

1 **Faculty Evaluation Plan—passed by vote on December 17, 2009 2/15/2010 2:41 PM**

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3 **Introduction**

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

11 The *Discipline Expectations for Library Faculty at KU*, last approved by the Library Faculty and  
12 Professionals Assembly in June 2009, outlines the discipline expectations for Library faculty in the areas  
13 of professional performance, research/scholarly activities, and service. Librarians are evaluated annually  
14 based on those discipline expectations, following the policies and procedures for evaluation and  
15 development outlined in this Plan.

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18 **Statement of Performance Expectations**

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

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26 **\_\_\_\_\_ 1. Unit expectations:**

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28 Librarians' duties can be varied, and can change, due to the changing nature of the environment in  
29 which they work. As information specialists, Library faculty are involved in the development and design  
30 of library resources, collections, and information systems; information management and organization;  
31 instructional and research consultation and support services; and administration and planning. The  
32 evaluation of librarian professional performance usually replaces the evaluation of teaching  
33 effectiveness used for non-librarian faculty. In some special cases, librarians may teach a for-credit class  
34 and are 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 teaching  
36 portfolio if their position includes for-credit instruction. While no single definition or standard of  
37 excellence can adequately address all aspects of librarianship, effective librarians will need to  
38 demonstrate competence, currency in one's area, creativity, and initiative. The quality of professional  
39 performance and competence in carrying out one's assigned responsibilities are the focal points for  
40 evaluation of professional performance.

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43 **Professional Performance in Librarianship**

44 Librarians hold 12-month appointments. The standard annual assignment for professional performance  
45 typically comprises 80 to 90 percent of a librarian's assignment. It is expected that librarians will fulfill



91 Service  
92 Librarians make distinctive professional service contributions to the Libraries, to the University, and/or  
93 to librarianship and related fields. They assume leadership roles in service beyond the Libraries. A  
94 strong service profile is highly valued by Library faculty. Librarians are expected to demonstrate a  
95 consistent record of service beyond their assigned library responsibilities, with contributions to the  
96 Libraries, the University, and to professional organizations.

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99 Differential Allocation of Effort	
100 Professional Performance:	80-90%
101 Service:	5-15% *
102 Research/scholarly activities:	5-15% *
103 Total:	100%

104 \* Service and research/scholarly activities percentages may not ordinarily be less than 5% each, and will generally total between  
105 10% and 20% of the weighting of the performance evaluation.

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107 **2. Standards for Acceptable Performance for Tenured Library Faculty:**  
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109 The Libraries are committed to assisting all tenured Library faculty in reaching their full potential in  
110 professional performance, research/scholarly activities, and service (see Faculty Development Initiatives  
111 in Section VI). Statements in this section address expectations for tenured Library faculty.

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113 **Minimum Standards for Professional Performance of Tenured Library Faculty**  
114 The librarian’s supervisor is responsible for assessing the librarian’s professional performance in  
115 accordance with procedures, standards and criteria developed by the Library faculty. Given the nature  
116 and diversity of librarians’ professional assignments, a very specific list of professional performance  
117 standards is not possible; neither is it possible to list specific examples of required documentation to  
118 support the standard being met. Nonetheless, where appropriate, the librarian will provide  
119 documentation.

120 Library faculty professional responsibilities are individually differentiated and it is impossible to  
121 enumerate all possible minimum standards of performance. However, broad demonstrations of the  
122 following allow supervisors and administrators in the Libraries to mark accomplishments and  
123 demonstrate that Library faculty meet the minimum standards of professional performance. At  
124 minimum a tenured librarian will:

- 125 ■ Demonstrate ongoing progress in understanding the needs of library users in a research  
126 university in the assigned areas of responsibility and specialization.
- 127 ■ Participate in and contribute to discussion and decision-making on a broad range of library and  
128 related academic issues—beyond the assignment.

- 129       ▪ Show progress in keeping abreast of current developments in the field of library and information  
130       science, and apply this information in identifying and addressing the complex issues that arise in  
131       the Libraries. Monitor developments in related professional fields or academic disciplines as  
132       appropriate.
- 133       ▪ Work consistently with initiative and independence to apply the intellectual bases of library and  
134       information science, in addition to other relevant knowledge (e.g., in a discipline), to the  
135       identification and resolution of complex issues associated with the performance of  
136       responsibilities as a librarian. Offer guidance to colleagues to identify and resolve issues in  
137       related areas of specialization.
- 138       ▪ Demonstrate an ability to make sound decisions within the full range of responsibilities that  
139       make up the assignment, within a broader understanding of the assignments of colleagues in  
140       related areas of the Libraries. Apply skills, knowledge, and abilities to responsibilities that range  
141       from the traditional services of acquiring, accessing, and preserving resources to broader,  
142       emerging areas in information literacy instruction and scholarly communications.  
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#### 144               Minimum Standards for Research/Scholarly Activities of Tenured Library Faculty

145 Librarians are expected to engage in research/scholarly activities. The standard annual assignment for  
146 research and scholarly activities typically comprises 5 to 15 percent of a librarian’s assignment.

