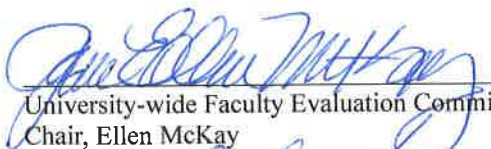# Consortium Library

# *Faculty Evaluation Criteria and Guidelines*

# University of Alaska Anchorage

University-wide Faculty Evaluation Committee
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Dated 20 APR 12

Academic Affairs, Provost
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<u>INTRODUCTION</u>

The Library faculty of the University of Alaska Anchorage have established these criteria and guidelines as a basis for the evaluation of its tenure-track faculty for retention, promotion, tenure, and post-tenure reviews.  The criteria and guidelines were established to provide a fair and equitable means to govern the Library promotion and tenure process.  The review procedures were developed with the basic assumption of trust that all eligible faculty will be tenured and promoted when requirements for such advancement have been satisfied.

This document meets the goals and standards of the profession, as well as general University of Alaska regulations.  The criteria and guidelines for retention, promotion, tenure, and post-tenure review of Library faculty follow the guidelines stated in:

- Current United Academics and University of Alaska Federation of Teachers collective bargaining agreements and any applicable memorandums of agreement

- Current UA Board of Regents' policy on faculty appointment, review, promotion, tenure, and sabbatical leave

- Current UAA Policies and Procedures Relating to Appointment, Review, Promotion, and Tenure

The *Library Faculty Evaluation Criteria and Guidelines* is to be used in conjunction with the above policies and contract provisions; in the event of conflicts, the policies and contract provisions will prevail in the order above.

For library faculty, external reviewers are professionals who can evaluate the candidate's teaching/librarianship, research/creative activities, or service.  An external reviewer, for example, may be but is not limited to a librarian, archivist, or healthcare professional from an academic or nonacademic institution or from a different UA campus.


I.     TERMINAL DEGREE STATEMENT

Librarianship is defined in this document as including the work of both librarians and archivists.  The terminal degree for librarians is a Master's Degree in Library Science from an American Library Association-accredited school of Library Science as specified in the American Library Association standards for college libraries or equivalent standard.

The terminal degree for archivists is a Master's Degree in History, Library Science, or Archival Studies or equivalent, which includes graduate-level education.


II.     QUALITATIVE PERFORMANCE STANDARDS

A.  Teaching/Librarianship

The Library and its faculty are central to the teaching and research mission of the University.  In evaluating Library faculty, teaching/librarianship encompasses the basic work responsibilities of a

librarian or archivist. These responsibilities include the development and use of collections, as well as the operation of the Library. In fulfillment of these responsibilities, Library faculty contribute to the development of a resource and research Library at UAA. The Library faculty further the instructional mission of the Library in a variety of ways, according to a faculty member's specific workload agreement. These include but are not limited to:

- Selecting and acquiring collections and resources to support the University's curriculum and research

- Cataloging and classifying materials

- Identifying, selecting, and applying technologies for information retrieval; and creating bibliographies, websites, and other research tools

- Encouraging and facilitating cooperation between library and departmental faculty to improve and enrich teaching, research, and cultural pursuits

- Consulting with students, faculty, and other library users to help them determine appropriate tools and direction for individual library research needs

- Overseeing Library operations

- Creating and maintaining specialized systems that support the organization and retrieval of information in the library environment

- Promoting the Library and its resources

- Providing group instruction through credit courses, workshops, and seminars; developing curriculum materials; and providing instruction through course-integrated sessions, Library orientations, tutorials, and websites

- Providing reference service and individual instruction by teaching Library users to find and evaluate information

- Assessing library collections, facilities, and/or services

- Promoting cultural and recreational reading


B. Research/Creative Activity

Library faculty members on tripartite contracts conduct research and are involved in creative activities of many types; such activities may be in Library Science or Archival Management, as well as in other academic subjects. Research may consist of collaborative or individual work and may occur in print as well as online format. Some research is expected to result in publication by an independent publisher of appropriate scholarly quality.

The fulfillment of the research/creative activity component may include but is not limited to:

- Writing, editing, or compiling books or book chapters, case studies, journal articles, bibliographies, guides, handbooks, reviews of published works, or indexes

- Publishing in peer-reviewed publications or in publications having a high-impact readership, for example, essays in *Choice, Library Journal, Archival Outlook, CRL News,* etc.

