

1 **University of Kansas Libraries**
2 **Faculty Evaluation Plan**
3 **Approved by the Faculty by vote on December 17, 2009**
4

5 **Introduction**

6 The University of Kansas, like most other research universities in the United States, has
7 historically given greatest emphasis in the evaluation of Library Faculty to the quality of their
8 performance in librarianship. This continues to be the case at KU. The KU Libraries expect that the
9 expertise Library Faculty have developed through their professional performance and intellectual
10 curiosity both can and should be shared with the profession at large in the form of significant
11 service and an appropriate program of scholarship, both of which are subject to review by their
12 professional peers.

13 The *Promotion and Tenure Procedures for the Faculty of The University of Kansas Libraries*, last
14 approved by the Library Faculty Assembly in December 2016, outlines the promotion and tenure
15 standards for tenure-track and tenured Library Faculty and Unclassified Academic Staff (hereafter
16 referred to as "Library Faculty" or "Library Faculty member") in the areas of professional
17 performance, research/scholarly activities, and service. Library Faculty are evaluated annually
18 based on these standards, following the policies and procedures for evaluation and development
19 outlined in this Plan.

20 **Statement of Performance Expectations**

21 Expectations are similar for Library Faculty, although the Libraries recognize that the specific
22 contributions of Library Faculty to the Libraries' mission will differ depending on career stage and
23 rank. The supervisor's in-depth understanding of his/her supervisee's performance informs the
24 evaluation, particularly given the wide range of Library Faculty members' responsibilities and
25 unique work conditions.

26 **1. Unit expectations**

27 Library Faculty duties can be varied, and can change, due to the changing nature of the
28 environment in which they work. As information specialists, Library Faculty are involved in the
29 development and design of library resources, collections, and information systems; information
30 management and organization; instructional and research consultation and support services; and
31 administration and planning. The evaluation of a Library Faculty member's professional
32 performance usually replaces the evaluation of teaching effectiveness used for non-librarian
33 faculty. In some special cases, a Library Faculty member may teach a for-credit class and are
34 evaluated for their teaching effectiveness accordingly, either as part of their professional
35 performance (if the instruction is not part of their position description) or as part of their
36 teaching portfolio, if their position description includes for-credit instruction. While no single
37 definition or standard of excellence can adequately address all aspects of librarianship, effective
38 Library Faculty members need to demonstrate competence, currency, creativity, and initiative.
39 The quality of professional performance and competence in carrying out one's assigned
40 responsibilities are the focal points for evaluation of professional performance.

41 **Professional Performance in Librarianship**

42 Library Faculty hold 12-month appointments. The standard annual assignment for
43 professional performance typically comprises 70 to 90 percent of a Library Faculty member's
44 assignment. It is expected that Library Faculty will fulfill their professional duties at a high
45 level of effectiveness resulting in significant accomplishments.

46 The following examples illustrate effective professional performance:

47 Understands the needs of library users in a research university in the assigned areas of
48 responsibility and specialization. Within his/her level of professional knowledge and
49 understanding, each Library Faculty member reaches beyond their assignment to
50 participate in and contribute to discussion and decision-making on a broad and ever-
51 expanding range of library and related academic issues and, in some cases, beyond
52 traditional roles and initiatives in the fields of library and information science.

53 Keeps abreast of current developments in the field of library and information science and
54 applies this knowledge to identify and address the most complex issues which arise in
55 the Libraries. Monitors developments in related professional fields or academic
56 disciplines as appropriate.

57 Works consistently with a high degree of initiative and independence to apply the
58 intellectual bases of library and information science, in addition to other relevant
59 knowledge (e.g., in a discipline). Also works at a high degree of initiative and
60 independence to identify and resolve complex issues associated with the performance
61 of responsibilities as Library Faculty. Offers substantial, knowledgeable guidance to
62 colleagues to identify and resolve issues in related areas of specialization.

63 Makes sound decisions within the full range of responsibilities that make up the
64 assignment, within a broader understanding of the assignments of colleagues in related
65 areas of the library. Applies skills, knowledge and abilities to the broad range of
66 challenging issues that face the profession and produces results of predictably high
67 quality. Examples include accurate analysis of complex materials to build and provide
68 access to library and other information resources; successful interactions with users
69 resulting in the provision of high quality information services; demonstrated high
70 standards of evaluation of library and other information resources for acquisition or
71 retention; and information systems creation and management.

