FACULTY EVALUATION PROCEDURES

VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

UNIVERSITY LIBRARIES

Library Faculty Association
Faculty Affairs Committee

Revised March 2009 by the Faculty Affairs Committee
and approved by the Library Faculty Association

Faculty Affairs Committee:
Bruce Pencek, chair
Ana Dubnjakovic
Mary Finn
Kyrille Goldbeck
Aaron Purcell

1. INTRODUCTION

1.1. The Virginia Tech *Faculty Handbook*, section 2.10.1, 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 annual report (hereinafter referred to as the FAR), citing professional accomplishments, activities, and recognitions during the evaluation period.

   1.1.1. Faculty on term appointments shall also follow these procedures, however, the evaluator may set forth terms specific to the term appointment that may differ from those set forth in this document.

1.2. The department directors are the evaluators for faculty in their departments. When there are subunits within these departments, the subunit supervisors are the evaluators for faculty in their subunits. When a faculty member has assignments that cross units or departments, the department directors shall confer and develop an evaluation that reflects overall responsibilities. The dean of the University Libraries evaluates the directors and the associate dean.

1.3. This document should be interpreted to be consistent with the University Libraries' policies on promotion and continued appointment and on post-tenure review.

2. PRINCIPLES AND VALUES

2.1. The cultivation of library faculty as librarians who effectively serve the university community and mission is a fundamental goal underlying all Virginia Tech library faculty personnel policies.

   2.1.1. Accordingly, the annual evaluation process serves as the basis for annual salary adjustments (per Virginia Tech *Faculty Handbook*, section 2.10.1).

   2.1.2. The annual evaluation process serves as an opportunity for librarians to compile and document records of achievement and growth as they advance through continued appointment and promotion.

   2.1.3. FARs and evaluations shall address achievements of position-related goals identified in the previous sixth-month or annual report and evaluation and extenuating circumstances when those goals have not been achieved. FARs shall also address achievements not anticipated in the previous report and evaluation.

2.2. The University Libraries and the Virginia Tech community may reasonably expect all library faculty to meet standards of performance detailed in their position descriptions and library and university policies, and to conduct their work in ways consistent with professional norms.

   2.2.1. The position description provides the fundamental criteria for job performance.

2.2.1.1.   Position responsibilities may be adjusted during the year. Any position responsibilities are discussed with the faculty member prior to adjustment.

2.2.2. The application of these standards should not be interpreted as an attempt to restrict academic freedom, protection of minority opinions, dissent from professional orthodoxies, or honest and civil disagreement with administrative actions.

2.2.3. Library faculty are expected to adhere to the standards of conduct and ethical behavior as stated in the Virginia Tech *Faculty Handbook*.

2.3. Evaluations necessarily involve the exercise of judgment. Accordingly, evaluators shall include in every faculty member's evaluation their rationales for assigning performance ratings.

2.4. While conciseness is a virtue, faculty members and evaluators alike should recognize that giving detailed accounts and rationales may be needed in order to understand each librarian's unique work, to enhance individual strengths, and to rectify deficiencies.

2.5. 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 are not appropriate media for unanticipated assessments of a librarian's work during the preceding year.

2.6. In addition, the annual review and evaluation provide regular channels for library faculty to discuss with their supervisors what are his/her professional goals and to address any concerns.

3. EVALUATION OF NEW LIBRARY FACULTY

3.1. A new faculty member entering the library system will be evaluated after six months, and thereafter at the end of each annual evaluation period.

3.2. The evaluator and new faculty member will set goals for the first six months. This process shall be initiated by the evaluator. Discussion during this initial period provides an opportunity for the faculty member and evaluator to review the faculty member's progress and set further goals

4. PERFORMANCE EXPECTATIONS

4.1. Departmental 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 *Procedures on Promotion and Continued Appointment* (hereinafter *PPCA*), sections 3.1 (Professional Responsibilities), 3.2 (Engagement with the Profession), and 3.3 (University Activties).

4.2. Professional responsibilities (*PPCA* 3.1) are the fundamental criteria of the annual evaluation process. The minimal expectation is that each library faculty member shall fulfill his/her assigned professional responsibilities as detailed in his/her position description.

4.3. Librarians are also expected to demonstrate their ongoing engagement with the profession of librarianship and the larger communities of which the University Libraries are a part (*PCCA* 3.2 and 3.3).

4.3.1. Scholarly and service activities, if any, completed during the evaluation period should be identified.

4.3.2. While low levels of activity in either scholarship or service during any particular year may lower the placement of a librarian in the relative rankings for recommended salary adjustment for that year (see section 7, below), they are not sufficient grounds to exclude that librarian from consideration for salary increases.

4.3.3. Expectations of scholarly and service activity increase with the librarian's rank.

5. RATING SYSTEM

5.1. 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.

