

GUIDELINES FOR APPOINTMENT, PROMOTION, TENURE AND PERFORMANCE EVALUATION OF LIBRARY FACULTY

As outlined in sections 3 – 5 of the *Faculty Handbook*, the following processes and procedures will guide the evaluation of faculty in the Department of Library Science:

- (1) A developmental or mentoring program
- (2) a regular performance review by the Performance Evaluation Committee and department head
- (3) for untenured, ranked faculty, review of application for annual appointment
- (4) an assessment of tenure progress during the probationary period
- (5) review of application for tenure,
- (6) review of application for promotion

DEVELOPMENTAL AND EVALUATIVE PROCESSES IN THE DEPARTMENT OF LIBRARY SCIENCE

Mentoring.

The development and growth of a probationary LIS faculty member is supported and guided in three ways. The most fundamental of these is individual faculty effort. The basic responsibility for fulfilling one's faculty role lies with each faculty member. Two, each faculty member's department head or direct supervisor in the Library system contributes to the development of the faculty member, particularly in his/her day-to-day work and in one's integration into daily library operations. In addition, it is the responsibility of the LIS faculty as a group to contribute to the development and success of individual colleagues. This collective responsibility, in part, is delegated to an individual who will act as a mentor or advisor to an individual faculty member.

Mentoring for LIS Faculty is divided into tiered segments.

First tier. The first tier addresses initial short-term orientation of new faculty. Each new probationary faculty member is assigned a mentor for six months. During this time the mentor works with and serves as a resource to the faculty member to help him/her adjust to Library responsibilities and to facilitate integration into the LIS department and the broader University community.

Second Tier. After six months the APT/Personnel Committee(s) will, in consultation with and using input from the probationary faculty member, assign an individual mentor from the tenured, senior faculty to facilitate the development of the probationary faculty member toward tenure and potential promotion. The mentor may be the same individual who worked initially with the probationary faculty member or another member of the department. The mentor will meet regularly with the faculty member to discuss progress

in all three of the evaluative areas, but particularly in research and service, and will also serve as a sounding board for other issues and questions. Given the significance of assessment both within the faculty structure and within the compensation system, the mentor will play a key role in advising the probationary faculty member as he/she prepares for annual evaluation, third-year review, and tenure evaluation.

In addition to the guidance from a formal supervisor and a faculty mentor, it is assumed that the probationary faculty member will also develop a number of informal ties to any number of LIS faculty from whom he/she will also gain further understanding and informal guidance in development as a faculty member. In fact, this process is one indication of a successful acculturation into the Department of library Science.

The mentoring program is under the direction of the APT/Personnel Committee(s). The Committee will consult with mentors and annually report to the Department Head/Dean regarding the mentoring program.

Regular Performance Review

Sections 3 – 5 of the Faculty Handbook (3- Academic Personnel Policies; 4- Faculty Evaluation; 5 – Salary Policies) outline the process for regular performance review for every faculty member. During the annual planning period, each Library department head will confer with each faculty member in the department to articulate appropriate goals and objectives for the coming year, particularly as they relate to or would affect the library service functions of that department. In addition, they will develop the weighted percentages in Librarianship, Research, and Service that will be applied in the next evaluation. Upon agreement, the faculty plan will be forwarded to the Dean of Library Services/Library Science Department Head (Dean), who will then either recommend modifications or approve the individual faculty plan. If necessary, the functional department head, Dean, and Faculty member will meet to articulate the individual faculty plan.

The finalized faculty plan and the Dean's written assessment of the plan will be forwarded to the Appointment Promotion & Tenure Committee (APT) and to the Performance Evaluation Committee to utilize during the evaluation cycle in concert with other documentation the Committees receive. If the faculty member reports directly to the Dean, the articulation of goals and objectives for the coming year will be discussed directly with the Dean and the subsequent steps noted above will also apply. As a part of the subsequent annual evaluation, the Dean will also meet with each faculty member to assess the previous year's work.

Appointment, Promotion and Tenure Evaluation

The policies ultimately governing appointment, promotion and tenure of all Missouri State University faculty are those stated in the latest edition of the *Faculty Handbook*. Library Science faculty will be evaluated for tenure under the departmental guidelines

that are in effect at the time of initial employment. Evaluation for promotion will follow the departmental guidelines in effect during the year in which promotion is sought.

