

## **FACULTY EVALUATION PROCEDURES**

VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

UNIVERSITY LIBRARIES

Revised 2/22/16

Library Faculty Association

Faculty Evaluation Procedures Document Update Task Force

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### **1. INTRODUCTION**

- 1.1. The cultivation of library faculty who effectively serve the university community and mission is a fundamental goal underlying all Virginia Tech library faculty personnel policies.
- 1.2. This document should be interpreted to be consistent with the University Libraries' policies on promotion and continued appointment and on post-tenure review.
- 1.3. The Virginia Tech Faculty Handbook specifies that an evaluation of every faculty member's performance must be conducted annually. To this end, all library employees holding faculty appointments shall prepare a faculty activity report (FAR), citing professional accomplishments, activities, and recognitions during the evaluation period.
- 1.4. Faculty not on continued appointment track shall also follow these procedures, however, the evaluator may set forth terms specific to the appointment that may differ from those set forth in this document. Evaluation for faculty not on continued appointment track will always include job performance. However, evaluation of service and professional engagement for faculty not on continued appointment track may vary based on job description.
- 1.5. Faculty members are evaluated by supervisor(s). When a faculty member has assignments that cross units or departments, the supervisor(s) shall confer and develop an evaluation that reflects overall responsibilities.

### **2. EVALUATIONS**

- 2.1. The University Libraries and the Virginia Tech community may reasonably expect all library faculty to meet standards of performance detailed in the position descriptions and library and university policies.
  - 2.1.1. The position description provides the fundamental criteria for job performance and may be adjusted during the year. Any position responsibilities are discussed with the faculty member prior to adjustment.
  - 2.1.2. Standards of performance cannot be designed to restrict academic freedom, protection of minority opinions, dissent from professional orthodoxies, or honest and civil disagreement with administrative actions.
- 2.2. The annual evaluation process serves as an opportunity for faculty members to compile and document records of professional achievement and growth.

- 2.3. FARs and evaluations shall address achievements of position-related goals as well as address those goals which have not been achieved. FARs may also address achievements not anticipated in the previous evaluation.
- 2.4. Evaluations necessarily involve the exercise of judgment. Accordingly, evaluators should include rationales for assigning performance ratings.
- 2.5. While conciseness is a virtue, faculty members and evaluators alike should recognize that giving detailed accounts and rationales are needed for understanding strengths and areas of concern.
- 2.6. Because it is expected that a continuous dialogue on the faculty member's progress will take place throughout the evaluation period, FARs and written evaluations shall not contain negative points that have not been discussed during the evaluation period.

### **3. PERFORMANCE PLANNING**

- 3.1. In accordance with library performance planning and evaluation procedures, faculty members will meet with the supervisor(s) at least three times per year (fall, spring, and summer) with the annual evaluation during the summer meeting.
- 3.2. New faculty members will meet with the supervisor(s) within the first month to establish performance goals for the remainder of the review period.
- 3.3. Planning meetings are intended to be a more thorough discussion of progress on performance goals and should be documented. To document planning meetings, managers are free to use whatever tools are most effective for all involved. Examples of tools that may be used include Google Docs, e-mail, MS Word documents, or paper forms.
- 3.4. These planning meetings establish an opportunity to communicate, update performance goals, and review progress to ensure performance goals will be completed.

### **4. EVALUATION PROCESS**

- 4.1. The evaluation period begins May 1 and ends April 30.  
The University Libraries Planning Calendar shall include the dates for each stage of the evaluation cycle:
  - Library Personnel Officer sends current job descriptions to faculty members and supervisors prior to May 1
  - Review of position description by faculty members and evaluators
  - Submission of FAR and goals to the evaluator by the faculty member
  - Supervisor(s) drafts evaluation and goals; distributes to the faculty member prior to conference
  - Conference to discuss evaluation and goals; sign final signature sheet
  - Submission to the reviewer (the supervisor's supervisor(s))
  - Filing in human resources
- 4.2. The position description should outline the responsibilities of the position, and should not describe the incumbent's strengths or talents. Each year, the position description must be signed by the faculty member and forwarded to the library personnel office.
- 4.3. FAR
  - 4.3.1. The faculty member shall prepare a FAR covering the previous evaluation period according to the format detailed in Appendix A, sign it, and forward it to the evaluator by the date specified in the University Libraries planning calendar or date specified by the evaluator.