5.1.1. Evaluators may choose to apply the ratings to the three individual *PPCA* categories of performance in order to help explain their judgments.

5.1.2. If a librarian requests his/her evaluator to apply a rating in each category, the evaluator shall honor the request.

5.1.3. Category-level ratings are advisory, however, only the overall rating shall be binding for purposes of post-tenure review or other procedures that may depend on the annual evaluation.

5.1.4. The overall rating should be based primarily on the criteria of *PPCA* 3.1, job performance.

5.2. The performance ratings are:

- *Unsatisfactory* (See special requirements in section 5.3, below.)
- *Needs Improvement*
- *Meets Expectations*
- *Exceeds Expectations*

5.3. A rating of *Unsatisfactory* indicates that a librarian's performance is so seriously deficient in minimally meeting expectations for his/her position that it puts his/her employment at risk.

5.3.1. The rating of *Unsatisfactory* shall be based entirely on the librarian's performance of explicitly assigned responsibilities as detailed in the position description, during the evaluation period.

5.3.2. Whenever an *Unsatisfactory* is assigned, the burden lies with the evaluator to demonstrate and document how, when, and in what respects the librarian has failed to perform his/her obligations as contained in the position description. The evaluator will also document his/her own interventions during the course of the evaluation period that demonstrates attempts to help the librarian improve his/her performance.

5.3.3. When a library faculty member holding a term appointment or probationary appointment receives a rating of *Unsatisfactory,* he/she may devise a plan of remediation with his/her supervisor and the concurrence of the dean of the University Libraries. This plan shall be filed along with his/her current annual activity report and must be completed before his/her next annual evaluation.

5.3.4. When a library faculty member with continued appointment or tenure receives a rating of Unsatisfactory in two consecutive evaluations, his/her case shall be governed by the University Libraries' *Post-Tenure Review Policies and Procedures*.

5.4. 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 librarian at that rank.

5.4.1. Whenever a rating of *Needs Improvement* is assigned, the evaluator shall provide specific recommendations for improvement in the evaluation.

5.5. The rating, *Meets Expectations*, is appropriate when the faculty member adequately meets the expectations of performance and previously identified goals with no significant deficiencies.

5.6. The rating, *Exceeds Expectations*, is appropriate when the faculty member meets the expectations in all categories and makes significant achievements in one or more performance categories.

5.7. Disputes concerning evaluator procedures, ratings, comments, and recommendations of salary adjustments shall be handled according to the university grievance policy and procedures. (See Virginia Tech *Faculty Handbook*, section 2.14.)

6. **TIMETABLE**

6.1. 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:

- review of position description
- submission of faculty annual report
- evaluation

- consultation
- submission and filing.

6.2. Review of position description

6.2.1. The faculty member and his/her evaluator shall review the faculty member's position description at least six weeks before the end of the evaluation cycle.

6.2.2. The position description should outline the responsibilities of the position, and should not describe the incumbent's strengths or talents.

6.2.3. Each year, the position description must be signed by the faculty member and forwarded to the library personnel office.

6.3 Faculty annual report (FAR)

6.3.1 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*, section 2.10.1).

6.3.2 The faculty member shall incorporate material from FARs into the dossier for promotion and continued appointment (per Virginia Tech *Faculty Handbook*, section 2.9.5).

6.3.3 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 his/her evaluator by the date specified in the University Libraries planning calendar.

6.3.4 The FAR will cover the three performance categories identified in section 4.1 above, and detailed in *PPCA* 3.1, 3.2, and 3.3.

6.3.5 For each performance category, the faculty member will provide:

- a description of his/her activities
- comments on his/her performance during the previous reporting period
- a progress report on any goals set the previous year
- any goals for the upcoming year.

6.3.6 The emphasis of the FAR should be on activities directly related to professional responsibilities.

6.3.6.1 Achievements related to sections 3.2 and 3.3 of *PPCA* should be described.

6.3.7 Categories in which the faculty member was not active should be omitted.

6.4 Evaluation

6.4.1 Evaluator's Role

6.4.1.1 The evaluator shall prepare a draft evaluation of the FAR 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.

6.4.1.2 The evaluator shall give a copy of the final draft of the evaluation to the faculty member and schedule a meeting to take place with him/her 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.

6.4.1.3 The evaluator shall discuss the final draft of the written evaluation with his/her supervisor(s) before signing.

6.4.1.4 Evaluators who jointly evaluate the same faculty member(s) 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.

6.4.1.5   The written evaluation shall discuss each of the performance categories and conclude with an overall rating and narrative assessment that indicates the degree to which the faculty member's performance for the evaluation period meets expectations.

6.4.1.6   Once the written evaluation is signed by the faculty member and evaluator, the evaluator shall give a copy of the signed evaluation to the dean for his/her signature.

