

DRAFT for submission OCT. 1, 2012

**CHICAGO STATE UNIVERSITY- LIBRARY AND INSTRUCTION SERVICES
DEPARTMENTAL APPLICATION OF CRITERIA**

Effective: September 1, 2012- August 31, 2015

Contract: 2010-2015

RESPONSIBILITIES OF THE FACULTY MEMBER BEING EVALUATED

Each faculty member being evaluated for reappointment, multiple-year appointment, retention, promotion, tenure, or a professional advancement increase must provide an evaluation portfolio covering the designated time period whose contents are determined by the union contract and by the Library and Instruction Services Departmental Application of Criteria (DAC).

Representative documentation should also be included that provides evidence of these accomplishments.

Faculty members undergoing personnel action reviews need two peer evaluations during the evaluation period. The faculty member should arrange for one peer evaluation from a Unit A Library faculty member. The Departmental Personnel Committee (DPC) will select a second peer reviewer from within the unit. All reviewers must have tenure status.

The evaluation portfolio should be submitted to the chairperson of the Library and Instruction Services DPC at the time designated in the University Timetable for Personnel Actions. In addition, the faculty member being evaluated for promotion, tenure, or a professional advancement increase (PAI) must submit a written request for consideration to the Dean of Library and Instruction Services (with a copy to the Contract Administrator) prior to the submission of the evaluation portfolio in accordance with the University Timetable.

STATEMENT ON THE TERMINAL PROFESSIONAL DEGREE FOR ACADEMIC LIBRARIANS

“The master's degree from a program accredited by the American Library Association or from a program in a country with a formal accreditation process as identified by ALA's Human Resource Development and Recruitment Office is the appropriate terminal professional degree for academic librarians.”

Approved as policy by the Board of Directors of the Association of College and Research Libraries, a division of the American Library Association, on January 23, 1975. Reaffirmed by the ACRL Board of Directors, June, 2001 and June, 2007. Modified and reaffirmed by the ACRL Board of Directors at the Spring Executive Committee Meeting, May 11, 2011.

<http://www.ala.org/acrl/standards/statementterminal>

I. DEPARTMENT PERSONNEL COMMITTEE (DPC)

Composition and Duties of the Committee: Members of the DPC shall be selected according to the procedures delineated in the Library and Instruction Services Bylaws. The chair of the DPC will be elected by the committee members.

The DPC shall review materials submitted by the faculty members seeking retention, promotion, or tenure, and provide recommendations based on those materials to the appropriate unit director. The University timetable specifies the appropriate dates for the completion of these activities.

II. EVALUATION

A. Period of evaluation

The portfolio should only contain material for the period under evaluation. The evaluation period for retention shall be the period since the beginning of the employee's last evaluation for retention, with the exception that employees in their second year of employment in the bargaining unit shall have their entire period of employment evaluated. If the faculty member is being evaluated *for retention, the portfolio should contain material since the last retention evaluation. If the faculty member is being evaluated for promotion, the portfolio should contain material reflecting the entire evaluation period since the last promotion. However, if the faculty member is being considered for tenure, the portfolio should contain cumulative information* that is reflective of her or his entire period of service to the University as a tenure track faculty member. The PAI portfolio must contain material over the previous five years. Portfolios for multiple years should be organized as a single portfolio and not organized by year.

B. Materials for Review

All faculty members wishing to be evaluated for retention, tenure, promotion, or PAI shall prepare an evaluation portfolio, which should contain copies of the current DAC and all relevant past DACs, yearlong assignments, a current curriculum vitae, peer evaluations, and any materials the faculty member deems to be appropriate evidence of his/her performance in the three areas of evaluation: performance of primary duties, research/creative activity, and service.

C. Areas of Evaluation

Unit B Faculty (Temporary Faculty Members)

Library and Instruction Services will evaluate Unit B faculty in one area - performance of primary duties. Lecturers will be evaluated in the area of primary duties according to the procedures delineated in Article 33.1 of the Union Contract and in the sections of the Library and Instruction Services DAC that pertain to evaluation guidelines and performance standards for primary duties. Unit B faculty members should have a performance observation during the evaluation period by the immediate supervisor/unit director. Before a negative recommendation is rendered, the *Contract* requires that an observation must have occurred.

