

APPENDIX VI
EVALUATION CRITERIA AND REVIEW AND
PROMOTION PROCEDURES FOR LIBRARIANS

I. CRITERIA

A. Introduction

Professional achievement for librarians is measured in three interrelated areas: 1) contributions in a librarian's primary responsibility area; 2) professional development and scholarship; 3) department, College, and community service.

B. Areas of Achievement

1. Contributions in a Librarian's Primary Responsibility Area

Professional librarians at Union College are members of the General Faculty and play a variety of roles within the library and the College. Their responsibilities may differ widely such as administratively, technically, or in the amount of time spent in direct contact with faculty or students but all roles are critical, interrelated, and equally valued for the way in which they contribute to the library's mission of service to the College.

All librarians are expected to master the knowledge and skills appropriate to their positions within the library organization. Their professional expertise can take many forms, but all librarians should demonstrate an ability to apply their expertise to address the challenges that arise within a constantly changing information and work environment. The particular types of productivity, instructional and/or management skills, and mastery of technical details required in each area should be accompanied in all cases by initiative as well as responsiveness in meeting the needs of the library and its academic community.

Working within a highly collaborative environment as members of the library and College faculty, all librarians are also expected to contribute meaningfully to the overall mission of the library. Thus all librarians must be able to understand and articulate the ways in which their day-to-day work serves the library's mission and to find creative ways to contribute to that mission within their primary responsibility areas. They must also be able to communicate and work effectively with colleagues at all levels to develop and implement new services in their responsibility areas as well as to support common library functions and goals.

2. Professional Development and Scholarship

Professional development and scholarship are essential parts of a librarian's professional life. They contribute to the librarian's professional vitality and effectiveness on the job; in turn, the

librarian contributes to the growth of the profession as a whole.

Many different forms of professional development and scholarship are appropriate for librarians, but at least some must allow the librarians' work to be scrutinized by their professional peers. Examples of such professional activities include (in no particular order): lecturing; consulting; presenting at conferences; publishing in professional journals, monographs, or online sources; reviewing and obtaining grants; participating visibly and effectively in local, state, or national professional and academic associations; preparing scholarly exhibits; completing coursework that enhances a librarian's professional life. Because much work in the library profession is done collaboratively, cooperative projects to which a librarian makes substantial contributions are also valued.

A librarian's choices among these activities will vary according to his or her professional specialties, academic background, and intellectual interests. However, all librarians should demonstrate a continuing pattern of development, and individual activities should provide evidence of one or more of the following: original and/or analytical thinking beyond normal job requirements; the mastery of a new skill or approach to an issue; intellectual rigor; professional commitment; a substantial contribution to the profession.

3. Department, College and Community Service

Service to the library department, the College, and the community is valued as an extension of a librarian's role beyond his or her normal professional focus. It also reflects the fact that, as faculty members, librarians are members of a wider community and have important kinds of experience and perspectives to contribute to that community.

To a certain extent, the individual roles and responsibilities of all professional librarians already reflect the fundamental service orientation of the library itself. For example, librarians are often required to work on projects, committees and task groups where their participation is rendered as a component of their primary job responsibilities, and for which the goal cannot be achieved or implemented without their presence and expertise. These particular types of service activities are considered professional expectations and will be evaluated in the context of the librarian's primary professional responsibilities within Criterion B.1 above.

Service to the department, College, and community, on the other hand, embodies activities where a librarian's participation, while potentially related to his or her primary responsibilities, is not a focus of his or her normal role within the library organization. This type of service may be instigated through an administrative appointment or by the librarian's own volunteer efforts. Service in this category includes participation in wider library planning efforts; serving on search or reappointment committees; contributing to College or community committees, councils, task groups, and programs; representing Union College in the media or at other educational institutions; other similar activities.

II. REVIEW PROCEDURES

A. Introduction

Regular feedback and communication are essential parts of the evaluation system and are expected of all concerned.

Mentoring may be particularly important during a librarian's first six years at Union. Librarians new to Union are strongly encouraged to seek a mentor among the librarians who have passed a sixth year review at the College. A candidate is advised to seek information about the review process and expectations for third and sixth year reviews from his or her immediate supervisor.