72 Operates with a high degree of success in a complex organization and makes significant
73 intellectual contributions to the enterprise. Cooperates with colleagues in developing
74 and maintaining the Libraries' collections, other information resources, and
75 bibliographic and similar systems that promote intellectual access to them.

76 **Research and Scholarly Activities**

77 Although Library Faculty hold 12-month appointments, they are expected to engage in
78 research/scholarly activities and to pursue a program of scholarship yielding high quality
79 results, including those subject to peer assessment. The standard annual assignment for
80 research/scholarly activities typically comprises 5 to 20 percent of a Library Faculty member's

81 assignment. The percentages may be adjusted beyond the typical ranges described below in
82 Section 3 upon final approval by the Dean. The wide range of Library Faculty assignments at
83 KU and the demands of 12-month appointments lead to variation in the type and amount of
84 scholarly or creative activities in which they engage. It is expected that the outcomes of these
85 activities will be disseminated and subject to critical peer evaluation. In this way, Library
86 Faculty will contribute to enhancing the profession of librarianship or a related area or a
87 specialized subject area in which they conduct research/scholarly activities.

88 **Service**

89 Library Faculty members make distinctive professional service contributions to the KU
90 Libraries, to the University of Kansas, and/or to librarianship and related fields. They also
91 assume leadership roles in service beyond that given to the KU Libraries. A strong service
92 profile is highly valued by Library Faculty; therefore, they are expected to demonstrate a
93 consistent record of service beyond their assigned library responsibilities, with contributions
94 to KU Libraries, to the University, and to professional organizations.

95 **Customary Differential Allocation of Effort**

96	Professional Performance	70 - 90%
97	Service	5 - 15% *
98	Research/scholarly activities	<u>5 - 20%</u> *
99	Total	100%

100 * Service and research/scholarly activities percentages may not ordinarily be less than 5% each and will
101 each generally total between 10% and 20% of the weighting of the performance evaluation.

102 **2. Standards for Acceptable Performance for Library Faculty**

103 The Libraries are committed to assisting all Library Faculty members to reach their full potential in
104 professional performance, research/scholarly activities, and service (see Faculty Development
105 Initiatives in Section 7). Statements in this section address expectations for Library Faculty.

106 **Minimum Standards for Professional Performance of Library Faculty**

107 The supervisor of a Library Faculty member is responsible for assessing the professional
108 performance of the Library Faculty member in accordance with procedures, standards, and
109 criteria developed by Library Faculty. Given the nature and diversity of Library Faculty
110 professional assignments, a specific list of professional performance standards is not possible;
111 neither is it possible to list specific examples of required documentation to support the standard
112 being met. Nonetheless, where appropriate, the Library Faculty member will provide
113 documentation.

114 Library Faculty professional responsibilities are individually differentiated and it is impossible to
115 enumerate all possible minimum standards of performance. However, broad demonstrations of
116 the following allow supervisors and administrators in the Libraries to mark accomplishments and
117 demonstrate that Library Faculty meet the minimum standards of professional performance. At
118 minimum Library Faculty will:

119 Demonstrate ongoing progress in understanding the needs of library users in a research

- 120 university in the assigned areas of responsibility and specialization.
- 121 Participate in and contribute to discussion and decision-making on a broad range of library
122 and related academic issues—beyond the assignment.
- 123 Show progress in keeping abreast of current developments in the field of library and
124 information science and apply this information in identifying and addressing the complex
125 issues that arise in the Libraries.
- 126 Monitor developments in related professional fields or academic disciplines as
127 appropriate.
- 128 Work consistently with initiative and independence to apply the intellectual bases of
129 library and information science, in addition to other relevant knowledge (e.g., in a
130 discipline), to the identification and resolution of complex issues associated with the
131 performance of the Library Faculty member’s responsibilities.
- 132 Offer guidance to colleagues to identify and resolve issues in related areas of
133 specialization.
- 134 Demonstrate the ability to make sound decisions within the full range of responsibilities
135 that make up the assignment, within a broader understanding of the assignments of
136 colleagues in related areas of the Libraries.
- 137 Apply skills, knowledge, and abilities to responsibilities that range from the traditional
138 services of acquiring, accessing, and preserving resources to broader emerging areas in
139 information literacy instruction and scholarly communications.

