



# Eastern Kentucky University

## Policy and Regulation Library

Academic Regulation: 4.6.18ACR

Responsible Office(s): Office of the Provost

Effective: June 19, 2017

Next Review Date: Fall 2022

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### Evaluation of Library Faculty

#### Statement

Eastern Kentucky University recognizes the function of library faculty as essential “participant[s] in the processes of teaching, research, and service,” as described in the 2012 “Joint Statement on Faculty Status of College and University Librarians” prepared by the Association of College and Research Libraries (ACRL), the Association of American Colleges and Universities (AACU), and the American Association of University Professors (AAUP). With this statement in mind, ECU has established criteria and processes by which full-time library faculty will be evaluated, based on the goals they set in the performance of library faculty professional responsibilities, scholarly/creative activities, and service. Recommendations and decisions for reappointment shall be based on performance as described in the evaluation.

#### Entities Affected

- Libraries Faculty
- Dean of Libraries
- University-level administrators

#### Background

This policy respects the uniqueness of the library profession and its role within the University. The area of library faculty professional responsibilities is analogous to the teaching responsibility of department/college faculty. This policy provides for appropriate flexibility in evaluation as library faculty professional responsibilities may change over time. Depending on the individual role of each library faculty member, professional responsibilities may include: teaching students and faculty through individual and course-specific library instruction; selecting and evaluating resources; digitizing and publishing collections; organizing and providing access to information; and/or managing related services and technologies. Some library faculty may also have

responsibility for managing a team or division, supervising staff and/or other library faculty, and/or providing overall leadership and vision.

## Policy Principles

1. The Libraries shall have the primary responsibility for evaluating library faculty. Throughout the evaluation process, evaluations from the Libraries shall be given weight which appropriately reflects this responsibility.
2. The recommendations in the decision-making process shall be conducted in an ethical manner and based on documented and verifiable evidence. The review process shall be transparent, and opinions shall not be anonymous.
3. Throughout the process, the principle of confidentiality shall be respected.
4. Review processes at each level shall include appropriate evaluations of performance in library faculty professional responsibilities, scholarly/creative activities, and service.
5. The justification for or against reappointment shall be clearly stated in writing.
6. The procedures not determined by Policy 4.6.18, Evaluation of Library Faculty, shall be developed and approved by full-time library faculty. Such procedures shall be made available to library faculty.

## Provisions of Tenure

Attainment of tenure status by a faculty member shall remain in effect unless just cause shall be shown for terminating employment. Tenure status shall remain in force during good behavior and efficient and competent service. A tenured faculty member shall not be terminated except for any of the following causes: incompetency; refusal to perform or neglect of assigned duties; or immoral conduct. In addition, bona fide financial exigencies may be cause for termination of employment.

Should the institution determine that a tenured faculty member is to be discharged, a written notice of the cause(s) for such action shall be given to the faculty member. Tenured faculty receiving such a notice have the right to be heard in person or by counsel before the Board of Regents. Within 15 days after receiving a notice of charges, the individual concerned shall send a written request for a hearing to the Secretary of the Board of Regents. The Board of Regents shall set the time of the hearing no sooner than 15 days nor later than 45 days after receiving the request.

## Criteria

Library faculty shall be evaluated annually. Recommendations and decisions for reappointment shall be based on established performance standards and the evaluation of performance of library faculty professional responsibilities, scholarly/creative activities, and service. In reviewing all three areas, collegiality shall be considered. Since individual library faculty members' activities may vary yearly, their specific workload assignments, long-term projects, and professional development plans must be taken into consideration. The performance standards must be consistent with Policy

4.1.1, Academic Freedom. Performance standards and processes for the Evaluation of Library Faculty are distinct from the criteria and processes for promotion that are described in Policy 4.6.4, Tenure and Promotion.

## Procedures

### **LIBRARY REVIEW**

#### **Establishing Performance Standards**

1. The Libraries' performance standards and procedures shall be approved by the majority of full-time library faculty members and shall be approved by the Dean of Libraries. Changes in the Libraries' performance standards and procedures shall be made by a majority vote of the full-time library faculty members and shall be approved by the Dean of Libraries by May 1 prior to the academic year in which the changes are to take effect.
2. A statement of performance standards and procedures shall be filed in the office of the Dean of Libraries.
3. It is the obligation of the Dean of Libraries to disseminate the approved performance standards and procedures to the full-time library faculty.