Library faculty are entitled to stop the review clock, with or without taking a full or partial leave of absence, if the faculty member has substantial responsibility for the care of a new-born or newly adopted child. Consideration for review may be delayed for up to one year per birth or adoption, but may not exceed two one-year extensions of the probationary period. Such arrangements must be made within one year of the birth or adoption for each child, in consultation with the Dean of the Faculty, and will be confirmed in writing by the Dean of the Faculty to the library faculty member and the College Librarian. A request to stop the review clock cannot be made within 6 months prior to the review.

All librarians, whether they are being formally reviewed or not, are required to submit an annual Library Faculty Activity Sheet. These will become the basis of triennial merit reviews and also be made available to third and sixth year review committees.

B. First Three Year Contract

1. Librarians new to Union are normally hired at the rank of Assistant Librarian I with an appointment of approximately three years that typically ends with the College fiscal year. The first year of hire is a probationary year managed by the immediate supervisor.
2. Librarians hired on an interim basis will be evaluated on a schedule similar to that for librarians in their first year, should the interim appointment be for a full year. Time worked in an interim appointment may or may not count towards a subsequent third-year or sixth-year anniversary review, should the librarian's contract be extended. At the time any permanent appointment is made, the librarian, College Librarian, and Dean of the Faculty should establish how the time previously worked in the interim appointment is to be considered.
3. First Year Review

No later than two months before the first anniversary of the of the candidate's start date, the immediate supervisor and the College Librarian will complete a review of the candidate based

upon the candidate's overall performance for the time period.

If the evaluation results in a positive recommendation for continuation by the College Librarian, a developmental plan leading towards the third year review will be discussed among the candidate, the immediate supervisor, and the College Librarian, and the candidate will complete the next two years of the initial contract.

If the evaluation results in a negative recommendation for continuation by the College Librarian, the candidate's contract will be terminated upon completion of the probationary year.

4. Third Year Review

By the third year, the candidate may go through a review for a subsequent 3 year contract and a promotion to Assistant Librarian II. The third year review process will be initiated by a recommendation from the College Librarian to the Dean of the Faculty 9 months prior to the third anniversary of the candidate's hire. If the Dean of the Faculty concurs, s/he will then approve the formation of a 3rd Year Review Committee by 8 months prior to the third anniversary. The Committee will conduct its work on a timetable set by the Dean, which will typically include: a 4 week period for the Candidate to write a Personal Statement and compile other material to support the Committee's work (and during which the Committee members will be identified and appointed); and then a 5 week period for the Committee to perform its review. These times are approximate guidelines that will be adjusted as necessary to accommodate breaks in the academic calendar and other circumstances that may dictate modest changes in the review schedule. The Dean of the Faculty acts on the recommendation of the College Librarian for initiation of reappointment reviews. If it is decided that there is to be no reappointment review and that a librarian will receive no reappointment after expiration of a contract, the librarian shall receive such notification no later than 12 months before expiration of the contract. If such notification occurs less than 12 months before expiration of said contract, the librarian in question will be entitled to an additional one-year terminal contract.

The College Librarian, with input from the candidate, the immediate supervisor, and the Dean of the Faculty, will appoint a committee of three librarians to prepare an evaluation report. All three librarians must have passed the sixth year review at Union or be tenured and one must be from outside the candidate's department. The College Librarian will also appoint a committee chair.

The candidate will submit to the committee a written *Personal Statement* which, in context of the evaluation criteria explained in section I, provides reviewers with a reflective and critical self-evaluation of the candidate's approach to the day-to-day tasks of his or her position and of the underlying philosophy and vision that inform the candidate's work, scholarship, and service. The candidate should also append examples of work in each evaluation category—including all products of professional development and scholarship since the initial appointment—which the candidate considers illustrative of achievement in those areas. Although the *Personal Statement* is primarily intended to be a thoughtful assessment of how and why the candidate's contributions to the library

and the College are important, and not a simple register of accomplishments, the candidate should use at least some of the examples appended as an opportunity to discuss how the candidate's ideas about his or her professional role, development and service are brought to fruition.

