation for faculty is to evaluate professional assignments research, scholarly, or creative activities, and service to university and/or community. Where necessary, steps may be recommended to improve performance.
- c. *Result of Periodic Evaluation:* The result of periodic evaluation is to be a summary statement on the strengths and weaknesses of the faculty member in the areas of professional assignments, professional growth/activities and service to university and/or community. This statement may include recommendations for improvement. Upon completion, each summary statement is placed in the PAF and a copy is provided to the faculty member.

The results of periodic evaluation shall be given careful consideration whenever a subsequent appointment for temporary faculty is considered.

### 2. Procedures for Periodic Evaluation

- a. Temporary Full-Time Faculty
  - i. Temporary full-time faculty members submit FARs to the LAO.
  - ii. The LAO assembles the WPAF.

- iii. The Library Evaluator, the Library Evaluation Committee, and the Library Dean shall consecutively review the WPAF, and prepare reports as described above.

b. Temporary Part-Time Faculty.

The LAO assembles WPAFs consisting of summary statements from the Library Evaluator, the Library Evaluation Committee, and any other appropriate evaluation materials, for review by the Library Dean.

c. Schedule for Periodic Evaluation of Temporary Full-Time and Part-Time Faculty.

Temporary part-time faculty members appointed for one semester or less, within an academic year, shall be evaluated at the discretion of the Library Dean or appropriate supervisor. The temporary part-time faculty member can request that an evaluation be performed.

Temporary faculty members appointed for more than two semesters within an academic year shall receive a periodic evaluation by the end of the spring semester.

d. First-, Third-, and Fifth-Year Probationary Faculty and Tenured Faculty

- i. First-, third-, and fifth-year probationary faculty complete FARs and submit them to the LAO. The LAO assembles the WPAF, then notifies the Library Evaluator that the WPAF is ready for review.
- iv. The Library Evaluator reviews the WPAF, writes a report (see INSTRUMENTS OF EVALUATION, 3 above for details) and submits it to the LAO. The LAO adds the Evaluator's report to the WPAF. The Library Administration Office notifies the Library Evaluation Committee that the WPAF is ready for review.
- v. The Library Evaluation Committee reviews the WPAF and prepares a report consisting of summary statements of their evaluations (no recommendations). These reports are submitted to the LAO. The LAO adds these reports to the WPAF. The LAO notifies the Library Dean that the WPAF is ready for review.
- vi. The Library Dean reviews the WPAF and submits a report to the LAO and added to the WPAF.

Tenured Faculty: See Below: Periodic evaluation of Tenured Faculty

## Criteria for Performance Review

1. Areas of evaluation
  - a. Performance of professional assignments

The primary function of library faculty at the California State University is the performance of professional assignments. The professional environment, work, and work hours of library faculty are different from those of the instructional faculty because of the special nature of libraries, which are cooperative and sequential enterprises involving interdependent functions and departments. In addition, the work of librarians requires the application of knowledge and abilities unique to the profession of librarianship. The factors used in the performance evaluation of librarians must reflect these unique elements and responsibilities.

Direct objective evidence of the effectiveness in performing professional assignments is crucial to the overall evaluation process. Effectiveness shall be evaluated by the quality of the performance in the various types of professional assignments. These may include, but are not limited to, acquisition services, cataloging services, reference services, circulation services, collection development, periodical services, online reference services, library automation, and general library instruction and specialized lectures in assigned areas. A librarian may serve within two or more areas, be responsible for a particular area of activity or a unit or may be a specialist. Those persons involved in the evaluation process shall recognize the existence of differences in styles of librarianship. While no single style or manner of librarianship can be established as best for all librarians or assignments, librarians are expected to work effectively in the performance of professional assignments. Evaluation shall be based upon the particular methods used by the librarian and whether or not they are likely to produce the desired results.

Primary sources for evidence concerning the quality of the performance of professional assignments shall be the FAR and the Library Evaluator's report.

The Library and University Evaluation Committees as well as the Library Dean shall evaluate the performance of professional assignments. They shall also determine if such performance is appropriate to the faculty member's rank.