140 **Minimum Standards for Research/Scholarly Activities of Library Faculty**

141 Library Faculty are expected to engage in research/scholarly activities. The standard annual
142 assignment for research and scholarly activities typically comprises 5 to 20 percent of a Library
143 Faculty member’s assignment. The wide range of Library Faculty assignments at KU and the
144 demands of 12-month appointments lead to broad variations in the type and amount of
145 research/scholarly activities in which they engage. As previously stated in the Unit Expectations
146 section, Library Faculty are expected to pursue a program of scholarship yielding high quality
147 results, which include those works subject to peer assessment. In this way, Library Faculty will
148 contribute to enhancing the profession of librarianship or a related area or a specialized subject
149 area in which they conduct research/scholarly activities. All Library Faculty are expected to engage
150 in consistent and sustained research/scholarly activities.

151 **Minimum Standards for Service of Library Faculty**

152 It is a natural outgrowth of a Library Faculty member’s professional performance that s/he will
153 participate in service activities that contribute to KU Libraries, to the University of Kansas, or to
154 professional organizations at the local, regional, national, or international level.

155 Library Faculty service is evaluated on the basis of quality and is demonstrated by the level of
156 contribution and the significance or impact of the service. Contributions that require a substantial

157 effort and produce significant results will be rated more highly. The Library Faculty member's
158 service should reflect continued growth and leadership over time. Evidence of service may include,
159 but is not limited to, actively participating in library, university, state, regional, national, or
160 international professional committees and task forces; serving as the chair of a committee or task
161 force, or as an officer of a local, state, regional, national, or international professional organization;
162 providing consulting services to or planning programs or conferences for professional
163 organizations; mentoring new faculty or mentoring within the profession; or making presentations
164 to community groups or civic organizations.

165 3. Differential Allocation of Effort

166 Weighting of the three components (professional performance, service, and research/scholarly
167 activities) in the performance evaluations of Library Faculty will be determined individually by each
168 Library Faculty member in consultation with his/her supervisor and the library administration. The
169 percentages can be adjusted outside the typical ranges only upon final approval by the Dean. During
170 their evaluation review, every Library Faculty member discusses with his/her supervisor the
171 appropriate percentage (weighting) to be applied for the evaluation of professional performance,
172 service, and research/scholarly activities for the upcoming year. The weighting is done in keeping with
173 the Libraries' and individual's goals and the typical Library Faculty member weighting distribution.
174 Special circumstances are taken into account in allowing variation of the normal weights among the
175 components for post-tenure faculty. Should the weights of any of the three main components
176 (professional performance, service, and research/scholarly activities) vary beyond the ranges
177 suggested, the Dean's concurrence is required. In all cases, weighting and professional goals will be
178 documented in the *Faculty Annual Evaluation* with a statement of the extraordinary circumstances. In
179 any instance in which the faculty member and the supervisor cannot agree to the appropriate
180 weighting for the individual Library Faculty member, an appeal may be made to the Dean of Libraries
181 by either of the parties. The Dean's decision cannot be appealed except for reasons involving process
182 or discrimination. Variability of weighting across Library Faculty is achieved through the adjustable
183 scale applied to the professional performance, research/scholarly activities, and service components of
184 the evaluation, so that in any given year, recognition of special or unusual circumstances as well as
185 individual accomplishments, is accounted for.

186 If in the course of the evaluation year, factors beyond the Library Faculty member's control should
187 substantially affect the proportion of effort dedicated to professional performance, service, and
188 research/scholarly activities, s/he can reopen discussion of the weighting to be applied to that year's
189 evaluation. The use of an adjustable scale allows the library administration and the Library Faculty
190 member to recognize individual differences among Library Faculty, as well as variation in assignments
191 designed to meet the operational needs and goals of the Libraries. Typical ranges to recognize
192 variability are:

193	Professional Performance	70 - 90%
194	Service	5 - 15% *
195	Research/scholarly activities	<u>5 - 20%</u> *
196	Total	100%

197 * Service and research/scholarly activities percentages may not ordinarily be less than 5% each and will
198 each generally total between 10% and 20% of the weighting of the performance evaluation.

199 Annual Evaluation System

200 **1. Overview**

201 The evaluation process is determined by the members of the Library Faculty Assembly (LFA). Any
202 changes in the *Promotion and Tenure Procedures for the Faculty of the University of Kansas*
203 *Libraries* documents should be made prior to the calendar year in which they are to be applied. The
204 evaluation process begins with the completion of each Library Faculty member's assessment of their
205 accomplishments during the year under review, which is documented in the *Faculty Annual Review* in
206 three categories—professional performance, service, and research/ scholarly activities. Each Library
207 Faculty member must review the *Statement of Responsibility* in consultation with the supervisor, each
208 of whom shall maintain a copy of this statement. Attach a copy to the annual evaluation form when it
209 is sent to the Libraries' administrative office. Revise it as duties and responsibilities change.