Criteria for Evaluation

Librarianship is a field in which a variety of skills and talents are valued. Evaluation for purposes of appointment, promotion, tenure, or annual performance shall necessarily include consideration of the unique requirements of each position. The quality of library operations is governed by distinctive professional performance in each of the various areas of responsibility. It is the intent of the tenure and promotion system to foster the professional development of the faculty member. Faculty are encouraged to develop and grow as scholars, and participate in professional activities. The relative emphases on Librarianship, Research, and Service are established individually for each faculty member under review on an annual basis.

Advancement in rank is not automatic upon cumulation of years of experience, but is based on appraisal of the performance of the applicant. The following criteria are guidelines which are used to measure the individual's ability and contributions as he/she progresses toward advanced rank and/or tenure, and as he/she is evaluated for compensation. These criteria are not of equal significance, and the degree of importance given to any one of them may vary from one candidate to another. It should not be construed that all criteria must be met in order to advance in rank or secure appointment. Although talents, inclinations, and specialties of individuals may vary, excellent librarianship is an essential criterion which must be met for any appointment or promotion.

Professionalism and Collegiality.

The Libraries wish to foster an environment in which diverse opinions, diverse personalities, and diverse cultural preferences can be expressed freely. Both collegiality and professionalism are, however, vital assets to Library faculty, particularly as they impact reappointment, tenure, promotion, and evaluation of performance. Collegiality and professionalism are not separate criteria, but are essential to a Library faculty member's efforts in librarianship, scholarship, research, creative activity, and service, as indicated by the Faculty Handbook, Section 1.2.4, and the AAUP's statement "On Collegiality as a Criterion for Faculty Evaluation," 1999.

Librarianship

Library Science faculty, exercising their individual specialties, have a unique opportunity among University faculty for interaction with, and assistance to, students, faculty, and staff of the University. Among all other faculty endeavors in the Department of Library Science, the effective practice of librarianship is paramount. In the left column of the table below are essential goals and outcomes of librarianship. In columns 2 and 3 are

some important ways that the goals are demonstrated in job performance. Some areas of Librarianship lend themselves to clear documentation more easily than others. In many instances, concrete evidence is simply the result of consistent and sustained interaction with one another.

The quality or degree of effectiveness in these areas of Librarianship is subsequently evaluated by the judgment of our peers.

GOALS AND OUTCOMES:	DEMONSTRATED EVIDENCE:	EXAMPLES:
<p>1. Demonstrates high quality job performance in primary area of assigned responsibility.</p>	<p>Effectively uses the knowledge of field(s) of specialization in librarianship in accomplishing one's work</p> <p>Demonstrates familiarity with various information retrieval techniques useful in fulfilling the general objectives of the University</p> <p>Assists the University community in the use of information resources</p> <p>Collaborates effectively with colleagues on joint projects</p> <p>Interacts and communicates effectively with colleagues and patrons</p> <p>Executes and completes assigned duties in a timely fashion</p>	<p>Depends on area of responsibility</p> <p>Significant work with content databases, bibliographic utilities, integrated library systems and other related software</p> <p>Effective reference assistance; effective and timely ordering and cataloging of materials; etc.</p> <p>Bibliographies; cataloging projects; grant project management; writing reports; etc.</p>
<p>2. Demonstrates an understanding of the inter-dependency among departments in achieving overall Library goals</p>	<p>Relates job functions to the more general goals of the Libraries and the University</p> <p>Participates in the identification of Library problems and contributes to their solutions</p>	<p>Assists with projects outside the faculty member's own area of responsibility and functional department</p> <p>Contributes to discussions and work of Library committees and task forces</p>