Quality of performance of professional assignments shall be evaluated in the following areas:

- i. Command of Professional Knowledge.

Credentials presented by a librarian upon appointment should attest initially to the librarian's command of the professional knowledge. However, refinement and change are inherent in any area of knowledge. Librarians must be familiar with the current knowledge within librarianship and should also incorporate relevant changes into their professional assignments.

ii. Effectiveness in Performance of Professional Assignments.

Librarians must effectively use their professional knowledge. Effectiveness in performance of professional assignments is demonstrated by the degree of proficiency employed, the level of independence demonstrated, the initiative and/or innovation shown, and the versatility, when appropriate, to work effectively in a variety of library functions and/or subject areas. Among the items which may be used to evaluate performance in this area are: the adaptation of procedures or policies to reflect changes in librarianship, in the library itself, or in the University; the introduction of procedures or policies which improve the quality of library service; and/or the strong execution of basic professional duties.

iii. Oversight, When Appropriate, of Programs and Staff

A librarian may be responsible for overseeing operation of a particular library area of activity or unit and its related staff. Among the items which shall be used to evaluate performance in this area are: the establishment of goals and objectives, as well as their documentation and implementation; the recommendation, interpretation and execution of library policies; the recommendation of budget and staff allocations; the monitoring of the use of funds and staff; the planning, organization, and coordination of personnel and procedures; the delegation of authority; the evaluation of other librarians and support staff; and the participation in overall library planning and development activities.

iv. Performance, When Appropriate, as a Non-Supervisory Specialist

A librarian may be assigned to an area of activity as a non-supervisory specialist. Among the items used to evaluate performance in this area are: intensive knowledge of a particular area or activity beyond the criteria established in this document.

b. Research, scholarly, or creative contributions

A certain level of research, scholarly, or creative activities and growth supports the primary mission of the University. Continued research, scholarly, or creative activities provides a means whereby excellent, up-to-date and enriched librarianship benefits the University as a whole. Evaluation committees and others involved in performance review recognize that no single method exists whereby librarians may demonstrate research, scholarly, or creative activities. Distinct areas of librarianship have diverse methods of demonstrating research, scholarly, or creative activities. Even within the same assignment, differences among research, investigative work, and creative activity exist.

- i. It shall be the sole responsibility of the faculty member to provide documented evidence of professional growth referenced in the FAR. Examples of items which may be used are books and articles or evidence indicating their acceptance for publication, proposals, contracts, grants or program materials; letters of invitation or appointment, reviews of creative activity generated by professionally recognized persons; and other appropriate professionally generated materials pertinent to this area of evaluation. This evidence shall be submitted as part of the FAR.
- ii. The faculty member may consult with the Library Evaluator to ascertain that the FAR contains a thorough description of the faculty member's professional activities and reflects a true picture of research, scholarly, or creative activities.
- iii. A request for external review of professional activities materials submitted by a faculty member may be initiated at any level of review by any party to the review. Such a request shall document (1) the special circumstances which necessitate an outside reviewer, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President or designee with the concurrence of the faculty member. When the request to submit materials to an external review has been approved, the faculty member shall be asked to provide to the APO a list of names from which one or more evaluators may be chosen. The Library Evaluator, Library Evaluation Committee, and/or Library Dean shall consider this list and, if appropriate, provide additional names to it. FAD Office will



coordinate the selection of one or more suitable evaluators solely from this list and in agreement with the faculty member involved.

- iv. The following guidelines shall apply in selecting external evaluators:
- Evaluators shall not be a collaborator or a co-author of any publication or research effort of the candidate.
  - Evaluators shall not be personal friends of the candidate.
  - To the greatest extent possible senior and established scholars should be chosen for such evaluations.

A copy of the external evaluation shall be included in the WPAF and shall be considered an intrinsic part of the evaluation process.