- Publishing in emerging media formats of appropriate academic quality, for example, blogs, digital spaces, etc.

- Editing scholarly or professional publications, including journals, newsletters, or electronic media

- Fulfilling a major editorial role for scholarly or professional publications, for example, being on an editorial board or committee

- Authoring grant proposals, or supervising and/or participating in externally funded research projects that relate to the faculty member's research or creative activity

- Receiving grant awards, fellowships, or contracts that support the faculty member's research or creative activity

- Preparing and/or presenting exhibits or poster sessions for conferences

- Presenting papers, giving workshops, or participating on panels that relate to the faculty member's research or creative activity

- Developing creative projects that benefit the profession or academic field

## C. Service

The service requirement for Library faculty includes participation in all of the following categories. Service by category may vary from year to year, but faculty are expected to contribute in every category at some point during a review period. Extensive service in one or two categories may offset limited participation in another area(s). The examples below are representative and not exhaustive.

Service to the University includes all activities that help achieve the mission of the Library or University, such as:

- Serving on University, college, school, Library, or departmental committees

- Participating in faculty governance, union activities, task forces, or special projects

- Serving as a representative of the University or Library

Service to the Profession includes all professional activities contributing to the development or advancement of librarianship or archival management, such as:

- Participating in professional organizations

- Serving as an officer of a professional organization

- Maintaining active memberships in professional organizations

- Organizing and/or chairing conferences, symposia, seminars, or workshops

- Serving on an editorial committee or a grant or accreditation review board

- Managing the online presence of a professional organization

- Presenting at, or serving as chair or member of a panel for, a professional conference

- Contributing to technical projects, including those created in conjunction with other libraries or related institutions (e.g., museums)

- Serving as an outside reviewer or copy editor of manuscripts for professional publications

Service to the Community includes all activities in which the candidate's professional, academic, or leadership competence is made available beyond the University but not to professional associations, such as:

- Serving on private, government, or public committees

- Serving as an editor or on editorial committees for publications outside one's profession

- Providing teaching/librarianship and professional services beyond the University

- Providing consulting services beyond the University

## III.     EVALUATION

By May 15 each year, the Library faculty will elect by simple majority a Library Peer Review Committee whose charge is to evaluate the work and contributions of candidates under consideration for retention, tenure, promotion, post-tenure, and any necessary periodic reviews.

The Committee will be composed of five tenured Library faculty and one alternate, excluding the Library deans.  When promotion is under consideration, the Committee will consist of Library faculty who are at or above the rank to which the candidate aspires.  If this is not possible, the Committee will notify the Dean and the Provost to determine appropriate action.  If a regular member finds it impossible to review one or more files, the alternate member will take the regular member's place in reviewing the file(s) in question.  Otherwise, the alternate member will only participate in the Committee's administrative meetings.

Should any candidate have concerns about the composition of the elected Committee, these concerns should be addressed in writing to the Dean and the Provost within five working days from the announcement of the election results.

The Committee will choose a chair and notify the candidates who are under review of its meeting schedule. The meetings will be held in accordance with University policy and collective bargaining agreements. During the review process, only the candidate and reviewers shall have access to information contained in the candidate's file.

The Committee will examine and discuss the candidate's file in the context of the candidate's bipartite (teaching/librarianship and service) or tripartite (teaching/librarianship, research/creative activity, and service) workload. The candidate's contributions to the University will be evaluated according to Section II: Qualitative Performance Standards as evidenced in the candidate's file. For a definition and examples of leadership within the context of workload activities, see Appendix A. It is the candidate's responsibility to document his/her contributions in the file.

The Committee will evaluate a candidate's performance as:

- Outstanding at this Rank (special consideration, see section V. D. Promotion, paragraph 2)

- Exemplary at this Rank (reserved for those applying for promotion to Professor)

- Successful at this Rank

- Showing Potential for Success at this Rank (reserved for those applying for retention)

- Less than Expected at this Rank

## IV.    PEER REVIEW COMMITTEE PROCEDURES

### A.  Consideration

Reviewers will respect the candidate's right to privacy by treating the contents of the evaluation file and the deliberations of review committees as privileged information to be held in confidence. The review is restricted to material in the candidate's file, evaluations by reviewers in this process, and the candidate's written responses.