The committee will review the candidate's *Statement* and examples as well as any previous evaluations and Library Faculty Activity Sheets on file. It will normally conduct interviews of all professional library staff except the College Librarian. The College Librarian, in writing, will either provide the committee non-evaluative, factual information that supplements or augments information submitted by the candidate or will indicate that no additional information is available from the College Librarian relevant to the Committee's responsibility.

The committee will advertise in College publications asking for input from other College faculty, administrators, and students. Other library staff will also be invited but not required to provide input to the committee. The quality of the candidate's job performance and service to the College (as outlined below) are major considerations, of which the first is of paramount importance. The candidate should be judged by the prevailing Schaffer Library standards and currently accepted standards of the relevant professional groups. Accordingly, the candidate's qualifications in the primary responsibility area and in professional development / scholarship should normally be excellent in one of the categories and very good in the other. The candidate is expected to have been actively involved in areas of college service.

Upon completion of the interviews and the initial review of materials, the committee will give the candidate a list of any questions that have arisen during the course of the review and meet with the candidate to discuss them. The candidate will also be requested to respond to such questions in writing.

The committee will then draft a report including a) a Methodology Section with a description of its procedures, b) its assessment of the candidate's professional performance in meeting the evaluation criteria, c) its recommendation regarding the candidate's reappointment. The committee will submit its report with all evaluation materials to the College Librarian. A copy of the Methodology Section and a list of all materials used by the Committee in its work will be given to the candidate at this time. Confidential documents in the materials list shall be identified only as to their nature (e.g., "testimony of an interviewee").

The candidate may submit to the College Librarian a written response to the report within five business days of receiving it. The candidate may also, upon request, meet with the College Librarian within five business days to discuss the report.

If the review results in a positive determination and a second three year contract, the candidate will be promoted to the rank of Assistant Librarian II. The College Librarian, in consultation with the candidate's immediate supervisor, will provide the candidate with a letter summarizing identified weaknesses that should be addressed by the candidate before the 6th Year Review.

C. Second Three Year Contract

By the sixth year, the candidate must go through a review for promotion to Associate Librarian or accept a seventh year terminal contract.

The sixth year review will be initiated by a recommendation from the College Librarian to the Dean of the Faculty 10 months prior to the sixth anniversary of the candidate's hire. If the Dean of the Faculty concurs, s/he will then approve the formation of a 6th Year Review Committee by 9 months prior to the sixth anniversary. The Committee will conduct its work on a timetable set by the Dean, which will typically include: a 5 week period for the Candidate to write a Personal Statement and compile other material to support the Committee's work (and during which the Committee members will be identified and appointed); and then an 11 week period for the Committee to perform its review. These times are approximate guidelines that will be adjusted as necessary to accommodate breaks in the academic calendar and other circumstances that may dictate modest changes in review schedule.

The College Librarian, with input from the Dean of the Faculty and the candidate, will appoint a committee to prepare an evaluation report. The committee will consist of four individuals: a) three librarians who have passed the sixth year review at Union or who are tenured, at least one of whom must be from outside the candidate's department; b) a tenured faculty member from outside the library. The College Librarian will also appoint a committee chair.

The candidate will submit to the committee a written *Personal Statement* with examples as in year three.

The committee will review the candidate's *Statement* and examples as well as any previous evaluations and Library Faculty Activity Sheets on file.

The committee will invite, with input from the candidate and the College Librarian, a senior librarian from another academic institution who is qualified in the candidate's area of specialty to come to campus to conduct a one-day, on-site review of the candidate's general professional expertise in the specialty area. Within a week after his or her visit, the outside reviewer will submit to the committee a confidential written report, up to three pages in length, of his or her observations and assessment.

The committee will also obtain from the candidate a list of other professional colleagues outside Union College who have knowledge of the candidate's work and will solicit their input. It will normally conduct interviews of all professional library staff except the College Librarian. The College Librarian, in writing, will either provide the committee non-evaluative, factual information that supplements or augments information submitted by the candidate or will indicate that no additional information is available from the College Librarian relevant to the Committee's responsibility.

The committee will advertise in College publications asking for input from other College faculty, administrators, and students. Other library staff will also be invited but not required to provide input

to the committee. The quality of the candidate's job performance and service to the College (as outlined below) are major considerations, of which the first is of paramount importance. The candidate should be judged by the prevailing Schaffer Library standards and currently accepted standards of the relevant professional groups. Accordingly, the candidate's qualifications in the primary responsibility area and in professional development / scholarship should normally be excellent in one of the categories and very good in the other. The candidate is expected to have been actively involved in areas of college service.