- v. The Library Evaluation Committee and the Library Evaluator must evaluate each item in the area of research, scholarly, or creative activities. They must also address the significance of the contribution and the quality of the form in which it is presented, i.e., a publication, a paper or presentation, a work in progress, etc. In addition, if the contribution consists of professional activity such as a consultantship, participation in a professional organization, a grant or award, the Committee and the Evaluator must assess its significance and clarify the relevance of the format. Although it is the sole responsibility of the faculty member to provide documentation, if the Library Evaluation Committee or the Library Evaluator finds any deficiencies in the faculty member's documentation of research, scholarly, or creative activities, the Committee or Evaluator may request clarification, expansion, or additional information from the faculty member through the LAO before preparing an evaluation. In the event a faculty member fails to provide requested information or documentation, the Library Evaluation Committee or the Library Evaluator shall so indicate in their evaluation.
- vi. Library Evaluation Committees, Library Evaluators, and the Library Dean shall consider all professional activity materials submitted by the faculty member to determine the appropriateness and quality of research, scholarly, or creative activities in light of established criteria and evaluate the faculty member's research, scholarly, or creative activities relative to academic rank.
- vii. The following list of professional activities should be regarded as exemplary in nature and is not meant to be limiting, definitive or prescriptive in its order. Work professionally evaluated by peers in the field is generally more significant. Some parts of this list are more appropriate to specific academic

areas than others. The individual contribution to collaborative activities must be clearly stated on a Joint Activity Report form.

- Receipt of a fellowship, grant, contract, award, prize or other indication of professional recognition.
- Active participation in seminars, conferences, meetings or other activities leading to research, scholarly, or creative activities.
- Continuing education, retraining, and the development of new skills relevant to one's current or potential assignment. Evidence of these activities may be taking courses; earning advanced degrees; or participating in professional conferences, seminars, workshops, institutes, or special programs. Such activities should lead to the systematic updating of knowledge.
- Presentations at professional meetings dealing with research, investigative activity or creative activity.
- Publications, such as books or texts (whole or parts thereof), journal or periodical articles, or any other type of academically specialized form such as music, script, software, etc. Professionally recognized or refereed publications are generally more significant.
- Creative activity culminating in a public display or performance such as might occur in music, art, drama, poetry reading, etc.
- Active leadership and/or service in recognized professional societies. (This activity may also be relevant to Service to university.)
- Consultantships, whether paid or unpaid, of a professional nature.
- Editing, reviewing, indexing, abstracting, or performing other editorial work for professional or scholarly publications.
- Any other items of specific professional activity, such as work in progress, research related to assignments, etc.

c. Service to university and/or community

In addition to demonstrated effectiveness in performance of professional assignments and continued research, scholarly, or creative activities, faculty members must also participate in professionally related service to the University and/or community.

i. Scope of service to university and/or community

Faculty are uniquely qualified to contribute to the mission of the University in a variety of ways, such as participating in institutional governance, evaluating the professional performance of their colleagues, sponsoring student organizations, etc.

Service to community related to the mission of the University brings recognition not only to the University but to the faculty as well. Service should be consistent with the professional abilities, expertise and leadership qualities of the faculty members and should foster an intellectual relationship with the off-campus community. The term "community" may refer to local, regional, state, national, or international entities.

Service to the University and/or the community shall be demonstrated by documented evidence submitted with the FAR. The following list provides examples of items that may be used. This list provides examples only and must not be construed as limiting, definitive, or prescriptive in its order.

- *Service to university*

Active participation in service to and/or governance of the library, the campus and/or University System. If a librarian is given release time to perform such a service, this shall not be considered in evaluating the quality of such service. However, having received released time may be considered when evaluating the quantity of such service.

Attendance and active participation at library meetings.

Active participation on committees at all levels of the University and the University System.

Participation in educational equity programs and activities.

Authorship of documents, reports, or other materials pertinent to the University's mission or operation.

Advisor or sponsor to student groups on campus.

Assisting with grants, documents, contracts, proposals, reports, or other materials pertinent to the University's mission or operation.

Active participation in library, campus and/or University-wide Advisory Groups.

- *Service to community*

Service at local, state and federal government level. Consultantships to service to community groups.