147 The wide range of librarians’ assignments at KU and the demands of 12-month appointments lead to  
148 variation in the type and amount of research/scholarly activities in which they engage. As previously  
149 stated in the Unit Expectations section, librarians are expected to pursue a program of scholarship  
150 yielding high quality results, which include those works subject to peer assessment. In this way, Library  
151 faculty will contribute to enhancing the profession of librarianship or a related area, or a specialized  
152 subject area, in which they conduct research/scholarly activities.

153 All tenured Library faculty are expected to engage in consistent and sustained research/scholarly  
154 activities.

#### 155                               Minimum Standards for Service of Tenured Library Faculty

156 It is a natural outgrowth of a librarian’s professional performance that she/he will participate in service  
157 activities, for the Libraries, university or professional organizations including local, regional, national or  
158 international.  
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160 Librarians’ service is evaluated on the basis of quality, and is demonstrated in the level of contributions,  
161 and significance or impact of the service. Contributions that require a substantial effort, and that  
162 produce significant results, will be rated more highly. The librarian’s service should reflect continued  
163 growth and leadership over time. Evidence of service may include, but is not limited to: active  
164 participation in library, university, state, regional, national, or international professional committees and  
165 task forces; service as a chair of a committee or task force, or as an officer of a local, state, regional,  
166 national, or international professional organization; consulting services, program or conference planning  
167 for professional organizations; mentorship of new faculty or within the profession; or presentations to  
168 community groups or civic organizations.  
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**\_\_\_\_\_ 3. Differential Allocation of Effort:**

Weighting of the three components (professional performance, service, and research/scholarly activities) in the performance evaluations of the Library faculty will be determined individually by each faculty member in consultation with his/her supervisor and the Library administration. The percentages may be adjusted outside the typical ranges only upon final approval by the Dean.

During the evaluation review, every librarian discusses with his/her supervisor the appropriate percentage (weighting) to be applied for the evaluation of professional performance, service, and research/scholarly activities for the upcoming year. The weighting is done in keeping with the Libraries' and individual's goals and the typical Library faculty weighting distribution. Special circumstances are taken into account in allowing variation of the normal weights among the components for post-tenure faculty. Should the weights of any of the three main components (professional performance, service, research/scholarly activities) vary beyond the ranges suggested, the Dean's concurrence is also required. In all cases, weighting and professional goals will be documented in the *Annual Evaluation* documents, with a statement of the reasons for any extraordinary circumstances. In any instance in which the faculty member and the supervisor cannot agree to the appropriate weighting for the individual faculty member, appeal may be made to the Dean of Libraries by either of the parties. The Dean's decision may not be appealed, except for reasons involving process or discrimination.

Variability of weighting across faculty is achieved through the adjustable scale applied to the professional performance, research/scholarly activities, and service components of the evaluation, so that in any given year recognition of special or unusual circumstances, as well as individual accomplishments, is accounted for. If in the course of the evaluation year, factors beyond the librarian's control should substantially affect the proportion of effort dedicated to professional performance, service and research/scholarly activities, he/she may reopen discussion of the weighting to be applied to the evaluation.

Use of an adjustable scale allows the Library administration and the Library faculty member to recognize individual differences among faculty as well as variation in assignments designed to meet the operational needs and goals of the Libraries. The following structure is observed:

Typical ranges to recognize variability are:

Professional Performance:	80-90%
Service:	5-15% *
Research/scholarly activities:	5-15% *
Total:	100%

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

209 **Annual Evaluation System**

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211 **\_\_\_\_\_ 1. Overview:**

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213 The evaluation process is determined by the Library Faculty and Professionals Assembly (LFPA)  
214 membership. Any changes in the *Discipline Expectations and Criteria* documents should be made prior to  
215 the calendar year in which they are to be applied.

216 The evaluation process begins with the completion of the librarian's assessment of accomplishments  
217 during the year under review, which is documented in the *Annual Review* in three categories:  
218 professional performance, service, and research/scholarly activities.

219 The librarian must review his/her *Statement of Responsibility* at this time in consultation with his/her  
220 supervisor. The librarian and the supervisor shall maintain a copy of this statement, also sending a copy  
221 to the Administrative Office. The statement must be revised as duties and responsibilities change.