The candidate's file is considered closed as of the date of submission and no material may be added to the file, with three exceptions:

1.  Prior to submitting the file, a candidate may insert placeholders for expected documents. For example, if letters of support have not arrived by the file's date of submission, a placeholder would be inserted for each letter. The placeholder should be inserted into the front pocket of the file, should state from whom the document(s) are expected (name, affiliation, contact information), and should give the date the document(s) were requested.

2.  If information of high relevance to the evaluation recommendation becomes known to the Committee during the review process, it can be considered if the Committee documents it in

the candidate's file. If this should occur, the candidate will be notified and given an opportunity to make a written response within five working days, which also will be added to the file.

3. Upon receipt of the written evaluation, at each stage of the review process, the candidate may respond within five working days. The candidate's written response may include supporting documentation.

All such material will become part of the candidate's file. Any supporting documents will be attached either to the evaluation or to the candidate's response, as appropriate, and entered in front of the file in the section reserved for review and rebuttal. A candidate's response is always directed to the next higher level of review.

## B. Action

After appropriate deliberation, each member of the Committee will vote by ballot (e.g., successful) for each of the candidate's performance areas (teaching/librarianship, research/creative activity, service). A tally will be made for each performance area. The outcome is determined by simple majority. A Committee member may request that another vote be taken, following the same procedures as in the first vote. Each subsequent vote supersedes the prior vote, and prior ballots are to be destroyed. The final ballots will be kept for one year and then destroyed by the chair of the Committee.

The Committee will compose an evaluation which explains its recommendation and gives its rating (e.g., successful at this rank) for each performance area. The evaluation will include a final recommendation (retain, tenure, promote, or not). The evaluation must clearly indicate what the candidate must do to attain tenure and/or reach the next highest rating or rank. Significant contributions of the candidate will be noted as will areas for possible improvement.

The review must be approved by the entire Committee. Copies of the review will be kept on file in the Library Dean's Office and sent to the Office of Academic Affairs.

## V. REVIEW

### A. Retention

Non-tenured United Academics faculty undergo retention review by the Library Dean or his/her designee annually, with a required comprehensive review in the fourth year. Non-tenured faculty represented by the University of Alaska Federation of Teachers undergo retention review annually.

For all ranks, reviewers recommend for or against retention based on the workload agreement and promotion criteria for the candidate's current rank. A recommendation for retention does not necessarily imply satisfactory progress toward tenure and promotion, but reviewers shall comment specifically on these matters. All retention reviews will consider the candidate's performance from the time of initial appointment or last promotion, whichever applies.

B.  Tenure

Non-tenured faculty will be subject to tenure review as specified in his/her letter of appointment, and in accordance with current policies and collective bargaining agreements.  To achieve tenure, the candidate must be considered *successful* at his/her current rank.  Assistant Professors applying for tenure concurrently apply for promotion to the rank of Associate Professor.

The primary purpose of tenure is to assure the academic community of an environment that will nurture academic freedom by providing employment security to faculty members, as well as faculty continuity to the University.  Tenure gives the faculty member freedom to teach, conduct research, or engage in community service, but it does not release him/her from responsibility to maintain high standards of professional performance and conduct.

The awarding of tenure is a serious decision affecting both the individual faculty member and the University.  Tenure is a privilege, not a right, and the standards demanded in achieving it are rigorous.  "Adequate" or "competent" performance alone is not a sufficient basis for awarding tenure.  Reviewers will consider not only the individual's continuing successful performance and record of leadership but also his/her contributions to the goals of the University as identified in its mission statement.  The candidate must document past contributions and show potential for the future.

C.  Post-Tenure

Tenured faculty will be subject to post-tenure review in accordance with current policies and collective bargaining agreements.  There should be a record of continuing success, contributions, and leadership indicating that the candidate continues to meet promotion criteria appropriate to his/her current rank during the period since the candidate's last review.

D.  Promotion

Promotion recommendations for eligible faculty members will be based on criteria given in this document.  The review period is the time since initial appointment or the candidate's last promotion, whichever is most recent.