Media presentations such as interviews, articles, speeches, or other presentations in newspapers, magazines, radio, television, or film.

Lectures, speeches, talks, presentations and/or displays given to schools, community groups, or the University community, e.g. at science fairs, art shows, or music contests; assisting educational marathons; officiating at sporting events; or similar activity.

Active participation and/or office holding in civic, educational, service, or humanitarian groups.

Participation in community partnership activities which enhance social, economic, and cultural conditions.

- ii. Evaluation of Service to university and/or community

- The faculty member shall describe and provide documentation for Service to university and/or community. Evidence may include, but shall not be limited to, letters of invitation, memoranda documenting service, programs, membership lists, and other appropriate items. This evidence shall be attached to the FAR.
- Additional supporting evidence may be obtained through the Library Evaluator's report.
- The Library and the University Evaluation Committees, as well as the Library Dean, shall evaluate the nature of the service to the University and/or community. They shall also determine if it is appropriate to the faculty member's rank.

## **Evaluation Rating System**

The Library and University Evaluation Committees, and the Library Dean are required to use the standards for evaluation set by the Library. If Library Standards are not available for a category, then University Standards for that category are to be used to evaluate a librarian.

1. Evaluation Scale

The Library and University Evaluation Committees, and the Library Dean shall apply the established criteria to the performance of a faculty member relative to that faculty member's academic rank. Evaluation of a librarian applies only to the rank at the time of the evaluation. Therefore, a rating of Above Expectation for retention at the rank of Assistant Librarian at the second year does not imply that this candidate is ready for promotion or tenure. It only means that for a second-year Senior Assistant Librarian the candidate is Above Expectations.

- a. *Above Expectations*: This rating reflects performance above the established criteria for the rank at the time of the current evaluation.
- b. *Meets Expectations*: This rating reflects performance within the range of the established criteria for the rank at the time of the current evaluation.
- c. *Below Expectations*: This rating reflects performance below the established range of criteria for the rank at the time of the current evaluation.
- d. *Well Below Expectations*: This rating reflects performance well below the range of established criteria for the rank at the time of the current evaluation.

## 2. Outcomes of Evaluation

### a. Second-Year Retention Review

- i. If a faculty member is evaluated at Meets Expectations (or higher) in two categories and no lower than Below Expectations in the third category, then the faculty member will be recommended for retention at the rank of Senior Assistant Librarian at the second year.
- ii. If a faculty member is evaluated at Below Expectations in two categories and at Meets Expectations (or higher) in the third category, the faculty member will be recommended for retention at the rank of Senior Assistant Librarian at the second year. In this case, the retention will include recommendations from the President or his designee for successful future reviews.
- iii. If a faculty member is evaluated at Well Below Expectations in any of the three categories, or at Below Expectations or Well Below Expectations in all three categories, then the faculty member will not be recommended for retention.

### b. Fourth-Year Retention Review

- i. If a faculty member is evaluated at Meets Expectations (or higher) in all three categories, then the faculty member will be recommended for retention at the

fourth year.

- ii. If a faculty member is evaluated at Below Expectations in any of the three categories and at Meets Expectations (or higher) in the other two categories, the faculty member will be recommended for retention. In this case, the retention will include recommendations from the President or his designee for successful future reviews.
- iii. If a faculty member is evaluated at Well Below Expectations in any of the three categories, or is evaluated at Below Expectations in two or more categories, the faculty member will not be recommended for retention.

c. Tenure

- i. To be recommended for tenure at the current rank at the time of the evaluation, the faculty member must be evaluated at Meets Expectations (or higher) in all three categories.
- ii. If a faculty member is evaluated at Below Expectations (or lower) in any of the three categories, the faculty member will not be recommended for tenure.

d. Promotion to the Rank of Associate Librarian

- i. To be recommended for promotion to the rank of Associate Librarian, the faculty member must be evaluated at Above Expectations in one of the categories and at Meets Expectations (or higher) in the other two categories at the current rank.
- ii. If a faculty member is evaluated at Below Expectations (or lower) in any of the three categories, the faculty member will not be recommended for promotion to the rank of Associate Librarian.

e. Promotion to Librarian

- i. To be recommended for promotion to Librarian, a faculty member must be evaluated at Above Expectations in one of the categories and at Meets Expectations (or higher) in the other two categories at the current rank.
- ii. If a faculty member is evaluated at Below Expectations (or lower) in any of the three categories, the faculty member will not be recommended for promotion to Librarian.