- 4.3.2. The FAR will cover the three performance categories detailed in Procedures on Promotion and Continued Appointment (PPCA). For each performance category, the faculty member will provide:
- A description of activities
  - Comments on performance during the previous reporting period
  - A progress report on any goals set the previous year
  - Any goals for the upcoming year
- 4.3.3. The emphasis of the FAR should be on activities directly related to professional responsibilities.
- 4.3.4. Categories in which the faculty member was not active should be omitted.
- 4.3.5. Reviewed by the faculty member's department director and the dean of University Libraries, the FAR becomes part of the basis for salary adjustments (per Virginia Tech Faculty Handbook).
- 4.4. Evaluation Roles
- 4.4.1. Evaluator's Role
- 4.4.1.1. The evaluator shall prepare a final draft evaluation according to the format detailed in Appendix B and notify the faculty member that a draft is available for discussion, if the faculty member desires.
- 4.4.1.2. The evaluator shall give a copy of the final draft of the evaluation to the faculty member and schedule a meeting to take place at least three working days after providing the copy. The purpose of the meeting is to discuss the written evaluation and any recommendations it contains.
- 4.4.1.3. The faculty member being evaluated shall discuss the final draft of the written evaluation(s) with the supervisor(s) before signing.
- 4.4.1.4. Evaluators who jointly evaluate the same faculty member must provide a single evaluation and recommendation or, if they cannot reach consensus, individual ones. That is, evaluators cannot defer to others their responsibilities to assess and make recommendations about each faculty member they supervise.
- 4.4.1.5. The written evaluation shall discuss each of the performance categories. An overall rating and narrative assessment of the faculty member's performance will be given.
- 4.4.1.6. Once the written evaluation is signed by the faculty member and evaluator(s), the evaluator(s) shall give a copy of the signed evaluation to the dean for signature.
- 4.4.2. Faculty Member's Role
- 4.4.2.1. The faculty member may request an additional meeting with the supervisor(s) to discuss changes to the evaluation before it is sent to the supervisor's supervisor(s) and/or the dean of the University Libraries for final review and signature.
- 4.4.2.2. The faculty member may respond in writing on a separate sheet. This response will be attached to the FAR and evaluation as one file.
- 4.4.2.3. After the meeting with the supervisor(s), any faculty member may schedule a meeting with the supervisor's supervisor(s) and/or the dean of the University Libraries to discuss the evaluation. All such discussion shall take place before the date the evaluations are due in the dean's office.
- 4.4.3. Dean's Role

4.4.3.1. The dean reviews the written evaluations and may request revisions before signing.

4.5. Submission and filing

- 4.5.1. To complete the evaluation file, a signature sheet (see Appendix C) must be added as a cover to the activity report, the evaluation, and any written response to the evaluation. The signatures of the faculty member and the evaluator will signify that they have discussed the FAR and evaluation.
- 4.5.2. The complete evaluation file shall be forwarded to the dean of the University Libraries for a final review. The dean's signature on the cover page will signify the file has been read.
- 4.5.3. Upon completion of the review process, all documents shall be forwarded to the library personnel office, to be filed in the faculty member's personnel file.
- 4.5.4. No library administrator, faculty member, or other employee shall, without the consent of the faculty member in question, share any annual evaluation with anyone other than the faculty member and the current supervisory chain except when:
- The faculty member opts to include the annual evaluation in the dossier for promotion and/or continued appointment, or
  - The post-tenure review process is initiated

## 5. PERFORMANCE EXPECTATIONS

- 5.1. Expectations of performance for the purposes of annual evaluation generally parallel those for promotion and continued appointment, and contain three categories as described in the PPCA.
- 5.2. Professional responsibilities in the PPCA are the fundamental criteria of the annual evaluation process. The minimal expectation is that each faculty member shall fulfill the assigned professional responsibilities as detailed in the position description.
- 5.3. Faculty members are also expected to demonstrate ongoing engagement with the profession and the larger communities.
- 5.4. Scholarly and service activities, if any, completed during the evaluation period should be identified.
- 5.5. While low levels of activity in either scholarship or service during any particular year may lessen the opportunities for merit adjustments, they are not sufficient grounds to exclude that continued appointment faculty member from consideration for merit adjustments.
- 5.6. Expectations of scholarly and service activity increase with the continued appointment faculty member's academic rank.