	Makes effective contributions to functional Library operations on issues crossing departmental lines	Assists with projects outside the faculty member's own area of responsibility and functional department
3. Successfully handles increased levels of responsibility as required	<p>Assumes increased levels of responsibility in the functional department relating to primary area of responsibility</p> <p>Chairs or significantly contributes to committees that work on operational issues important to the Library and the University</p>	<p>Coordinates projects involving others in the functional department and/or other Library departments</p> <p>Effective work as chair or member of ad-hoc or regular library committees, or committees outside LIS</p>
4. Takes an active role in the teaching functions of the Libraries and the Library Science Department	<p>Successfully teaches Library Science courses, in-house seminars, or orientation programs by achieving objectives of the activity</p> <p>Successfully teaches classes outside the Department of Library Science, after consultation with the functional Library department head, and with the approval of the Dean of Library Services</p> <p>Develops or revises new courses in the Department of Library Science or other University disciplines</p> <p>Collaborates effectively with Library Science and other University faculty in instructional efforts</p> <p>Offers assistance to less experienced Library Science</p>	<p>Positive student or participant evaluations of traditional classroom teaching, Web-based classes, distance learning classes, seminars, and other programs</p> <p>Positive student or participant evaluations of traditional classroom teaching, Web-based classes, distance learning classes, seminars, and other programs</p> <p>New or updated syllabi and other course materials</p> <p>Team teaching, guest lectures, bibliographic instruction, topical workshops or other orientation programs</p>

	<p>faculty in a mentoring/training relationship in LIS or other appropriate University courses</p> <p>Effectively advises and mentors students in the development of their programs of study in, and professional preparation for, Library Science</p>	
<p>5. Provides instruction to groups outside the University in skills relating to the area of expertise.</p>	<p>Presents workshops for educators and school/public librarians in the surrounding area and the state</p> <p>Presents workshops and concurrent sessions at state and national library conferences, as well as at conferences in other subject fields</p>	<p>Public school class tours of the Library; “how-to” instruction in such areas as cataloging, reference, collection analysis and development, Internet searching, storytelling, collaboration, reading guidance, etc.; informational reviews of juvenile literature and reference tools, etc.</p>
<p>6. Actively participates in professional development</p>	<p>Participates in workshops or conferences for the development of professional skills and knowledge related to the practice of librarianship or teaching.</p>	<p>On- or off-campus workshops, training sessions, or development seminars on teaching, technology, or the faculty member’s area of responsibility</p> <p>Appropriate concurrent sessions and pre- and post-conference workshops at regional and national library and education conferences</p>

Scholarship and Research

Research and scholarship are natural extensions of the work of the Department of Library Science faculty. Research is defined here as the production and formal communication of creative scholarly works, and generally refers to the discovery, refinement, evaluation, and synthesis of information, the application of specialized knowledge to the solution of problems, and artistic activity. In the context of each academic discipline, research produces creative outcomes that are formally communicated to, and vetted by, peers.

A research-content area, whether in librarianship or in another discipline, should be fully recognized and evaluated according to the standards of one of the five modes of research. Research includes scholarship of teaching and learning. Specific modes of research include (the first three are defined by Boyer):

- Discovery: gaining knowledge of or ascertaining the existence of something previously unknown or unrecognized
- Application: using established knowledge to solve significant problems
- Synthesis: bringing knowledge together from disparate sources to produce a whole work that is greater than the sum of its parts
- Criticism: using established values (aesthetic, logical, ethical) to evaluate quality of artifacts (e.g., art, legal decisions, news media)
- Creation: production of unique forms of expression, generation of new interpretations, theory-building, and model-building

The five modes of research should be considered of equal weight and importance in the faculty evaluation process.

To qualify as research, activity in each of these areas must be disseminated and subjected to critical peer review or evaluation by the scholarly community so as to serve knowledge growth in a field or be of significant practical use.

At Missouri State, although a librarian may be a member of the Department of Library Science, his or her principal role is to provide sound, high quality library service. Subsequently research on the part of the faculty member is closely related to a commitment to quality library service. Of the four following goals and criteria that form the basis of evaluating faculty member's research for appointment, promotion, tenure, or annual performance evaluation, the first criteria (Application of research to benefit the University's constituents – solving problems or addressing situations significant to the public that require professional expertise) is of paramount importance. While all four criteria/goals are significant, any faculty member, in order to succeed in the area of research, must succeed in item 1.