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223 **\_\_\_\_\_ 2. Portfolio or Annual Report Preparation:**

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225 The annual review process provides the opportunity for Library faculty to engage in a self-assessment of  
226 professional performance, research/scholarly activities, and service. The assessment also addresses  
227 goals written by the librarian in consultation with his/her supervisor for the evaluative year. The  
228 librarian also addresses to what extent those goals were accomplished and proposes goals for the  
229 upcoming calendar year. The librarian completes the *Annual Review* based on documented instructions  
230 and proposes the percentages (see section *Differential Allocation of Effort*) that reflect the weight to be  
231 assigned during the next year for each of the three performance areas: professional performance,  
232 service, and research/scholarly activities.

233 Librarians are encouraged to attach any letters, reviews of their work, or other supporting  
234 documentation that might assist in explaining the nature and quality of their work. When a librarian's  
235 assignment includes instruction, he/she may include a variety of examples of evaluative measures, such  
236 as student and peer evaluations. All such documentation is returned to the librarian by the supervisor  
237 prior to the Dean's review, unless the librarian specifically requests that the documentation accompany  
238 the *Annual Review* throughout the entire process.

239 The *Annual Review* allows for inclusion of reports of activities that extend beyond the evaluation period.  
240 Within the statement on professional performance, the librarian is instructed to highlight the most  
241 important activities and accomplishments for the past year, which may include progress on multi-year  
242 projects. The librarian then submits the *Annual Review* documentation to the supervisor.

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244 **\_\_\_\_\_ 3. Portfolio or Annual Report Review and Evaluation:**

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

246 The supervisor assesses the librarian's professional performance through his/her observation of and  
247 familiarity with the individual's work and the documentation provided by the librarian, with any

248 evaluative comments received from colleagues and/or recipients of service. In evaluating professional  
249 performance, the supervisor utilizes the *Discipline Expectations and Criteria* distributed to all faculty  
250 along with the *Annual Review* documentation and the criteria developed for each functional area.  
251 Likewise, the supervisor reviews and assesses the service and research/scholarly activities components  
252 of the librarian's *Annual Review*. A rating statement is made separately for each area of evaluation.

253 In accordance with FSRR 6.5.1.2, the supervisor will consider the qualifications of tenured faculty  
254 members below the rank of full Librarian, with a view toward possible promotion in rank during the  
255 following academic year and, if appropriate, discuss the potential for initiating promotion procedures  
256 with the librarian.

257 The evaluation process includes the opportunity for librarians to add comments to the evaluation  
258 documentation as part of the official evaluation before the document is considered at a higher  
259 administrative level, e.g., before the Dean reviews it. Evaluative statements for each of the three areas  
260 (professional performance, research/scholarly activities and service) will be provided.

261 An overall rating statement, described below, is assigned by the supervisor to indicate how well the  
262 librarian meets performance expectations. The supervisor meets with the librarian no later than March  
263 1 to discuss the evaluation and the future goals.

264 Evaluative statements for each of the three areas (professional performance, research/scholarly  
265 activities, services) will be provided. Rating statements assigned may be:

266 **Exceptional** – librarian consistently exceeds goals and expectations of his/her professional  
267 responsibilities, research/scholarly activities, and service.

268 **Exceeds expectations** –librarian consistently meets goals and expectations of his/her  
269 professional responsibilities, research/scholarly activities, and service.

270 **Meets expectations** –librarian meets the goals and expectations of his/her professional  
271 responsibilities, research/scholarly activities, and service.

272 **Needs improvement** –librarian meets goals and expectations in some areas of his/her  
273 professional responsibilities, research/scholarly activities, and service, but needs improvement  
274 in specific areas as identified in the annual evaluation. An indication that expectations are not  
275 being met (i.e. “Needs improvement”) in any year constitutes a signal to the librarian that quick  
276 and significant improvement in professional performance is expected. Indefinite performance  
277 at this level is not acceptable and should be viewed as borderline performance which warrants  
278 intervention by the supervisor and the Library administration to rectify deficiencies in  
279 performance. Specific goals detailing areas in need of improvement must be documented to  
280 facilitate shared understanding of the issues and the steps to deal with them.

281 **Unsatisfactory—(sustained non-performance)**-- librarian consistently falls short of goals and  
282 expectations of his/her professional responsibilities, research/scholarly activities, and service.  
283 This rating initiates a process that could lead to dismissal.

284 Dean's Review (Mid-March)

285 The Dean reviews each librarian's *Annual Review* and evaluation summary, provides appropriate  
286 comment (if any), and signs the form.