## 6. RATING SYSTEM

- 6.1. Evaluators shall assign the ratings described below to summarize each faculty member's overall performance. Ratings complement narrative evaluations of accomplishments and deficiencies; they do not substitute for them.
- 6.2. In the evaluation, evaluators or faculty members may choose to have ratings applied to the three individual PPCA categories (3.1, 3.2, 3.3), of performance in order to help explain the rating. The overall rating should be based primarily on the criteria of PPCA 3.1, job performance.
- 6.3. The performance ratings are:
- *Unsatisfactory* (See special requirements in sections below.)
  - *Needs Improvement*
  - *Meets Expectations*
  - *Exceeds Expectations*

- 6.3.1. A rating of Unsatisfactory indicates that a faculty member's performance is deficient in minimally meeting expectations for the position and it puts employment at risk.
- 6.3.2. The rating of Unsatisfactory shall be based on the faculty member's job performance and documented expectations during the evaluation period.
- 6.3.3. Whenever an Unsatisfactory is assigned, the burden lies with the evaluator to demonstrate and document how, when, and in what respects the faculty member has failed to perform the obligations as contained in the position description and other documented performance expectations. The evaluator will also document any interventions during the course of the evaluation period that demonstrates attempts to help the faculty member improve performance.
- 6.3.4. When a faculty member receives a rating of Unsatisfactory, they will devise a performance plan for remediation with the supervisor(s) and the concurrence of the dean of the University Libraries. This plan shall be filed along with the current annual activity report and must be completed before the next annual evaluation.
- 6.3.5. When a library faculty member with continued appointment or tenure receives a rating of Unsatisfactory, the case shall be governed by the University Libraries' Post-Tenure Review Policies and Procedures.
- 6.3.6. The rating, Needs Improvement, is appropriate when there are specific and remediable deficiencies, even though the overall performance may minimally satisfy the performance expectations for a faculty member at that academic rank. Whenever a rating of Needs Improvement is assigned, the evaluator provides specific recommendations for improvement in the evaluation.
- 6.3.7. The rating, Meets Expectations, is appropriate when the faculty member adequately meets the expectations of performance and previously identified goals with no significant deficiencies.
- 6.3.8. The rating, Exceeds Expectations, is appropriate when the faculty member surpasses the expectations in the category of job performance and makes significant achievements in at least one or more performance categories.
- 6.3.9. If no rating is assigned, then the evaluation is considered incomplete.
- 6.3.10. Disputes concerning evaluator procedures, ratings, comments, and recommendations of merit adjustments shall be handled according to the university grievance policy and procedures. (See Virginia Tech Faculty Handbook)

## **7. MERIT ADJUSTMENTS**

- 7.1. Merit adjustments, as reflected by an increase in annual salary, are based on the quality of the faculty member's fulfillment of assigned responsibilities, professional development, and other contributions. Merit adjustments are not automatic.
- 7.2. The dean of the University Libraries requests recommendations for merit adjustments from departments which are then reviewed by the dean, the university provost, and the president of the university. The final decision rests with the university's Board of Visitors. (See Virginia Tech Faculty Handbook)
- 7.3. The role of the supervisors and administrators is to provide the dean with requested information for merit adjustments.
- 7.4. The role of the dean is to make final determinations of merit adjustments.

## APPENDIX A

### FORMAT OF THE FACULTY ACTIVITY REPORT

Your report should be concise, preferably no more than three pages, and will begin with a heading, to include:

- Name
- Academic rank
- Position title
- Department/section
- Time period covered by report (month/year)

Attach your position description(s) for the reporting period along with any appendices that document or explain further those items included in the three page summary.