## Application of Criteria and Rating System

Faculty members who request early promotion are evaluated by the same standards according to rank as faculty members considered at the end of the normal probationary period.

Faculty members who request early tenure shall be considered to be at the end of the normal probationary period and be evaluated the same as any faculty member requesting tenure or promotion. In addition, faculty members requesting early tenure shall have demonstrated an outstanding and sustained record of involvement and achievement, on this campus or elsewhere, indicative of a commitment to continued professional performance in assignments, research, scholarly or creative contributions, and service to the University.

A faculty member applying for early tenure must be evaluated at Meets Expectations (or higher) in each of the three categories to be recommended for early tenure. A faculty member applying for early promotion must be evaluated at Above Expectations in at least one category and at Meets Expectations (or higher) in the other two categories to be recommended for early promotion.

In progressing through the levels of Senior Assistant Librarian, Associate Librarian, and Librarian, an increasingly rigorous application of the criteria shall be applied.

1. MEETS EXPECTATIONS and ABOVE EXPECTATIONS in the area of professional assignments

- a. Meets Expectations in the Area of Professional Assignment

*At the rank of Senior Assistant Librarian:* During years two and three of the probationary period, the MEETS EXPECTATIONS faculty member at the rank of Senior Assistant Librarian must demonstrate command of professional knowledge. Strong indications of developing abilities must also be demonstrated in the other professional assignments criteria. During subsequent years, competence in the appropriate professional assignments criteria must be evident.

*At the rank of Associate Librarian:* The MEETS EXPECTATIONS faculty member at the rank of Associate Librarian must demonstrate proficiency in the appropriate professional assignments criteria.

*At the rank of Librarian:* The MEETS EXPECTATIONS faculty member at the rank of Librarian must demonstrate proficiency in the appropriate professional assignments criteria and demonstrate a record of involvement and achievement indicative of a commitment to continue professional performance of professional assignments.

- b. Above Expectations in the Area of Professional Assignments

To be considered ABOVE EXPECTATIONS in the area of professional assignments, the faculty member must meet the requirements set forth above for MEETS EXPECTATIONS appropriate to rank. In addition to this, the faculty member must meet at least one of the following additional criteria:

- i. A preponderance of evidence demonstrating excellence in professional assignments as indicated in the FAR, the Library Evaluator's Report, or additional appropriate documentation related to professional assignment.
  - ii. A record of distinction for some aspect of professional assignments at or beyond the University.
2. MEETS EXPECTATIONS and ABOVE EXPECTATIONS in the area of research, scholarly, or creative activities

Qualitative and quantitative standards should be used to assess research, scholarly, or creative activities.

a. MEETS EXPECTATIONS in the Area of Research, Scholarly, or Creative Activities

*At the rank of Senior Assistant Librarian:* During years two and three of the probationary period, the MEETS EXPECTATIONS faculty member at the rank of Senior Assistant Librarian must demonstrate involvement in professional activities. In subsequent years, continued active involvement in and successful completion of some professionally evaluated activities should be evident.

*At the rank of Associate Librarian:* The MEETS EXPECTATIONS faculty member at the rank of Associate Librarian must demonstrate a record of active involvement in and successful accomplishment of research, scholarly, or creative activities. Successful accomplishment at this level normally requires that some complete work be professionally evaluated.

*At the rank of Librarian:* The MEETS EXPECTATIONS faculty member at the rank of Librarian must demonstrate a record of successful accomplishment and recognition in research, scholarly, or creative activities.

b. ABOVE EXPECTATIONS in the Area of Research, Scholarly, or Creative Activities

To be considered ABOVE EXPECTATIONS in the area of research, scholarly, or creative activities the faculty member must as a minimum, have met the requirement set forth above for MEETS EXPECTATIONS appropriate to rank. In



addition to this, the faculty member must also have attained recognition beyond the University in research, scholarly or creative activities.