Collective bargaining agreements and any memorandums of agreement should be consulted for the most current time-in-rank requirements, if any.  The Faculty Handbook, Chapter III, requires that for promotion "exceptions to minimum time in rank…must be fully justified through all review levels [and that] the basis for exception shall be outstanding academic performance."  The Library Guidelines define "outstanding" as exceptional and distinguished performance that stands out as superior; it is performance that goes beyond normal expectations for promotion to the rank to which the candidate is aspiring, e.g., exceeding "successful" for associate professor and exceeding "exemplary" for professor. The candidate must demonstrate in the file that his or her performance meets the criteria of "outstanding" if applicable. Whether or not a candidate does meet the criteria of "outstanding" is up to the collective academic judgment of the reviewers.

The range and quality of leadership accomplishments are expected to progress over time (see Appendix A).  The candidate must demonstrate through the promotion file that each component (teaching/librarianship, research/creative activity, service) of his/her workload meets the applicable

requirement.  If so, the recommendation shall be to promote.  If the recommendation is against promotion, the reviewers shall objectively state how the candidate fails to meet the applicable requirements+.

<u>Bipartite Assignment</u>

Assistant Professor:

1.      Terminal degree in Library Science, Archival Management, or related appropriate field or discipline

2.      Potential for *successful* college-level teaching / librarianship and service:

   a.      Teaching/Librarianship:  Successful performance of those responsibilities listed and described in Section IIA.

   b.      Service:  Service to the University, profession, and community through memberships or committee work showing a willingness to contribute.

Associate Professor:

1.      Terminal degree in Library Science, Archival Management, or related appropriate field or discipline

2.      Documented evidence of *successful* college-level teaching/librarianship and service:

   a.      Teaching/Librarianship:  Performance should exceed that of the previous rank. There should be a record of sustained growth and an increasing development of leadership or innovation contributing to the mission of the Library.

   b.      Service:  Performance should exceed that of the previous rank.  There should be continuing service to the University, the profession, and the community through active participation, committee work, and holding of office.  Service should include a demonstrated ability to provide leadership and/or to contribute effectively to the work of the respective service group or committee.

Professor:

1.      Terminal degree in Library Science, Archival Management, or related appropriate field or discipline

2.      Documented evidence of *exemplary* teaching/librarianship and service:

   a.      Teaching/Librarianship:  Performance should exceed that of the previous rank. There should be a record of sustained excellence in those activities listed in Section IIA.  There should be solid evidence of sustained leadership and innovation in contributing to the mission of the Library and the University.

   b.      Service:  Performance should exceed that of the previous rank. There should be continuing service to the University, the profession, and the community through active participation, committee work, and holding of office.  Service should

include sustained, demonstrated, and effective leadership in the University community and beyond as listed in Section IIC.

Tripartite Assignment

Assistant Professor:

1.  Terminal degree in Library Science, Archival Management, or related appropriate field or discipline

2.  Potential for *successful* college-level teaching/librarianship, research/creative activity, and service:

    a.  Teaching/Librarianship:  Successful performance of those responsibilities listed and described in Section IIA.

    b.  Research/Creative Activity:  Demonstrated contribution(s) to Library Science, Archival Management, or other academic fields (see Section IIB).

    c.  Service:  Service to the University, profession, and community through memberships or committee work showing a willingness to contribute.

Associate Professor:

1.  Terminal degree in Library Science, Archival Management, or related appropriate field or discipline

2.  Demonstrated evidence of *successful* performance in the following categories:

    a.  Teaching/Librarianship:  Performance should exceed that of the previous rank. There should be a record of sustained growth and an increasing development of leadership or innovation contributing to the mission of the Library.

    b.  Research/Creative Activity:  Performance should exceed that of the previous rank.  There should be demonstrated commitment shown by a continuing record of activities as described in Section IIB.

    c.  Service:  Performance should exceed that of the previous rank.  There should be continuing service to the University, the profession, and community through active participation, committee work, and holding of office.  Service should include a demonstrated ability to provide leadership and/or to contribute effectively to the work of the respective service group or committee.

Professor:

1.  Terminal degree in Library Science, Archival Management, or related appropriate field or discipline

2. Demonstrated evidence of *exemplary* performance in the following categories:

    a. Teaching/Librarianship: Performance should exceed that of the previous rank. There should be a record of sustained excellence in those activities listed in Section IIA. There should be solid evidence of sustained leadership and innovation in contributing to the mission of the Library and the University.

    b. Research/Creative Activity: Performance should exceed that of the previous rank. There should be a sustained record of research/creative activity as described in Section IIB. It should include works of original research, original conceptualization, unique design, and/or extensive works involving the diffusion of knowledge or information.

    c. Service: Performance should exceed that of the previous rank. There should be continuing service to the University, the profession, and the community through active participation, committee work, and holding of office. Service should include sustained, demonstrated, and effective leadership in the University community and beyond as listed in Section IIC.