Unit A Faculty (Tenured/Tenure Track Faculty Members)

Unit A faculty members will be evaluated in three areas: performance of primary duties, research/creative activity, and service based on the following:

Performance of Primary Duties is the most important of the three areas

Research/Creative Activities and Service Activities are of secondary importance.

Advancement or successful retention is not possible unless the appropriate level of performance in each of the three areas is met.

D. Methods of Evaluation for Unit A Faculty

1. The Department Personnel Committee (DPC) shall discuss and evaluate each candidate using the Library and Instruction Services Departmental Application of Criteria (DAC).
2. The DPC shall evaluate the materials submitted in the evaluation portfolio as supporting evidence of primary duties as these duties are outlined on the faculty member's official Assignment of Duties form.
3. The DPC shall review and discuss the documentation submitted by the candidate as evidence of research and/or creative activity.
4. The DPC shall review and discuss the documentation submitted by the candidate as evidence of service.
5. The DPC may invite the candidate, a director, the dean of the library and/or department bargaining unit members to come to a committee meeting to explain/discuss the candidate's activities in the areas of primary duties, research/creative activity, and/or service. These invited guests do not participate in the vote nor are they present during the voting process.
6. The DPC shall vote by secret ballot to determine its recommendation for each personnel action; the committee will then forward its recommendation, reasons, and the portfolio materials to the appropriate director in accordance with the University Timetable for Personnel Actions.
7. The appropriate director will review the committee's recommendation, the portfolio materials, and, if desired, any other materials as specified in the union contract, and then complete her/his evaluation of the candidate and forward all materials to the dean of the library in accordance with the University Timetable for Personnel Actions.
8. The dean will complete her/his review and then forward all materials to the appropriate University Vice-President in accordance with the University Timetable for Personnel Actions.
9. The candidate will receive copies of all personnel decisions and will have an opportunity to appeal any decision, as specified in the union Contract and personnel action timetable.
10. Should errors be made by the University administration, the applicant will not be penalized.

E. Annual Evaluation of Tenured Faculty

Tenured faculty not being considered for a promotion or PAI will be evaluated annually in primary duties, research/creative activities, and service by their Department Chair/Director who will review "the required material and other professionally-related materials, including work in progress done since the last evaluation." (Contract, 19.4.c. (1))

An **ADEQUATE** evaluation will require the following:

1. Effective level of performance in primary duties;

2. Satisfactory level of performance in research/creative activities;
3. Satisfactory level of performance in service.

An **EXEMPLARY** evaluation will require the following:

1. Superior in primary duties as defined for the tenure level;
2. Highly effective level of performance in research/creative activities;
3. Highly effective level of performance in service.

Details for evaluating performance can be found in the appropriate sections of the DAC. If the designated criteria are not met, faculty members will be subject to the stipulations of the Contract in 19.4.c.

III. EVALUATION GUIDELINES FOR PRIMARY DUTIES

A. Areas of Consideration in Evaluating Effectiveness of Performance

"Evaluation of an employee's teaching/performance of primary duties will include consideration of the employee's effectiveness in her/his: execution of assigned responsibilities; command of the subject matter or discipline; oral English proficiency as mandated by Illinois statute; ability to organize, analyze and present knowledge or material; ability to encourage and interest students in the learning process; and in student advisement, counseling and direction of individual activities." (*Contract 2010-2015, 19.3.d (1)-p.48*).

The scope of primary duties performed by the Library and Instruction Services resource professional faculty is diverse and varies according to assignments, individual expertise, and professional background and training. Duties may include, but are not limited to, assignments in the various areas of academic librarianship (reference, cataloging, etc.), archives and records management, media and instructional technology, or information systems and standards. Activities described in the portfolio narrative should demonstrate the achievements of the candidate for the personnel action. Supporting evidence should clearly identify the faculty member and her/his specific contribution(s) or achievement(s).