Base your report on your position description and for each performance criterion provide a description of your activities during the previous reporting period, comment on your performance, report on any goals set the previous reporting period, and state any new goals for the upcoming year.

Use the categories described in section 1-3, below. These three categories correspond to *Procedures on Promotion and Continued Appointment* respectively, and will change as the Promotion and Continued Appointment (P&CA) policy changes. Include your receipt of awards, grants, and honors in the appropriate category. Accomplishments in other areas beyond these such as diversity activities may be included in the report and will be considered.

When writing your report, consider your activities and how they:

- Influence the broader professional and/or scholarly communities
- Affect the entire organization
- Contribute to your specific department
- Improve the services provided to our users
- Increase your level of cooperation/collaboration with others
- Relate to your own professional goals as well as departmental goals

When discussing goals within each of these three sections:

- Describe your success in meeting the goals set at your last performance review
- Discuss how you would correct any deficiencies or address difficulties encountered
- Describe any projects and goals you would like to achieve for (a) yourself and (b) your department in the upcoming evaluation period
- When appropriate, describe any longer-term projects and goals you would like to achieve for (a) yourself and (b) your department
- List any areas of responsibility for which you feel additional assistance, guidance, and/or training would enhance your professional development

#### 1. PROFESSIONAL RESPONSIBILITIES, AS OUTLINED IN THE CURRENT POSITION DESCRIPTION.

These are the most important criteria for your annual evaluation. The activities on which you report will be in relation to your specific job responsibilities.

These activities should provide evidence of some or all of the following:

- 1.1. High level of performance, working independently and with initiative. Knowledge of the specifics of one's assigned responsibilities and demonstrated skill in performing those responsibilities. This includes judgment and decision-making abilities, quality of completed work assignments, and the ability to set and accomplish appropriate performance goals.
- 1.2. General knowledge of the profession, including trends, issues, new ideas, and technological changes. This includes a demonstrated effectiveness in applying one's expertise to bibliographic techniques, developing timely access to research-level information sources, and offering user-centered library services to support research and teaching in order to meet the needs of the university community.
- 1.3. Commitment to the library's mission as a collaborative partner with members of the university community in meeting the information, curricular, and research needs of students, faculty, and staff of Virginia Tech.
- 1.4. Understanding of the organization, policies, procedures, and services of the University Libraries, and a demonstrated ability to serve the library clientele through interpretation of these policies and procedures.
- 1.5. Demonstrated ability to work cooperatively and collaboratively with library personnel to further the goals of the university.
- 1.6. Participation in library and/or university-wide diversity initiatives
- 1.7. Demonstration of professional contributions in terms of entrepreneurship, innovation, global engagement, or interdisciplinary work.

If you are in a supervisory position, you should provide evidence of all or some of the following:

- 1.8. Effectiveness in leadership, administration, and supervision of a unit or section of the University Libraries. Ability to train, coordinate, and evaluate personnel, as well as to assist and delegate work in the performance of specific functions essential to the operations of the University Libraries.

## **2. ENGAGEMENT WITH THE PROFESSION**

Your report of engagement with the profession may include any of the following:

- 2.1. Research as evidenced by publications. Publications will be evaluated in light of purpose, audience, and potential contribution to the goals of the University Libraries. In general, works that undergo considerable scrutiny before acceptance (for example by referees, editorial boards, anthology editors, etc.) will be deemed of higher value, as will works that are openly accessible (for example in an open access journal or repository).
- 2.2. Presentations at professional meetings, such as papers, workshops, and poster sessions.
- 2.3. Organizing or chairing sessions at professional meetings.
- 2.4. Teaching and/or development of instructional services, curricula, and programs beyond those specified in your primary assignment.
- 2.5. Enrollment in, and completion of, continuing education courses and professional certification programs; pursuit of additional graduate degrees bearing on your area of core responsibility.
- 2.6. Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement.
- 2.7. Consultative or service activities applying one's professional expertise.
- 2.8. Outreach activities that benefit local or state community.
- 2.9. Local, state, regional, and national associations. Such participation might include holding office, serving on committees and panels, and organizing events at professional meetings.