In each case, goals are enumerated in column one, and demonstrated evidence of those goals is listed in column two. The actual outlets for documented evidence of research can occur in many environments. Principal ones include, but are not limited to:

- Monographs
- Monograph chapters/essays
- Textbooks
- Peer reviewed articles
- Invited articles
- Published literature reviews
- Published bibliographies
- Peer reviewed presentations
- Invited presentations
- Unpublished reports
- Documented research developed for and applied to library operations
- Successful grant proposals and accompanying documentation
- Poster sessions
- Invited or edited library materials reviews

Research Goals and Criteria	Demonstrated evidence
<p>1. Application of research to benefit University constituents – solving problems or addressing situations significant to the public that require professional expertise</p>	<p>In generating research in any of the five modes shown above, library faculty will develop and implement applied research and problem-solving ideas that expand and strengthen patron access to Library resources. In turn, these benefit the larger University community and the public. Integration and application is typically evident in:</p> <ul style="list-style-type: none"> ▪ development and application of techniques designed to improve area of expertise in librarianship ▪ assessing and revising teaching effectiveness, using feedback mechanisms such as self-evaluation, peer review reports, student evaluations, student surveys, and/or pre- and post-test results ▪ published textbooks and/or book chapters ▪ published professional or applied research articles ▪ published book of case studies ▪ juried presentations ▪ published literature reviews, and/or bibliographies ▪ successful grant applications that have a significant impact on library services or student learning for a specific course
<p>2. Expand knowledge and/or demonstrate growth in area of expertise.</p>	

a. Discovery – gaining knowledge of or ascertaining existence of something previously unknown or unrecognized	Scholarship of discovery is embodied by substantive research that manifests itself in: <ul style="list-style-type: none"> ▪ scholarly monographs or books, book chapters, and/or articles in peer-reviewed journals ▪ development, administration, and analysis of surveys that result in a subsequent publication or presentation
b. Synthesis – bringing knowledge together from disparate sources to produce a whole work that is greater than the sum of its parts	Synthesis or commentary upon the research of others either in conjunction with or separate from a specific environment of application can be shown in: <ul style="list-style-type: none"> ▪ edited or published textbooks and/or book chapters ▪ published professional or applied research articles
c. Criticism – using established values (aesthetic, logical, ethical) to evaluate quality of artifacts (e.g., art, legal decisions, news media)	Criticism can be exhibited in: <ul style="list-style-type: none"> ▪ critical philosophical essays ▪ book chapters ▪ published peer-review articles ▪ disproving current theories of information-seeking behaviors and/or patterns ▪ book reviews published in core-discipline journals
d. Creation – production of unique forms of expression, generation of new interpretations, theory-building, and model-building	Creation can be shown by: <ul style="list-style-type: none"> ▪ generating new information-seeking theory ▪ designing new strategies for information-seeking
3. Transmission	Tying research of information-seeking processes with discipline-specific fields, e.g., history, education, math, science, etc. will allow for transmission of ideas to a broader audience.
4. Involvement of Students	Students will be involved in research in the following ways: <ul style="list-style-type: none"> ▪ integrated service-learning projects ▪ action research projects in public, school, or academic libraries ▪ observation/participation with librarians from a variety of types of libraries ▪ practicum experiences
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Library, University, Professional, and Community Service

Service in the Library Science Department supports the concept of, and provides an opportunity to participate in, shared governance; supports and encourages participation in the professional group of Library Science and cognate disciplines; and supports and encourages Library Science faculty to share professional expertise in the broader community.

As opportunities present themselves, each full-time faculty member is expected to actively participate in the shared governance structure of the University by serving on departmental, college, and University committees, and by assuming an appropriate share of the requisite duties. Service activities also expand opportunities for learning and shaping the learning environment.

Goals & Criteria	Demonstrated Evidence	Examples
Library Service & Governance		Description of specific activities and faculty member's participation.
	Standing or Functional Committee service	
	Ad hoc Committee service	
	General Library service activities	
University Service & Governance		
	Elected positions such as Faculty Senate, CGEIP	
	Appointment to college or university committees, task forces, etc.	
	Faculty involvement in student organizations	
	Participation in broader campus organizations and efforts	
Professional Service		
	Elected positions in professional organizations at all levels	
	Committee or more general service in professional organizations	
	Program participation such as panel moderator, respondent, or meeting or conference organizer	
	Pro bono consultation in an area of expertise	

	Remunerated consultation in an area of expertise	
Community Service		
	Active participation in community service organizations	
	Service in/on local, regional, state, or national boards	
	Pro bono consultation	
	Remunerated consultation	
	General presentations for community and civic organizations	

Guidelines for Appointment, Promotion, and Tenure

In addition to an acceptable evaluation based on the above stated criteria, candidates for appointment, tenure or promotion must qualify according to the following guidelines for the status or rank for which they are applying.