Resource professionals may be engaged in formal and informal instruction, such as lectures, seminars, and workshops. Resource professionals may teach in the Library's instruction program and will be assigned CUEs commensurate with their expected output. Resource professionals may teach credit-bearing courses in fields or areas in which they have expertise. If such courses are not considered as part of their primary duties, they must not interfere with the execution of primary duties.

B. Relative Importance

Duties which are delineated on the official Assignment of Duties form shall be considered to be the most important and the basis for evaluation of primary duties.

C. Activities

A variety of activities and materials is indicated because of the diversity of primary duties performed by unit resource professionals. Performance may be evidenced by, but is not limited

to, the following activities that are listed and assigned to the faculty member on the annual Assignment of Duties form:

1. Program planning, evaluation and assessment (list specified area)
2. Supervision and training
3. Acquisitions
4. Cataloging and classification of information
5. Database development and maintenance
6. Instruction
7. Development and production of materials
8. Collection Development
9. Access Services
10. Reference Services
11. Liaison (list subject responsibilities)
12. Library and Instruction Services website content development and maintenance
13. Professional development activities such as attendance at conferences and workshops
14. Special Projects (must be defined and must have specific beginning and ending)

D. Materials

Materials that demonstrate achievement or contribution, or that support performance of primary duties may be evidenced by, but are not limited to, the following:

1. Awards, honors, and commendations for performance of primary duties
2. Bibliographies and research/subject guides
3. Correspondence attesting to performance or results
4. Evaluations by professional peers
- 5a. Evaluative statements from current or former clients or patrons
- 5b. If applicable, a summary, interpretation statement regarding student evaluations will be provided by the appropriate administrator
6. Original informational handouts
7. Original instructional/training materials
8. Manuals
9. Reports and records
10. Scripts
11. Statistics and data analysis
12. Videos and media productions
13. Work schedules and plans
14. Screenshots
15. PowerPoints for instruction
16. Spreadsheets

E. Performance Standards for Primary Duties

Based on documented evidence presented for the criteria listed below (including peer evaluations, two for each period of evaluation) the candidate will be judged by the members of the DPC as to whether or not s/he has fulfilled the standard indicated. Each succeeding evaluator

may also use the evaluations and comments of the preceding evaluators to reach his/her recommendation. Examination of other materials listed in the union contract is also permitted when appropriate.

A **SATISFACTORY** primary duties evaluation (needed for retention of tenure-track faculty in probationary years 1 and 2, and for annual evaluation of all temporary faculty) will require the following:

1. The candidate demonstrates basic competency in the skills required to complete the assigned tasks, and
2. Shows ability and willingness to perform the job at a higher level.

Samples of materials should reflect satisfactory performance.

An **EFFECTIVE** primary duties evaluation (needed for retention of tenure-track faculty in probationary year 3) will require the following:

1. Candidate meets the requirements for the previous level,
2. Shows increasing understanding of the assigned tasks, and
3. Demonstrates the capacity and willingness to change methods of operation for better efficiency and effectiveness in the job.

Samples of materials should reflect effective performance.

A **HIGHLY EFFECTIVE** primary duties evaluation (needed for retention of tenure-track faculty in probationary year 4, and for promotion to assistant professor) will require the following:

1. The candidate meets the requirements for the previous level,
2. Shows increasingly solid understanding of the assigned tasks, and
3. Contributes significant ideas for improvement in library services or procedures.
4. In addition to meeting criteria 1-4, candidates seeking **promotion** to assistant professor should demonstrate the successful completion of at least one significant project.

Samples of materials should reflect highly effective performance.

A **SIGNIFICANT** primary duties evaluation (needed for retention of tenure-track faculty in probationary year 5) will require the following:

1. The candidate meets the requirements for the previous levels,
2. Shows advanced understanding of the assigned tasks,
3. Demonstrates increased capacity and willingness to change methods of operation for the advancement of departmental goals and operations, and
4. Makes a significant contribution to the planning and implementation of a new or expanded library service.

Samples of materials should reflect significant performance.