## **3. UNIVERSITY ACTIVITIES**

Continued appointment faculty members are expected to actively participate in service activities. Service opportunities may include, but are not limited to the following:

- 3.1. University commissions and committees, college and departmental committees, or faculty governance positions.
- 3.2. Committees of the University Libraries.
- 3.3. University-sponsored events.
- 3.4. Services to students that involve interactions outside or beyond assigned responsibilities (e.g. advising a student organization).



## APPENDIX B

### FORMAT OF THE EVALUATION

Evaluators will use the faculty member's FAR as the basis for the evaluation, addressing the criteria outlined below. This evaluation is intended not merely to help evaluators and the dean with merit adjustment and/or short-term remediation decisions, but will also help individual faculty plan for advancement through continued appointment and promotion at Virginia Tech and pursuit of general professional development. The faculty member under review may choose to include the evaluation in the dossier for promotion and/or continued appointment.

Evaluators must assign a rating for overall performance, and may assign a rating for each of the three categories, as outlined in section 5 of the Faculty Evaluation Procedures. The three categories correspond to *Procedures on Promotion and Continued Appointment*, respectively, and will change as the P&CA policy changes.

For each rating, evaluators must explain how performance was above or below expectation. Available ratings:

- Unsatisfactory
- Needs Improvement
- Meets Expectations
- Exceeds Expectations

For a faculty member on probationary appointment:

- a) Address any concern for the faculty member's potential for achieving continued appointment.
- b) Provide suggestions for strengthening the faculty member's professional development as it may be evaluated by future committees in the continued appointment process.

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- 1.2 General knowledge of the profession, including trends, issues, new ideas, and technological changes. This includes a demonstrated effectiveness in applying one's expertise to bibliographic techniques, developing timely access to research-level information sources, and offering user-centered library services to support research and teaching in order to meet the needs of the university community.
- 1.3 Commitment to the library's mission as a collaborative partner with members of the university community in meeting the information, curricular, and research needs of students, faculty, and staff of Virginia Tech.
- 1.4 Understanding of the organization, policies, procedures, and services of the University Libraries, and a demonstrated ability to serve the library clientele through interpretation of these policies and procedures.
- 1.5 Demonstrated ability to work cooperatively and collaboratively with library personnel to further the goals of the university.
- 1.6 Participation in library and/or university-wide diversity initiatives.

If you are in a supervisory position, you should provide evidence of all or some of the following:

- 1.7 Effectiveness in leadership, administration, and supervision of a unit or section of the University Libraries. Ability to train, coordinate, and evaluate personnel, as well as to assist and delegate work in the performance of specific functions essential to the operations of the University Libraries.

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- 2.4 Teaching and/or development of instructional services, curricula, and programs beyond those specified in your primary assignment.
- 2.5 Enrollment in, and completion of, continuing education courses and professional certification programs; pursuit of additional graduate degrees bearing on your area of core responsibility.
- 2.6 Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement.
- 2.7 Consultative or service activities applying one's professional expertise.
- 2.8 Outreach activities that benefit local or state community.
- 2.9 Local, state, regional, and national associations. Such participation might include holding office, serving on committees and panels, and organizing events at professional meetings.

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- 3.2 Committees of the University Libraries.
- 3.3 University-sponsored events.
- 3.4 Services to students that involve interactions outside or beyond one's assigned responsibilities (e.g. advising a student organization).

## **APPENDIX C: SIGNATURE SHEET**

My signature indicates that this evaluation was discussed with me and that I was given the opportunity to comment. I understand that I may submit a written response to this evaluation, if I wish. My signature does not indicate that I agree or disagree with this evaluation.

Faculty Member \_\_\_\_\_ Date \_\_\_\_\_

We have seen and discussed this evaluation.

Evaluator \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

Evaluator \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

Evaluator \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

Dean of Libraries \_\_\_\_\_ Date \_\_\_\_\_