6.4.2   Faculty Member's Role
6.4.2.1   The faculty member may request a meeting with his/her supervisor to discuss the draft evaluation before it is sent to the evaluator's supervisor and/or the dean of the University Libraries for final review and signature.

6.4.3   Dean's Role
6.4.3.1   The dean reviews the written evaluations and may request revisions before signing.

6.5 Response
6.5.1   After reading his/her evaluation, the faculty member may respond in writing on a separate sheet. This response will be attached to the FAR and evaluation as one file.

6.5.2   After the meeting with his/her evaluator, any faculty member may schedule a meeting with his/her evaluator's supervisor 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.

6.6 Submission and filing
6.6.1   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.

6.6.2   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 that he/she has read the file.

6.6.3   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.

6.6.4   No library administrator, faculty member, or other employee shall, without the consent of the librarian in question, share any annual evaluation with anyone other than the faculty member and his/her supervisor except when:

- that faculty member opts to include the annual evaluation in his/her dossier for promotion and/or continued appointment, or
- the post-tenure review process is initiated.

7. SALARY ADJUSTMENTS
7.1 Salary adjustments are determined annually, based both on the quality of the faculty member's response to assigned responsibilities and his/her professional development and contributions (including scholarly contributions and service activities). Salary adjustments are based on merit; they are not automatic.

7.2 Recommendations for salary adjustments originate with the department director and are reviewed by the dean of the University Libraries, 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*, section 2.10.1)

7.3 Salary adjustments are meant to reflect a range of merit. Individuals will be placed at locations along this range. The funding available for salary adjustments is determined by the university.

7.4 Directors' role

7.4.1   Once a budget for salary adjustments for a department has been specified by the dean, the director shall then produce a listing of salary adjustments that ranks individual faculty on a percentile scale. This ranking tells the dean how directors wish to distribute the salary adjustment budget.

7.5 Dean's role

7.5.1   The dean of the University Libraries shall make salary adjustments within the available range specified by the university and in relation to overall performance accomplishments of all library faculty.

7.5.2   The dean shall consider the FARs, the written evaluations, and the rank listings to compile an overall ranking of library faculty. He/she shall use the ranking assigned by the supervisors to fit all faculty into an interdepartmental list.

7.5.3   The relative order of merit considerations on the interdepartmental list will closely parallel each supervisor's rank-order listing of his/her department. For example, if a supervisor has put an individual at the head of that department's list, that faculty member will generally have that same overall relationship to his/her department peers on the combined list.

7.5.4   If a faculty position is vacant, funds from the vacant position may be added to the library-wide salary adjustments budget.

APPENDIX A
FORMAT OF THE FACULTY ANNUAL REPORT

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

- Name
- 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 categories correspond to *Procedures on Promotion and Continued Appointment*, sections 3.1- 3.3, respectively, and will change as the P&CA policy changes. Include your receipt of awards, grants, and honors in the appropriate category. Activities and accomplishments in other appropriate areas beyond these may be included in the report and will be considered.

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

- impact the entire organization
- impact 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 criterion 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 in librarianship. 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.

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 publication (for example, by referees, editorial boards, anthology editors, etc.) will be deemed of highest value.

2.2 Presentations at professional meetings, such as papers, workshops, and poster sessions; organizing or chairing sessions at professional meetings.

2.3 Teaching and/or development of instructional services, curricula, and programs beyond those specified in your primary assignment.

2.4 Enrollment in, and completion of, continuing education courses and professional certification programs; pursuit of additional graduate degrees bearing on your area of core responsibility.

2.5 Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement.

2.6 Consultative or service activities applying one's professional expertise.

2.7 Outreach activities that benefit local or state community.

2.8 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**

Librarians 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 one's assigned responsibilities (e.g. advising a student organization).

APPENDIX B

FORMAT OF THE EVALUATION

Evaluators will use the faculty member's Faculty Annual Report (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 salary adjustment and/or short-term remediation decisions, but will also help individual librarians plan their advancement through continued appointment and promotion at Virginia Tech and their pursuit of general professional development. The faculty member under review may choose to include the evaluation in his/her 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*, sections 3.1- 3.3, 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 use in extraordinary cases

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.

1. **Professional responsibilities, as outlined in the current position description.**

   These are the most important criterion 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 in librarianship. 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.

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 publication (for example, by referees, editorial boards, anthology editors, etc.) will be deemed of highest value.
  2.2 Presentations at professional meetings, such as papers, workshops, and poster sessions; organizing or chairing sessions at professional meetings.
  2.3 Teaching and/or development of instructional services, curricula, and programs beyond those specified in your primary assignment.
  2.4 Enrollment in, and completion of, continuing education courses and professional certification programs; pursuit of additional graduate degrees bearing on your area of core responsibility.
  2.5 Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement.
  2.6 Consultative or service activities applying one's professional expertise.
  2.7 Outreach activities that benefit local or state community.
  2.8 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 Activites

Librarians 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 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_____