Appointment

A candidate for appointment must have demonstrated evidence of effective performance of professional duties in the assigned area of responsibility. The candidate must have a thorough command of some facet of librarianship or of a subject field of specialization, as well as an understanding of the operations of the Library as a whole. Appointment shall require evidence of significant professional contributions to the Library and/or the institution appropriate for the rank.

Pre-tenure Review

Typically a pre-tenure review will occur three years prior to the final date on which a faculty member is to be considered for tenure. During this time the regular appointment evaluation will include an assessment of the cumulative work to date, and an assessment of progress toward tenure. If necessary, identification of and rationale for specific areas of improvement will be included in the evaluation.

Tenure

A candidate for tenure must have demonstrated successful overall performance during the probationary period and must exhibit the potential for a continuing contribution to the Library and to the University based on the evaluative criteria.

Promotion

Associate Professor

A candidate for this rank must have mastered the skills and techniques of librarianship, demonstrated a high level of professional performance, and made meaningful professional contributions. The candidate must offer evidence that he or she has kept abreast of developments in the field, and has retained interest in good basic service and operations.

Professor

Appointment of individuals to full professorship is a most critical step in determining the future caliber of the library, its collections and its services, all of which have a serious impact upon the academic community. The highest professional rank is reserved for individuals who have made distinctive contributions over a significant period of time to the Library and to the profession. Promotion to this rank is exceptional rather than usual. A candidate for full professor must exhibit a substantial command of the whole field of librarianship and have a well-defined and significant scholarly view of academic needs and the general purposes of the University.

Application of Criteria and Guidelines

Appointment Promotion & Tenure (APT) Committee

The Appointment, Promotion and Tenure (APT) Committee is charged with carrying out the general administrative tasks as noted below for both the APT process and the annual performance reviews, as well as carrying out appointment, promotion, and tenure reviews. The APT Committee is composed of all tenured faculty at the rank of associate professor or professor. The APT Committee, in consultation with the Dean of Library Services, develops the Libraries' annual personnel review calendar using the Academic Work Calendar provided by the Office of Academic Affairs. The Committee is also responsible for dissemination of appropriate review documents to Library Science faculty. In addition, the Committee reviews all applications for appointment, promotion, and tenure and provides a recommendation for each candidate upon which the full tenured faculty vote. The Committee subsequently reports the results of that vote along with their original recommendation to the Dean of Library Services for each faculty member under review. Finally, the Committee also oversees the annual review of the departmental guidelines.

External Reviews for Promotion and Tenure

In addition to utilizing the PDF and supporting documentation in tenure and promotion actions, the Library Science Department will employ external reviews. External reviews will be solicited from qualified colleagues at institutions similar to or larger than the Missouri State University Libraries. Individuals with whom a candidate has collaborated, studied or knows personally will be ineligible. Late in the summer of the year preceding the January review for tenure and/or promotion, and in accordance with the annual departmental calendar, each candidate will optionally identify and forward to the Dean the names of up to three potential reviewers. The Dean will also identify the names of three potential reviewers. From that group three will be mutually agreed upon as potential reviewers. The Dean will then solicit the external reviews, which will be returned to the Dean's office and utilized by both the APT Committee and the Dean in formulating promotion and tenure recommendations. External reviews are confidential.

The dossier sent to the external reviewer will include the *Guidelines*, an extended PDF or curriculum vita, and samples of work that illustrate the criteria in the *Guidelines*. The reviewer is invited to consider the whole of the candidate's work, but the primary focus of the external review is on scholarship and research.