210 **2. Portfolio or Annual Report Preparation**

211 The annual review process provides the opportunity for Library Faculty members to engage in a self-
212 assessment of professional performance, research/scholarly activities, and service. The assessment
213 also addresses goals written by Library Faculty members in consultation with their supervisor for the
214 evaluative year. The Library Faculty member also addresses to what extent those goals were
215 accomplished and proposes goals for the upcoming calendar year. The Library Faculty member
216 completes the *Faculty Annual Review* based on documented instructions and proposes the percentages
217 (see section *Differential Allocation of Effort*) that reflect the weight to be assigned during the next year
218 for each of the three performance areas—professional performance, service, and research / scholarly
219 activities. Library Faculty members are encouraged to attach any letters, reviews of their work, or other
220 supporting documentation that might assist in explaining the nature and quality of their work. When a
221 Library Faculty member's assignment includes instruction, s/he can include a variety of examples of
222 evaluative measures such as student and peer evaluations. All such documentation is returned to the
223 Library Faculty member by the supervisor prior to the Dean's review, unless the Library Faculty
224 member specifically requests that the documentation accompany the *Faculty Annual Review*
225 throughout the entire process. The *Faculty Annual Review* allows for inclusion of reports of activities
226 that extend beyond the evaluation period. Within the statement on professional performance, the
227 Library Faculty member is instructed to highlight the most important activities and accomplishments
228 for the past year, which might include progress on multi-year projects. The Library Faculty member
229 then submits the *Faculty Annual Review* documentation to the supervisor.

230 **3. Portfolio or Annual Report Review and Evaluation**

231 **Supervisor's Review (January through early March)**

232 The supervisor assesses the Library Faculty member's professional performance through the
233 observation of and familiarity with the individual's work and the documentation provided by the
234 Library Faculty member, along with any evaluative comments received from colleagues and/or
235 recipients of service.

236 In evaluating professional performance, the supervisor utilizes the *Promotion and Tenure*
237 *Procedures* and the *Criteria for Ranks*, which are available to all Library Faculty, along with the
238 *Faculty Annual Review* documentation and the criteria developed for each functional area.
239 Likewise, the supervisor reviews and assesses the service and research/scholarly activities
240 components of the Library Faculty member's *Faculty Annual Review*. A rating statement is made
241 separately for each area of evaluation.

242 In accordance with FSRR 6.5.1.2, the supervisor will consider the qualifications of tenured faculty
243 members below the rank of Librarian (highest rank, equivalent to Professor) with a view toward
244 possible promotion in rank in the future and, if appropriate, discuss the potential for initiating
245 promotion procedures with the Library Faculty member.

246 The evaluation process includes the opportunity for Library Faculty members to add comments to
247 the evaluation documentation as part of the official evaluation before the document is considered
248 at a higher administrative level, e.g., before the Dean reviews it.

249 Evaluative statements for each of the three areas (professional performance, research/scholarly
250 activities, and service) will be provided. An overall rating statement, described below, is assigned
251 by the supervisor to indicate how well the Library Faculty member met performance expectations.
252 The supervisor will meet with the Library Faculty member no later than March 1st to discuss the
253 evaluation and the Library Faculty member's future goals.

254 Evaluative statements for each of the three areas (professional performance, research/scholarly
255 activities, and service) will be provided and a rating will be assigned from among the following:

256 **Exceeds expectations** – Library Faculty member consistently exceeds goals and
257 expectations of his/her professional responsibilities,
258 research/scholarly activities, and service.

259 **Meets expectations** – Library Faculty member meets the goals and expectations of his/her
260 professional responsibilities, research/scholarly activities, and
261 service.

262 **Needs improvement** – Library Faculty member meets goals and expectations in some
263 areas of his/her professional responsibilities, research/scholarly
264 activities, and service, but needs improvement in specific areas as
265 identified.

266 An indication that expectations are not being met (i.e. "Needs improvement") in any given
267 year constitutes a signal to the Library Faculty member that quick and significant
268 improvement in one or more areas is expected. Indefinite performance at this level is not
269 acceptable and should be viewed as borderline, which warrants intervention by the
270 supervisor and the library administration to rectify deficiencies. Specific goals detailing areas
271 in need of improvement must be documented to facilitate a shared understanding of the
272 issues and the steps that will be taken.

273 **Unsatisfactory** – Library Faculty member consistently falls short of goals and expectations
274 in all three areas.
275 This rating initiates a process that could lead to dismissal.

