



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	5 - 20% *
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 1<sup>st</sup> 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.