A **SUPERIOR** primary duties evaluation (needed for tenure; promotion to associate professor or full professor; and for a professional advancement increase*) will require the following:

1. The candidate meets the requirements for the previous levels,
2. Demonstrates mastery of the skills necessary to perform the assigned duties,

3. Takes a leadership role in incorporating changes and system improvements, and
4. Demonstrates increasing leadership skills throughout the library as a whole.
5. In addition to meeting criteria 1-4, candidates seeking promotion to associate professor should demonstrate the successful completion of at least two significant projects; those seeking promotion to full professor and those seeking a professional advancement increase should demonstrate the successful completion of at least three significant projects.

Samples of materials should reflect superior performance.

An **EXCEPTIONAL** primary duties evaluation (needed for tenure on the basis of exceptionality; promotion to associate professor or full professor on the basis of exceptionality) will require the following:

1. The candidate meets the requirements for the previous levels,
2. Demonstrates a mastery of the skills necessary to perform the assigned duties, and
3. Takes a leadership role to incorporate changes and system improvements.
4. The candidate exceeds the requirements for previous levels by demonstrating increasing leadership skills beyond the library department or the library as a whole.

Samples of materials should reflect exceptional performance.

*A candidate for a professional advancement increase must perform at the SUPERIOR level in Primary Duties and SUPERIOR in either Research/Creative activities or in Service activities. Performance must be at the SIGNIFICANT level in the area not chosen for SUPERIOR work.

IV. EVALUATION GUIDELINES FOR RESEARCH AND CREATIVE ACTIVITIES

Categories of materials and activities

No limits are to be placed on the kind of research and/or creative activities engaged in by faculty members, as long as there is a demonstrable relationship between the faculty member's research and his/her academic discipline(s), whether librarianship, her/his subject discipline(s) or his/her area(s) of expertise.

According to the Contract, Article 19.1, pages 43-44, employees are required to meet the standards of the DAC, "which may include publication in academic journals, evidence of research, membership, or leadership in professional organizations, and developing or co-developing funded grants or activities."

The activities listed within each category are meant to be illustrative of the kind of activities that may be considered in each category. The lists below are not meant to be either definitive or exhaustive. Each faculty member is encouraged to consult with a member of the DPC concerning his/her activities, their appropriate category ranking, and the appropriate type of documentation.

1. Developmental Activities

- a. Programs, presentations and other scholarly activities for community-based organizations
- b. Presentation at unit, college or university seminars
- c. Curate or organize a public or CSU exhibition
- d. Receipt of a CTRE Faculty Development Grant award OR Unit Travel Funding for research.

2. Scholarly Activities (not included in Category 1)

- a. Manuscripts in preparation: The acceptability of manuscripts in preparation and the appropriate documentation shall be determined by the DPC using the “Library and Instruction Services Unpublished Materials Evaluation Form.” The Chair of the DPC may designate a referee in the same area of expertise to provide a written evaluation of the materials submitted in consultation with the faculty member.
- b. Research in progress: The acceptability of research in progress shall be determined by the DPC in consultation with the faculty member. Where human subject research occurs, the written approval notice shall constitute documentation of ongoing and appropriate research activity. The Chair of the DPC may designate a referee in the same area of expertise to provide a written evaluation of the materials submitted in consultation with the faculty member.
- c. Proposals or applications for external grants or fellowships: The acceptability of such proposals shall be judged by the DPC which may solicit the opinions of referees in the faculty member's discipline and/or area of expertise.
- d. Presentations at local/state/regional professional meetings, or evidence that a proposal for presentation has been accepted at such a meeting.
- e. Discussant or panel chair at professional conference
- f. Invited presentation at a professional meeting that requires substantial preparation
- g. Edit a published scholarly work
- h. Edit a professional journal
- i. Edit proceedings of a professional conference
- j. Serves as a peer reviewer for granting agencies, publishers, or any other area in which a faculty member's expertise is recognized. Acceptable documentation shall consist of letters soliciting the faculty member's reviews.
- k. Receipt and/or administration of large internal grant of \$2,500 or more.

Documentation shall include copies of material and the “Evaluation Form” where appropriate.