3. MEETS EXPECTATIONS and ABOVE EXPECTATIONS in the area of service to university and/or community

a. MEETS EXPECTATIONS in the Area of Service

*At the rank of Senior Assistant Librarian:* The MEETS EXPECTATIONS faculty member should demonstrate a developing level of participation particularly at the library level within the area of service. For the purpose of awarding tenure, the MEETS EXPECTATIONS faculty member must demonstrate significant participation in the area of service.

*At the rank of Associate Librarian:* The MEETS EXPECTATIONS faculty member at this rank must demonstrate significant participation in the area of service. For a faculty member hired at this rank, a MEETS EXPECTATIONS rating may be assigned for demonstrating sufficient progress towards achieving this standard by the third probationary year.

*At the rank of Librarian:* In addition to significant participation in service activities, the MEETS EXPECTATIONS faculty member is expected to provide effective leadership in some of these activities. For a faculty member hired at this rank, a MEETS EXPECTATIONS rating may be assigned for demonstrating sufficient progress towards achieving this standard by their third probationary year.

b. ABOVE EXPECTATIONS in the Area of Service

A rating of ABOVE EXPECTATIONS in this area is awarded for exceptional service that has been clearly documented as to quantity and quality. To be considered ABOVE EXPECTATIONS in the area of service, the faculty member must meet the qualifications set forth above for MEETS EXPECTATIONS appropriate to academic rank. In addition, the faculty member must demonstrate unusual effectiveness or performance as a contributor or leader in the University, the off-campus community, or a combination of both.

### **Criteria for Periodic Evaluation of Non-Tenured Faculty**

1. Temporary full-time faculty

Temporary full-time faculty members employed for more than two semesters shall be

evaluated in the areas of professional assignments, research, scholarly, or creative activities, and service to the University and/or community, as specified in their contracts. The applicable criteria are the same as for faculty members subject to performance review.

2. Temporary part-time faculty

Temporary part-time faculty members employed for more than two semesters shall only be evaluated in the area of professional assignments. The applicable criteria in evaluating this area are the same as for librarians subject to performance review.

3. First-, third- and fifth-year probationary faculty

First, third, and fifth year probationary faculty members shall be evaluated in the areas of professional assignments, research, scholarly, or creative activities, and service to the University and/or community. The applicable criteria in evaluating those areas are the same as for faculty members subject to performance review.

## **Periodic Evaluation of Tenured Faculty**

The purpose of periodic evaluation of tenured faculty members is to assure the continuation of high-quality library services within the University. The program is designed to maintain excellence in performance, professional assignments, research, scholarly, or creative activities, and service to the University and community. This process is intended to be both positive and supportive.

1. Procedures for periodic evaluation

- a. Each academic year, tenured faculty members who are no longer subject to performance review and who have not been reviewed during the previous five-year period shall be subject to periodic evaluation. Whenever more than 25% of such tenured faculty in the library are scheduled for periodic evaluation, the Library Evaluation Committee may determine by lot a one-year postponement of sufficient reviews to reduce the number to less than 25%.

Also subject to periodic evaluation are tenured faculty members whose previous evaluations resulted in a decision to review prior to the normal five-year period.