#### **Evaluation/Reappointment Procedures**

1. The library faculty member shall set goals for the evaluation year in consultation with his or her supervisor no later than August 15. Library faculty hired after the evaluation year has begun shall set goals appropriate to the time remaining in that evaluation year.
2. Midway through the evaluation year, the supervisor shall meet with the library faculty member to review progress and to discuss amendments to the goals.
3. At the end of the evaluation year, the library faculty member shall complete a self-evaluation and submit it and a current vita to his or her supervisor.
4. The supervisor shall review the library faculty member's self-evaluation. The supervisor shall evaluate the library faculty member based on performance and make a written recommendation stating reasons for or against reappointment on the appropriate recommendation form(s).
5. Library faculty members who are rated below standards overall or in any of the three areas at the end of the evaluation year shall be given an opportunity in at least the following evaluation year to improve their performance. To remedy the concerns identified in the evaluation, specific goals that are reasonable and measurable shall be developed by the library faculty member and the supervisor.
6. No later than August 1, the supervisor shall meet with the library faculty member and review the recommendation, provide the library faculty member with a copy of the report, and secure the library faculty member's signed acknowledgment of receipt of the report.
7. The library faculty member may respond to the evaluation and recommendation by one of the following:
  - (1) Submitting a written response to the Dean of Libraries within ten (10) calendar days of receipt of the written report, with a copy to his or her supervisor.

- (2) Requesting reconsideration of the supervisor's recommendation for non-reappointment within ten (10) calendar days of receipt of the written report.
8. The supervisor shall reconsider the library faculty member's evaluation in light of the request for reconsideration. The request for reconsideration should address concerns raised by the supervisor and may include additional information submitted by the library faculty member in support of that clarification.
9. The library faculty member shall be notified in writing by the supervisor of the results of reconsideration no later than September 1.
10. The supervisor shall forward the evaluations and recommendation, as well as any response or reconsideration documentation to the Dean of Libraries no later than September 1.
11. The Dean of Libraries shall review the evaluations and the supervisor's recommendation, as well as any response or reconsideration documentation. The Dean of Libraries may consult with the supervisor and/or the library faculty member prior to making a recommendation regarding reappointment. The Dean of Libraries shall indicate in writing whether he/she concurs with the recommendation, with an explanation if he/she does not concur.
12. No later than October 1, the Dean of Libraries shall notify the library faculty member of the recommendation, with a copy to the supervisor. The Dean of Libraries shall forward the evaluations and recommendations, as well as any response or reconsideration documentation to the Provost no later than October 1.

## **UNIVERSITY REVIEW**

### **Evaluation/Reappointment Procedures**

1. The Provost shall review the evaluations and recommendations, as well as any response or reconsideration documentation. The Provost may consult with previous decision makers and/or the library faculty member prior to making a decision. If the Provost does not concur with the recommendations of the supervisor, the Dean of Libraries, or both, the Provost shall state in writing the reasons for the differing decision.
2. No later than November 1, the Provost shall return the signed recommendations and decision to the Dean of Libraries, who shall notify the library faculty member, and provide written copies of the report to the faculty member and the supervisor. The library faculty member shall sign the report acknowledging receipt of a copy of the report.
3. Appeals of the Provost's non-reappointment decision shall follow the procedure below.

### **University Appeals for Non-Reappointment**

1. In the event of a negative reappointment decision by the Provost, the library faculty member may appeal the decision. Acceptable grounds for requesting such an appeal are:

- a. decision is arbitrary, capricious, or not supported by factual data
  - b. violation of procedural due process
  - c. violation of academic freedom
2. The library faculty member will submit a written request for appeal to the Provost within ten (10) calendar days of notification of the Provost's decision, with copies to his or her supervisor and the Dean of Libraries. The request shall state the grounds for an appeal, and shall provide relevant, documented, and verified evidence not previously submitted in support of such grounds.
3. The Provost shall convene the Faculty Evaluation Appeals Committee (FEAC) to review the appeal. The Provost shall meet with the library faculty member upon appeal of a non-reappointment decision, if such a meeting is requested by the library faculty member.
4. The FEAC shall evaluate the body of evidence as it relates to the grounds for appeal. The FEAC may meet with decision makers, meet with the library faculty member, or consult with others as necessary in order to evaluate the grounds for appeal. Based on its findings, the FEAC may recommend a reconsideration of the Provost's original decision. The FEAC shall report its findings and recommendations to the Provost—with a copy to the library faculty member, the supervisor, and the Dean of Libraries—within fourteen (14) calendar days of receipt of the appeal, except in extenuating circumstances.
5. Possible actions by the Provost could include, but are not limited to:
  - a. Affirming his/her original decision, with written justification
  - b. Reversing his/her original decision, with written justification
  - c. Reconvening the FEAC to meet with appropriate decision makers and report additional findings.
6. No later than December 15, the Provost shall notify the library faculty member in writing of the appeal decision, with a copy to the supervisor and the Dean of Libraries. If the decision of the Provost is negative for reappointment, the library faculty member's appointment ends on June 30 of the next year. All appeal decisions are final.

## Definitions

- **Calendar Day:** Throughout this document calendar day shall be interpreted to mean no later than the specified number of calendar days following the day of notification. If the final calendar day occurs on a weekend or holiday, the due date shall be on the first day on which University administrative offices are open. The time for response may be extended upon agreement by both parties.
- **Collegiality:** The ability of an individual to interact with colleagues with civility and professional respect; to engage in shared academic and administrative tasks necessary to meet Department, College, and University goals; and to work productively with faculty, students, and staff. Collegiality should not be confused with sociability or likability but rather is the professional criterion relating to teaching, scholarly/creative activities, and service.

- **Confidentiality:** The principle of limiting access to information or documents only to those persons authorized to have such access. Documents and communications in the tenure and promotion process shall be kept confidential to the extent permitted by law.
- **Evaluation Year:** The principle of limiting access to information or documents only to those persons authorized to have such access. Documents and communications in the evaluation, tenure, and promotion processes will be kept confidential to the extent permitted by law.
- **Full-Time Library Faculty:** Faculty employed in ECU Libraries with full-time twelve-month appointments and who hold rank without tenure. Reappointments begin on July 1.
- **Provost:** Refers to either the Provost or his/her designee.
- **Supervisor:** Refers to the person that directly supervises a library faculty member.

## Responsibilities

- **Dean of Libraries**  
At a minimum, the Dean of Libraries is responsible for:
  - approving the Libraries' performance standards.
  - disseminating the Libraries' performance standards to library faculty.
  - making recommendations on reappointment of library faculty
- **Faculty Evaluation Appeals Committee**  
At a minimum, the Faculty Evaluation Appeals Committee is responsible for:
  - ensuring appeals are reviewed only on the grounds stated in this policy.
  - reviewing the appeal and the evidence submitted by the library faculty member.
  - submitting findings and recommendations to the Provost.
- **Full-Time Library Faculty**  
Library faculty are responsible for:
  - knowing and adhering to this policy.
  - setting goals in consultation with their supervisor.
  - submitting a self-evaluation and a current vita to their supervisor at the end of the evaluation year.
- **Provost**  
At a minimum, the Provost is responsible for:
  - making decisions on reappointment of library faculty.
  - meeting with library faculty members appealing a non-reappointment decision, if such a meeting is requested by the library faculty member.
  - making decisions on appealed cases and notifying library faculty in writing of such decisions.

- Supervisor

At a minimum, the supervisor is responsible for:

- consulting with library faculty on setting goals.
- meeting with library faculty midway through the evaluation year to review progress and discuss amendments to the goals.
- evaluating library faculty and making a written recommendation on reappointment.
- meeting with library faculty to review the evaluation and notifying library faculty in writing of the evaluation and recommendation.

<b>Regulation Adoption Review and Approval</b>
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**Regulation Revised**

**DATE**

October 21, 2024

**ENTITY**

University Counsel

**ACTION**

Editorial Revision

**Regulation Issued**

**DATE**

June 19, 2017

May 24, 2017

May 3, 2017

March 6, 2017

April 14, 2016

**ENTITY**

Board of Regents

President

Provost

Faculty Senate

Library Faculty

**ACTION**

Adopted

Approved

Approved

Approved

Approved