276 **Dean's Review (Mid-March)**

277 The Dean reviews each Library Faculty member's *Faculty Annual Review* and evaluation summary,
278 provides appropriate comment (if any), and signs the form.

279 **Appeal Process (in the case of disagreement concerning the evaluation)**

280 Library Faculty members may appeal the library administration's professional performance,
281 service, and/or research/ scholarly activities evaluation by notifying the Libraries' Human Resource
282 Officer of an intention to do so within seven (7) calendar days of signing the Annual Review. The
283 Human Resources Officer will establish an ad hoc appeals committee as detailed in Section
284 C.2.b.2.e of the *Handbook for Faculty and Other Unclassified Staff*.

285 **4. Annual Evaluation Feedback Process**

286 Outcomes of discussions with the supervisor that must be documented include:

287 Any consequences connected with the Library Faculty member's rating in a particular category
288 (such as specific performance improvement goals)

289 Potential development opportunities for the Library Faculty member, especially in a case when a
290 rating in any area indicates a deficiency in that area

291 Ramifications of failure to improve any deficient areas

292 Goals and expectations for the Library Faculty member for the coming year

293 At this point, the *Statement of Responsibilities* is reviewed and revised as necessary. (Revised
294 *Statements of Responsibilities* are to be forwarded to the administrative office and copies should be
295 retained by the Library Faculty member and supervisor.) The Library Faculty member and supervisor
296 now meet to discuss the evaluation and sign the resulting documentation. (Provisions within that
297 documentation can be updated during the course of the following year if circumstances involving the
298 Library Faculty member change substantially so as to have an effect on one or more of those
299 documented items.) The supervisor is responsible for working with the supervisee to review the
300 balance of professional performance responsibilities with research/scholarly activities and service.

301 **Final Notification**

302 After the annual evaluation process is complete, the Library Faculty member receives notification
303 from the Dean of Libraries informing him/her of the final performance evaluation statement.
304 Subsequently, the Library Faculty member will receive a letter from the Dean of Libraries with the
305 salary for the upcoming fiscal year, and if merit salary funding is available, the distribution of merit
306 awards among LFSA members.

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308

309 **5. Post Tenure Review and Integration into the Annual Evaluation Process**

310 During the year of post tenure review, the Library Faculty member will submit their post tenure
311 review documents to the supervisor for annual evaluation purposes. The supervisor may require
312 additional supporting documentation and supplementary materials as agreed upon by the
313 supervisor and Library Faculty member.

314 **6. Outcomes of the Annual Performance Evaluation**

315 Outcomes of the annual performance review are varied with broad impacts on the goals of the
316 Libraries, as well as on individual professional development, but can provide:

317 Data contributing to salary determination

318 A review of the Library Faculty member's professional performance, service, and
319 research/scholarly goals and the relationship of those goals to the overall mission of the Libraries

320 Recognition of the accomplishments of Library Faculty member, which also has an impact on
321 promotion and tenure decisions

322 The opportunity to adjust allocation of effort among the individual's professional performance,
323 research / scholarly activities, and service components, balancing the individual's professional
324 goals with the institution's mission

325 The development of a written plan for improvement in the case of unacceptable performance

326 The opportunity to consider the need each Library Faculty member might have for renewal and
327 development

328 **7. Faculty Development Initiatives**

329 In addition to University-wide faculty development opportunities, the Libraries routinely provide
330 information about opportunities for sabbaticals, professional activities, continuing education, and the
331 chance to apply for funds to support research. The Committee for Research and Scholarly Activities of
332 the Library Faculty and Staff Assembly assists Library Faculty in developing and pursuing opportunities
333 to develop their research and other scholarly activities. Faculty might be able to shift responsibilities
334 through temporary or permanent assignments in other library units as appropriate for the individual's
335 professional goals and the institution's mission.

336 **Appendices**

337 **Appendix A: Promotion and Tenure Criteria and Procedures**

338 Criteria and procedures, including committee membership, should be consistent with *Faculty*
339 *Senate Rules and Regulations, Article VI* as approved by the Chancellor in September of 2007.

340 NOTE: Additional appendices, such as the required annual report format, can be included.

341 Revised December 17, 2009, by vote of the library faculty and approval of the Dean of Libraries.

342 Revised December 27, 2012, by vote of the library faculty and approval of the Dean of Libraries.

343 Revised November 5, 2017, by vote of the library faculty and approval of the Dean of Libraries.

344 Revised June 21, 2018, by vote of the library faculty and approval of the Dean of Libraries.