- b. During the Fall of the evaluation year those faculty members subject to evaluation shall

- submit a FAR to the LAO. The report shall be cumulative over the previous five years or since the last evaluation.
- c. The following materials shall be assembled into a WPAF by the LAO.
    - i. A FAR covering previous five years or since the period covered by the last evaluation
    - ii. Other materials deemed relevant by the faculty member
  - d. The Library Evaluator will review the assembled file first (See INSTRUMENTS OF EVALUATION, 3 above for details). Next, the Library Evaluation Committee will review the assembled file and prepare a summary report commenting on the overall effectiveness of the faculty member's performance, specifying remedies if any, and indicating when the next review should take place. A copy of this report shall be given to the faculty member who shall have the right to submit a written response which may be a rebuttal.
  - e. The WPAF, the Library Evaluator's report, the Library Evaluation Committee's report, and responses, if any, shall be forwarded to the Library Dean for review. If requested by the faculty member, the Library Dean, the Library Evaluator, the chair of the Library Evaluation Committee, and the faculty member shall meet to discuss the contents of and any recommendations contained in the reports. The reports, along with a statement from the Library Dean establishing the next scheduled evaluation, shall then become a part of the PAF. The Library Dean's statement may include more than the date for the next scheduled evaluation, but this is optional.
  - f. The review process for the evaluation of tenured faculty shall be completed in accordance with the Timetable for Periodic Evaluation and Performance Review.
2. *Criteria:* Tenured faculty shall be evaluated in the areas of professional assignments, research, scholarly, or creative activities, and service to the University and community. The applicable criteria in evaluating these areas are the same as for faculty members subject to performance evaluation.
  3. *Exclusion:* Members of the Library Evaluation Committee shall not participate in their own review; that is, faculty undergoing Formative review may serve on a library evaluation committee, but must recuse themselves for their own review.
  4. *Delays in review:* Although the CBA is silent on delays in the review process, the University

recognizes that unforeseen emergency situations may arise so that a delay in review is inevitable. Reasons for a delay must be serious and compelling. Requests for a delay in review must be made in writing with specific reasons stated for the delay. These requests must be submitted to the Library Dean. Delays of no more than one year may be granted except in exceptional circumstances, such as a multiple year leave of absence, when more than one year may be granted, by the Library Dean in consultation with the Library Evaluation Committee.

## **Guidelines for the Evaluation of Tenure-Line Library Faculty**

Each academic department has the option of preparing written discipline/program specific guidelines for application of criteria in the areas of professional assignment, professional growth, and service contained in FAM 652.1: Evaluation of Tenure-Line Faculty. These discipline-specific guidelines must strictly conform to the university-wide criteria, and are intended to provide guidance to faculty on those items that tend to have greater applicability for their academic area.

The departmental guidelines are not intended to supersede the listing of criteria contained in the campus document nor to impose any pedagogical technique, and as such may not eliminate or exclude any criterion listed in the areas of professional assignment, research, scholarly, or creative activities, and service.

1. Guidelines. The library evaluation guidelines are expected to conform to the following specifications
  - a. *Professional Assignment*: Description in general terms, of professional techniques or approaches, which are best suited for this library.
  - b. *Research, Scholarly, or Creative Activities*: The most appropriate professional activities listed in *FAM 652.1: Evaluation of Tenure-Line Faculty* may be indicated, and suggestions given on how best to engage in those activities to achieve professional accomplishments. Guidelines must avoid setting specific quantitative goals, since each evaluation committee must evaluate both quantitative and qualitative aspects of professional activities and achievements. Additionally, strict rank ordering of items shall be avoided, but clear identification of the most appropriate professional growth activities is encouraged.
  - c. *Service*. The most appropriate service activities listed in *FAM 652.1: Evaluation of*

Tenure-Line Faculty may be indicated.

2. Procedure for approval

The Library Dean is responsible for ensuring that the guidelines are developed, or amended, with the full participation of all tenured and tenure-track faculty in the library. Guidelines and any subsequent modifications must receive approval from a majority of the library faculty, and approval through the normal faculty senate process, prior to implementation. Faculty senate consideration shall be limited to determining whether or not the proposed guidelines fall within the general parameters of FAM 652.1: Evaluation of Tenure-Line Faculty.

3. Distribution of guidelines

The Library Evaluator is responsible for distributing copies of department guidelines each fall to faculty involved in the review process. For new faculty, the Library Evaluator shall both provide a written copy of the guidelines and meet with the individuals to discuss the content of guidelines.

## Approvals

Approved by the Faculty Senate on February 18, 2020

Approved by the President on March 24, 2020

## History

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