Performance Evaluation Committee

The Performance Evaluation Committee is charged with carrying out the annual performance reviews. It is composed of 5 tenured faculty, initially with 2 individuals appointed for one year terms, and three individuals with two year terms. Subsequently faculty elected to the committee will be elected for a two year term. The Committee reviews the Personal Data Form (PDF) during the annual faculty review cycle, plus other appropriate documentation, and recommends an annual performance rating ranging from 1-5 for each of the three evaluative areas (Librarianship, Research, and Service) for each faculty member under review. A separate Appeals Committee will also be elected. It is composed of 3 tenured faculty, serving for terms of two years, with one individual elected in a given year, and two individuals elected in the next year, with the pattern to continue in alternating years.

Review Process.

A faculty member who is under review will be notified in writing with regard to the time span of the review, its nature, and will be requested to provide appropriate supporting documentation. Documentation will include the PDF and appropriate supplemental documentation relating to the criteria for evaluation listed in this document, including documentation of the goals assessment and weighting held with the faculty member's supervisor as well as a supplemental statement of no more than two pages, articulating and amplifying the documentation in the PDF. Additional materials may be added to the PDF and supporting documentation at any point during the evaluation process prior to the recommendation of the Dean of Library Services to the Provost. For clarity, such

additional materials will be dated and noted as they are received by the Committee chair, designate, or appropriate departmental administrator. When the Committee receives an application for promotion or tenure, it will notify the faculty member of receipt and advise the applicant of the relevant deadlines.

Appointment, Promotion, and Tenure Reviews (APT Committee)

Upon review of the appropriate portions of the *Faculty Handbook*, this document, and any material which the applicant may optionally supply in support of his or her application, the Appointment, Promotion and Tenure Committee will, in closed session, prepare its recommendations. These recommendations are then presented to the collective tenured faculty, who vote to approve or not approve the recommendation. That vote and supporting rationale for the recommendation will go to the Dean. A copy of the vote and recommendation will also be given to the applicant. The PDF, evaluation forms and supplemental information are also given to the Dean. Optionally, the applicant may schedule a meeting with the Dean to discuss the Appointment, Promotion and Tenure Committee's recommendation and subsequent tenured faculty vote. Because necessarily any evaluation includes a subjective component, the Dean of Library Services is not required to endorse the recommendation offered by the Committee, nor the vote of the tenured faculty. However, the Dean will inform the applicant in writing why his or her evaluation differs from that of the Committee and/or tenured faculty. After arriving at a recommendation, the Dean will forward it, along with the Appointment, Promotion and Tenure Committee's recommendation and any written material supplied by the applicant, to the Provost.

Annual Performance Review (Performance Evaluation Committee)

Upon review of the appropriate portions of the *Faculty Handbook*, this document, the faculty member-selected performance weights, and any material which the applicant may optionally supply in support of his or her application, the Performance Evaluation Committee will, in closed session, prepare its recommendations to the Dean by assigning each faculty member a rating of 1 – 5 in each of the three evaluative areas: librarianship, research, and service. After conferring with the Performance Evaluation Committee to discuss the assessments and ratings, the Dean will then prepare a composite performance rating that takes into account the percentage weights for each of the three categories of teaching, research, and service agreed upon previously by the faculty member and the functional department head. A copy of the Dean's narrative review, ratings on the three performance dimensions, and composite performance rating will be provided to the faculty member. If the Dean's rating on any of the three performance dimensions differs from that submitted by the Performance Evaluation Committee, the Dean will provide a brief written rationale to the faculty member explaining the distinction. The Dean will then meet with each faculty member to discuss with him/her the annual performance review and the composite rating. The faculty member may subsequently request a formal review of the rating by submitting a written appeal to the Dean stating reasons for questioning the rating. The appeal is forwarded to the departmental Appeals Committee.

After review by and recommendation from the Appeals Committee, the Dean will provide to the faculty member a written response to the appeal. Subsequently the faculty member has the option to appeal the performance evaluation to the Provost and follow the remedies offered by Section 5, Salary Policy, of the *Faculty Handbook*. All of the actions described above will follow the annual calendar from the Provost's Office as adapted by the Department of Library Science.

Revision

The Guidelines for Appointment, Promotion, Tenure and Performance Evaluation of Library Faculty will be evaluated annually by the APT and Performance Evaluation committees with input from the Library Science faculty. Recommendations of the Committee will be presented to the faculty for their consideration. All changes must subsequently be approved by the Dean of Library Services. Approved changes will be incorporated into the evaluation document and forwarded to the Provost.

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