3. Dissemination of Knowledge (not included in Category 1-2)

- a. Publications in any venue not covered in Category 4
- b. Manuscripts submitted for consideration in peer-reviewed publications
- c. Evidence that the faculty member's research/creative activity is regarded as significant within his/her discipline (indices, journal citation, professional letters referencing published work)
- d. Substantive book reviews published in professional journals
- e. Presentations, including poster sessions, at national or international professional meetings, symposia, conferences, and the like; or evidence that a paper has been accepted for presentation during the evaluation period in cases when the presentation will not take place until after the evaluation period
- f. Exhibition, distribution, or performance of creative or original work
- g. Receipt and/or administration of external award or grant in excess of \$500.

Documentation consists of an offprint of the published work, photocopies of the first page of an article or table of contents of a book as the publication appears in print.

4. Professional Publications (not included in Category 1-3)

- a. Published book
- b. Original translation

- c. Peer-reviewed journal article
- d. Article published in appropriate professional journal f. Book chapter in an edited collection.

Documentation shall conform to the guidelines in Category 3 unless otherwise specified.

B. Relative Importance

Research listed in Category 3 and 4 represent a higher level of scholarly achievement and is therefore weighed more heavily than the activities listed in categories 1 and 2.

C. Evaluation of Research/Creative Activity

- a. Quality and professional stature of publications will be judged by the DPC
- b. Consideration will be given only to work that can be documented according to the categories listed above during the evaluation period
- c. Consideration will be given to the prestige of the conference or institution where a presentation is given
- d. Evidence of professional/research development must be submitted to document the activities
- e. Evidence must be submitted to document the awards

D. Guidelines for evaluations of research/creative activity

Based on documented evidence presented for the criteria Categories 1-4, the candidate will be judged by the members of the DPC as to whether or not s/he has fulfilled the standard indicated for the appropriate category. The standards for evaluation are as follows:

APPROPRIATE (retention for year 1) – For retention, the candidate has initiated involvement in at least 1 activity.

SATISFACTORY (retention for year 2; promotion to assistant professor) - For retention, the candidate is involved in at least 2 research/creative activities; **for promotion to assistant professor**, the candidate is involved in at least 3 research/creative activities.

HIGHLY SATISFACTORY (retention for year 3) - For retention, the candidate is involved in at least 3 research/creative activities (one of which must be from categories 2, 3, or 4).

EFFECTIVE (retention for year 4) - For retention, the candidate is involved in at least 4 research/creative activities (one of which must be from categories 2, 3, or 4).

HIGHLY EFFECTIVE (retention for year 5) - For retention, the candidate is involved in at least 5 research/creative activities (two of which must be from categories 2, 3, or 4).

SIGNIFICANT (tenure; promotion to associate professor) - For tenure, the candidate is involved in at least 6 research/creative activities (three of which must be from categories 2, 3, or 4); **for promotion to associate professor**, the candidate is involved in at least 7 activities (three of which must be from category 2 or 3, one of which must be from category 4).

SUPERIOR (promotion to full professor and professional advancement increase*) - For promotion the candidate is involved in at least 8 research/creative activities (six of which must be from categories 2 or 3 and one of which must be from Category 4). **For a professional advancement increase**, the candidate should be involved in 8 research/creative activities (seven

of which must be from categories 2, 3, or 4). It is expected that individuals will document a variety of activities.

EXCEPTIONAL (needed for tenure on the basis of exceptionality; promotion to associate professor or full professor on the basis of exceptionality) – Candidate must be rated one level above the next aspired level in either Research/Creative activities or Service to meet the standard for “exceptional performance” in two of the three areas of evaluation.

*A candidate for a professional advancement increase (PAI) must perform at the SUPERIOR level in Primary Duties and SUPERIOR in either Research/Creative activities or in Service activities. Performance must be at the SIGNIFICANT level in the area not chosen for SUPERIOR work.

V. EVALUATION GUIDELINES FOR SERVICE ACTIVITIES

A. Areas of Consideration in Evaluating Effectiveness of Performance

As stated in the Contract, Section 19.3.d(3), page 48, “Evaluation of the effectiveness of an employee’s unit, college, university, community or professional service will include consideration of: extent and nature of leadership; degree of participation; quality and length of service; extent and nature of participation in professional organizations, except for presentations at professional conferences (see above, Section 19.3.c.(2)); extent and nature of national, state, or local recognition of service; and the relationship of the service to the employee’s assigned responsibilities and to the University. Service activities for which an employee receives compensation will not be included for consideration.”