Upon completion of the interviews and the initial review of materials, the committee will give the candidate a list of any questions that have arisen during the course of the review and meet with the candidate to discuss them. The candidate will also be requested to respond to such questions in writing.

The committee will then draft a report including a) a Methodology Section with a description of its procedures, b) its assessment of the candidate's professional performance in meeting the evaluation criteria, c) its recommendation regarding the candidate's reappointment. The committee will submit its report with all evaluation materials to the College Librarian. A copy of the Methodology Section and a list of all materials used by the Committee in its work will be given to the candidate at this time. Confidential documents in the materials list shall be identified only as to their nature (e.g., "testimony of an interviewee").

The candidate may submit to the College Librarian a written response to the report within five business days of receiving it. The candidate may also, upon request, meet with the College Librarian within five business days to discuss the report.

If the evaluation results in a positive determination for reappointment, the candidate will be offered a renewable three-year contract and be promoted to the rank of Associate Librarian.

D. The Role of the College Librarian and the Dean of the Faculty in 3rd and 6th Year Reviews

After a 3rd or 6th Year Review Committee has submitted its report to the College Librarian, this process shall be followed by the College Librarian and the Dean of the Faculty in making their determinations and affording due process to the candidate in the case of negative determinations.

If the Committee's evaluation results in a negative recommendation for reappointment, within five business days the candidate may also request that the Dean of the Faculty conduct a Procedural Review of the Methodology Section of the Committee's Report, specifying objections to the procedures that were followed. The Dean will notify all parties in writing of his or her determination. If a procedural error is detected, the Dean will direct the Committee to rectify the problem and issue a revised report which must be completed and submitted to the College Librarian and the candidate within a reasonable time period, preferably 30 days.

The College Librarian will review the report (or the revised report if the Dean has directed that one

be done) and all evaluation materials and may meet with either the candidate or the evaluation committee or both. The College Librarian will then make a recommendation, applying the review criteria laid out in Section 1, to the Dean of the Faculty regarding reappointment. The College Librarian will forward all evaluation materials to the Dean, and will inform the candidate of his or her recommendation according to one of the two procedures below.

- a. If the recommendations of the Committee and the College Librarian are either both positive or both negative, or if the Committee's recommendation is negative but the College Librarian's recommendation is positive, the College Librarian will send, within 10 business days, his or her written recommendation for reappointment to the Dean of the Faculty along with the committee report, the candidate's evaluation materials, and any written responses from the candidate. Within the same time period, the candidate will be given the College Librarian's written recommendation for reappointment without the evaluation file.
- b. If the Committee's report results in a positive recommendation but the College Librarian makes a negative recommendation, the College Librarian will inform the Dean as well as the candidate in writing within 10 business days but will not yet send the full evaluation file to the Dean. Within an additional period of 5 business days the candidate may request that the Dean of the Faculty conduct a Procedural Review of the Methodology Section of the Committee's Report and/or the subsequent procedures followed by the College Librarian, specifying objections to the procedures that were followed. The Dean will notify all parties in writing of his or her determination. If a procedural error is detected, the Dean will direct the Committee and/or the College Librarian to rectify the problem within a reasonable time period, preferably 30 days. Once the Procedural Review has been either been completed or the time for requesting one has passed, all evaluation materials, including any revisions, are forwarded to the Dean for examination.

The Dean of the Faculty will make a final determination regarding reappointment and inform the candidate of the determination.

If the Dean's evaluation results in a negative determination for reappointment, the candidate will be offered a one year terminal contract.

If the College Librarian's recommendation for reappointment is positive but the Dean's is negative, the Dean will also provide the candidate with an explanation of his or her reasons for not accepting the College Librarian's recommendation.

E. Subsequent Three Year Contracts

After the sixth year, the candidate will be reviewed on a triennial basis by his or her immediate supervisor. These reviews will be based upon the criteria described in section I of this Appendix and utilize information on the Triennial Merit Review Form for Librarians, on the Library Faculty Activity Sheets submitted annually, on any supplementary material submitted by the candidate, and

on any other sources of information the immediate supervisor considers pertinent. These reviews will be used to inform the College Librarian's recommendations for merit and contract renewals and will also provide information for the process of promoting a candidate to the rank of Librarian.