APPENDIX A: Leadership


Candidates for promotion in rank are expected to demonstrate leadership in the areas of teaching/librarianship, research/creative activity (for those in tripartite assignments), and service. While there are many definitions of leadership, its essence is about setting agendas, identifying problems, and initiating change that make for substantive improvements in the organization. The scope and quality of leadership accomplishments are expected to progress over time

Fulfillment of leadership for Library faculty may be via *formal* means (e.g., chairing committees or other groups; editing scholarly publications; serving as a principal investigator on a grant) or via *informal* means, where an individual does not hold power or formal authority, but still influences or leads others based on the ability of that person to evoke respect, confidence, and trust through outstanding teaching/librarianship, service, and/or scholarly pursuits.


Teaching/Librarianship

Accomplishments may include but are not limited to the following examples listed in no particular order.

- Demonstrates leadership in course and curriculum development; in designing, developing, and/or evaluating materials which enhance the teaching process

- Demonstrates leadership by designing, developing, and/or teaching or facilitating credit/non-credit workshops, seminars, and/or short courses

- Receives recognition and honors for teaching/librarianship excellence; receives significant fellowship(s)

- Contributes regionally, nationally, or internationally to the body of knowledge related to librarianship

- Is widely recognized by reputation for expertise in his/her specialized area of librarianship (e.g., reference, archives, collection development, etc.) by colleagues both within the Library and beyond

- Serves as an evaluator, consultant, or visiting lecturer


Research/Creative Activity

Accomplishments may include but are not limited to the following examples listed in no particular order.

- Publishes or edits works of significance, including monographs or articles in peer-reviewed publications

- Edits scholarly or professional publications, including journals, newsletters, or electronic media

- Fulfills a major editorial role for scholarly or professional publications, for example, is on an editorial board or committee

- Authors or serves as principal investigator for grant proposals or externally funded research projects

- Is invited to speak or present at state, regional, national, or international conferences

- Serves as an evaluator, consultant, or visiting lecturer in areas related to research or creative activity

- Receives recognition and honors for research contributions; receives research fellowship(s)

- Writes or edits unpublished papers of significance (project reports, position papers, etc.) that are widely disseminated

- Is widely recognized or cited by colleagues both within and external to the Library for expertise or contributions to the field

## Service

Accomplishments may include but are not limited to the following examples listed in no particular order.

- Represents the Library/University at state, regional, national, or international meetings

- Chairs or provides a leadership role on a Library or University committee

- Chairs and/or serves on special review groups, task forces, and policy-making bodies

- Is a recognized leader in state, regional, national, or international organization(s)

- Serves as a consultant to colleagues in area of expertise at state, regional, national, or international level

- Takes an active role in mentoring newer faculty members

A Library committee composed of Tohsook Chang, William Siemens Jr., and Dennis Walle drafted this document, which was approved by the Library faculty in 1981.  In 1985, a committee composed of Catherine Innes-Taylor, William Siemens Jr., and Dennis Walle made further revisions.

In January 1989, the Library Director charged three subcommittees chaired by Ronald Lautaret, William Siemens Jr., and Dennis Walle to rewrite the *Library Peer Review Criteria* in light of new UA and UAA policies and procedures relating to review, promotion, and tenure.

In 1999, a committee composed of Julianna Braund-Allen, Susan Elliott, Leza Madsen, Kathleen Murray, and Dennis Walle began additional revisions.  The Library faculty approved these revisions in January 2001.

Modifications have also been approved since then, notably in 2002, 2004, and 2007.  Significant revisions were made in 2010 by the committee consisting of Julianna Braund-Allen, chair; Daria O. Carle; Christina Carter; Judith Green; and Kathleen Murray.  Additional changes to this document were proposed in 2012 by the committee consisting of Julianna Braund-Allen, chair; Daria O. Carle; Christina Carter; Judith Green; Jodee Kawasaki; and Ralph Courtney.