B. Relative Importance

Service activities fall into four categories (unit, university, community, and professional). All of the categories of service shall be of equal importance, except for community service that does not reflect the mission and goals of the university. Serving as an officer or in some other leadership role will be considered to be a more significant contribution than serving as a member of a committee. Care must be taken when evaluating service to consider the committee assignments and work available to the faculty member, the place of the faculty member in his/her professional development, and the nature of the faculty member's academic background. Recognition should be given to the fact that not every discipline lends itself to the same service opportunities, especially as these relate to community-based activities. It is also anticipated that the amount of service activities will vary from year to year.

C. Activities

Activities that support the performance of service may be evidenced by, but are not limited to, the following:

1. Contributing member or office holder of unit, university, or community or professional committees, task forces or boards
2. Serving as advisor to student groups
3. Serving on the Faculty Senate

4. Union committee membership/leadership positions
5. Preparing report for accreditation/evaluation of another unit/division
6. Organizing of colloquia, workshops, lectures, debates on campus
7. Fundraising for unit or the University
8. Unpaid consulting or volunteer service
9. Active membership in professional organizations at the local, state, regional, national or international level
10. Leadership in professional organization at the local, state, regional, national or international level
11. Any other necessary and appropriate submission of service to the profession or the campus community.

D. Materials

Materials that support the performance of service activities may be evidenced by, but are not limited to, the following:

1. Minutes of meetings or committee reports showing attendance and participation
2. Awards for service to the unit, university, community, or profession
3. Descriptions of one's service activities in newspaper articles, brochures, programs, etc.
4. Letters of appointment, gratitude, or commendation
5. Samples of work product
6. Other appropriate materials documenting performance of service activities

E. Performance standards for service activities

Guidelines for evaluation of service: Based on documented evidence presented for the service activities listed in the portfolio, the candidate will be judged by the members of the DPC as to whether or not s/he has fulfilled the standard indicated for the appropriate category.

APPROPRIATE (retention for year 1) - The candidate has initiated involvement in at least 1 service activity.

SATISFACTORY (retention for year 2; promotion to assistant professor) - For retention, the candidate is involved in at least 2 service activities; for Promotion, the candidate is involved in at least 3 service activities, one of which must be at the Unit level of involvement.

HIGHLY SATISFACTORY (retention in year 3) - For retention, the candidate is involved in at least 4 service activities.

EFFECTIVE (retention in year 4) - For retention, the candidate is involved in at least 5 service activities.

HIGHLY EFFECTIVE (retention in year 5) - For retention, the candidate is involved in at least 5 service activities, at least 1 of which must be service to the university and 1 of which must be service **to the profession** at the local, state, regional, national or international level.

SIGNIFICANT (tenure; promotion to associate professor) - The candidate is involved in at least 5 service activities, at least 2 of which must be service to the university and 1 of which must be

service **in a professional organization** at the local, state, regional, national or international level. For promotion to associate professor, the candidate must meet the criteria for tenure, and demonstrate leadership in at least one activity at the division or the university level. Leadership is demonstrated by holding an elected or appointed office, or by making a significant contribution to the work of the body.

SUPERIOR (promotion to full professor and professional advancement increase*) - The candidate is involved in at least 5 service activities. At least 2 must be service to the university and 2 must be service in a professional organization at the local, state, regional, national or international level. At least 1 of the activities must demonstrate leadership at the university level and 1 activity must demonstrate leadership in a professional organization at a national or international level.

EXCEPTIONAL (needed for tenure on the basis of exceptionality; promotion to associate professor or full professor on the basis of exceptionality) – Candidate must be rated one level above the next aspired level in either Research/Creative activities or Service to meet the standard for “exceptional performance” in two of the three areas of evaluation.

*A candidate for a professional advancement increase must perform at the SUPERIOR level in either Research/Creative activities or in Service activities. Performance must be at the SIGNIFICANT level in the area not chosen for SUPERIOR work.