III. PROCEDURES FOR PROMOTION TO LIBRARIAN

A. Eligibility

Associate Librarians at Schaffer Library are ordinarily eligible for promotion to the rank of Librarian if they have completed at least ten years of professional experience, including a minimum of five years at the rank of Associate Librarian at Union College.

B. Nominations

A candidate for promotion to Librarian may be nominated by any of the following:

- i. The Dean of Faculty / Vice President for Academic Affairs
- ii. The library director
- iii. The librarian himself or herself
- iv. At least two librarians who have attained the rank of either Professor or Librarian.

Nominations should include a summary of the factors that prompt the nomination and be submitted to the library director by October 1 in the fall term of each academic year. Within a week, the director will inform all nominees that they are candidates for promotion. Candidates will be given two weeks thereafter to indicate to the director that they wish to proceed with the nomination process. Should candidates fail to indicate their desire to proceed at that time or to submit a promotion portfolio by the deadline given in section E below, they will not be considered for promotion during that academic year and will need to be re-nominated in order to be considered for promotion in a subsequent year.

C. Criteria for Promotion

Promotion to the rank of Librarian is awarded in recognition of a sustained contribution to the educational programs of the College, demonstrated competence and achievement within the profession, and continued service to the campus community. Primary emphasis will be placed on achievements since the completion of the sixth year review. Promotion typically requires all of the following:

- i. Sustained excellence in the candidate's performance as a librarian including demonstrated capacity for independent planning and action.
- ii. Sustained professional development and scholarship as recognized by the profession, including but not limited to achievement in areas such as: lecturing; consulting; presenting at conferences; publishing in professional journals, monographs, or online sources; reviewing and obtaining grants; participating visibly and effectively in local, state, or national professional and academic associations; preparing scholarly exhibits.
- iii. Sustained service to the College.

D. Promotion Committee Membership

At the beginning of the academic year those librarians who have attained the rank of either Professor or Librarian shall constitute the promotion committee. If at least two such librarians are not available, the Dean of Faculty will appoint, as needed, one or two faculty members from Division I who have attained the rank of full Professor to serve on the committee.

E. Procedures for Determining Promotion

Candidates who have been nominated for promotion and have indicated their desire to proceed by the deadline in the fall term will submit to the library director a supporting portfolio by January 15 of the winter term following their nomination. The library director will forward the portfolio to the promotion committee. The portfolio should include the following information:

- i. A current curriculum vita complete from the first date of hire.
- ii. Publications and/or presentations since the candidate's appointment at the rank of Associate Librarian: full text of all, or summaries and descriptions when full text is not practical (for example for poster sessions); include here all reviews and literature reviews.
- iii. Other scholarly or professional work since the candidate's appointment at the rank of Associate Librarian: grant applications, awards, recognition, products reflecting professional activities.
- iv. Teaching/training activities for students, faculty, staff, or outside groups of any kind since the candidate's appointment at the rank of Associate Librarian.
- v. Copies of Faculty Activity Sheets and any performance reviews since the candidate's appointment at the rank of Associate Librarian.
- vi. Committee and workgroup activities in the library as well as on the campus: list all, with outcomes or products, with an explanation of the candidate's role, since the candidate's appointment at the rank of Associate Librarian.
- vii. Research, service, and professional development and performance statement.

After reviewing the portfolio, the promotion committee will send it and an accompanying positive or negative recommendation with a letter of explanation to the library director no later than the start of the spring term. After receiving the recommendation and portfolio from the committee, the director will submit his or her own recommendation to the Dean of Faculty / Vice President for Academic Affairs, who will determine the final outcome.

If the review results in a positive decision, the candidate will be promoted to the rank of Librarian with the accompanying benefits. In the case of a negative decision by the Dean of Faculty, he or she will write a letter of explanation and offer to meet with the candidate to discuss the decision. A librarian who has been denied promotion may re-nominate himself or herself, or be re-nominated by any of those named in section B above, no sooner than three years from date of the original nomination.