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288 \_\_\_\_\_ **4. Annual Evaluation Feedback Process:**

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

- 291       ▪ Any consequences connected with the librarian's rating in a particular category (such as  
292       specific performance improvement goals);
  - 293       ▪ Potential development opportunities for the librarian, especially in a case when a rating in  
294       any area indicates a deficiency in that area;
  - 295       ▪ Ramifications of failure to improve any deficient areas;
  - 296       ▪ Goals and expectations for that librarian for the coming year.
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298 At that point, the *Statement of Percentages* form for the next year is completed, and the *Statement of*  
299 *Responsibilities* is reviewed and revised as necessary. (Revised *Statements of Responsibilities* are  
300 forwarded to the administrative office, and copies are retained by the librarian and supervisor.) The  
301 librarian and supervisor must meet to discuss the evaluation and sign the resulting documentation.  
302 Provisions within that documentation may be updated during the course of the following year if  
303 circumstances involving the librarian change substantially so as to have an effect on one or more of  
304 those documented items. The supervisor is responsible for working with the supervisee to review the  
305 balance of professional performance responsibilities, research/scholarly activities, and service.

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307 Final notification

308 After the process is complete, the librarian receives notification from the Dean of Libraries informing  
309 him/her of the final performance evaluation statement. Subsequently the librarian will receive a letter  
310 from the Dean of Libraries with the associated merit level salary for the upcoming fiscal year, and the  
311 distribution of merit awards among LFPA members.

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313 \_\_\_\_\_ **5. Conflict Resolution/Review Process (in the case of disagreement concerning the**  
314 **evaluation):**

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316 A librarian may appeal the Library administration's professional performance, service, and/or  
317 research/scholarly activities evaluation by notifying the Libraries' Human Resource Officer of an intention to  
318 do so within seven (7) calendar days of signing the *Annual Review*.

319 The Human Resources Officer establishes an ad hoc appeals committee as detailed in Section C.2.b.2.e of  
320 the *Handbook for Faculty and Other Unclassified Staff*. The Appeals Committee is composed of:

- 321       a) a librarian selected by the appellant;
- 322       b) a librarian selected by the supervisor;

- 323 c) the Vice Chair of the Library Faculty and Professionals Assembly, who chairs the appeals  
324 committee. If the Vice Chair must be disqualified due to conflict of interest (her or his  
325 supervisory, domestic, or other relationship to the appellant and/or supervisor), the LFPA  
326 Executive committee shall select another person from among its membership;  
327 d) the Human Resources Officer (ex officio).  
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329 The appellant and the supervisor may provide information to the Appeals Committee, either by supplying  
330 written comments or by appearing before the Committee.

331 The Appeals Committee considers the appeal and notifies the librarian and the supervisor of its  
332 recommendation. The Appeals Committee returns the file to the Human Resources Officer.

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334 **\_\_\_\_\_ 6. Outcomes of the Annual Performance Evaluation**  
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336 Outcomes of the annual performance are varied with broad impacts on the goals of the Libraries as well  
337 as individual professional development. The outcomes provide:

- 338 ▪ any data contributing to salary determination;
- 339 ▪ the review of the librarian's professional performance, service, and research/scholarly goals  
340 and the relationship of those goals to the overall mission of the Libraries;
- 341 ▪ the recognition of the accomplishment of librarians. This recognition also has an impact on  
342 promotion and tenure decisions;
- 343 ▪ the opportunity to adjust allocation of effort among the professional performance,  
344 research/scholarly activities, and service components, balancing the individual's  
345 professional goals and the institution's mission;
- 346 ▪ the development of a written plan for improvement in the case of unacceptable  
347 performance.
- 348 ▪ The evaluation process gives librarians and their evaluators the opportunity to consider the  
349 need for renewal and development.

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351 **Faculty Development Initiatives**

352 In addition to University-wide faculty development opportunities, the Libraries routinely provide  
353 information on opportunities for sabbaticals, professional activities, continuing education, and research  
354 funds. A Committee on Research and Scholarly Activity assists librarians in developing and pursuing  
355 scholarly activities. Faculty may be able to shift responsibilities through temporary or permanent  
356 assignments in other library departments as appropriate for the individual's professional goals and the  
357 institution's mission.

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359 **Appendices**  
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362 **\_\_\_\_\_ Appendix A-- Promotion and tenure criteria and procedures**

363 Criteria and procedures, including committee membership, should be consistent with *Faculty Senate*  
364 *Rules and Regulations, Article VI* as approved by the Chancellor in September, 2007.  
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366 \_\_\_\_\_ **Appendix B:** University of Kansas Libraries Committee on Promotion and Tenure  
367 Promotion, *Tenure and Sabbatical Leave Handbook*, including University of Kansas Libraries' *Criteria for*  
368 *Academic Ranks of Librarians* (not included at this time)

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371 NOTE: Additional appendices such as the required annual report format may be included.

372 Revised December 17<sup>th</sup>, 2009 by vote of Library faculty and approval of Dean of Libraries.