

**UNIVERSITY OF LOUISVILLE UNIVERSITY  
LIBRARIES FACULTY PERSONNEL  
DOCUMENT**

The University Libraries Faculty (ULF) consists of all full and part-time library faculty members. The function of the ULF is to ensure that the goals and objectives embodied in the unit's vision statement are carried out in service to the University of Louisville and the local and professional communities.

The *University Libraries Faculty Personnel Document* establishes the personnel policy for the ULF in accordance with *The Redbook* and the *Minimum Guidelines for Faculty Personnel Reviews*. This document covers policies and procedures for:

- 1 Faculty Appointments and Tenure
  - 1.1 Full-time Appointments
  - 1.2 Part-time Appointments
  - 1.3 Emeritus Faculty
  - 1.4 Rank for New Appointments
- 2 Faculty Personnel Reviews
  - 2.0 Performance Criteria
  - 2.1 Annual Review
  - 2.2 Tenure
  - 2.3 Promotion in Rank
  - 2.4 Periodic Career Review
- 3 Conditions of Faculty Employment
- 4 Resolution of Disagreements
- 5 Termination of Service
- 6 Procedure for Amending University Libraries Faculty Personnel Document

The ULF delegates responsibility for implementing these policies and procedures to the ULF Personnel Committee, which makes recommendations on all of the above issues to the Dean, University Libraries, hereafter referred to as the Dean. The rules for the composition and election of members of this committee are set out in the *Bylaws of the University Libraries Faculty*. All personnel decisions are made by and are the responsibility of the Dean.

## **1 FACULTY APPOINTMENTS AND TENURE**

### **1.1 FULL-TIME APPOINTMENTS**

For description of full-time appointments, including non-tenurable (term), probationary and tenured see *The Redbook* Sec. 4.1.1.

### **1.2 PART-TIME APPOINTMENTS**

For description of part-time appointments see *The Redbook* Sec. 4.1.2. For the purposes of all other personnel actions, part-time appointments are considered non-tenurable appointments.

### **1.3 EMERITUS FACULTY**

The honorary title Professor Emeritus may be conferred upon retired faculty if requested by the ULF and the Dean and approved by the President and Board of Trustees as stated in *The Redbook* Sec. 4.1.3.

### **1.4 RANK FOR NEW APPOINTMENTS**

A librarian must have a master's degree from an American Library Association-accredited

library school or the equivalent professional credentials, or a graduate degree in other professional or scholarly fields where appropriate. An archivist must have a master's degree in archives administration, history, library science, information management, business administration, or other relevant field. University Libraries faculty ranks are Lecturer, Instructor, Assistant Professor, Associate Professor, and Professor. These ranks apply to both term and tenure track faculty, except for Lecturer, which is used only for term faculty. The Personnel Committee makes recommendations on rank for new appointments after considering the candidate's credentials with the requirements outlined in the ULF Personnel Document 2.3.A and Appendix II.

## 2 FACULTY PERSONNEL REVIEWS

### 2.0 PERFORMANCE CRITERIA

The following criteria are the basis of all faculty reviews in the University Libraries (See Appendix I). Effective performance in Criterion A is essential for all of the reviews documented in Sec. 2. Performance requirements for Criteria B-C are determined according to the type of review and the faculty member's individual workplan during the review period. Failure to accomplish significant activities as listed in the annual workplan(s) will be considered unsatisfactory performance.

Criteria A will be assessed in writing by the supervisor; Criteria B and C will be assessed in writing by the Personnel Committee. The assessment will include an evaluation of performance as specified in the annual workplan. The evaluation ratings are Outstanding, Commendable, Satisfactory, Needs Improvement, and Unsatisfactory. These terms will be applied relative to the expectations for the faculty member's rank as described in Appendix II. Unsatisfactory ratings require additional documentation from the supervisor.

#### A. Criterion A: Teaching

The term teaching applies to the wide range of functions librarians and archivists perform. Activities that contribute to the operations of the University Libraries fall under this criterion. These activities include but are not limited to administration, assessment and resource planning, technical services, information delivery, information literacy, liaison activities, outreach, resource selection, and technology administration. Professional development activities are included in this criterion.

#### B. Criterion B: Research or Creative Activity

Research or creative activity focuses on the advancement of knowledge in the fields of librarianship, archival administration, information science, information technology, or other areas of scholarship as related to the faculty member's position. This activity may represent a scholarly approach to innovation, assessment, and evaluation of services, participation in scholarly discourse and reflection concerning the discipline, or scholarly work in a complementary discipline that informs or is informed by the librarian/archivist's faculty member's provision of services. Emphasis will be placed on work that becomes part of the scholarly record.

#### C. Criterion C: Service to the Profession, the Unit, the University, or the Community

This criterion is defined as sharing one's professional expertise within the profession, the unit, the University, or the community in general. Examples of activities in this criterion include participating in professional and scholarly organizations, sponsoring student organizations, participating in University-wide committees and initiatives, and consulting in one's area of professional expertise.

**Commented [AW1]:** Edit 1  
Rationale: "Faculty member" applies to both librarians and archivists

## 2.1 ANNUAL REVIEWS

- A. Annual reviews follow *The Redbook* Sec. 4.2.1 and the *Minimum Guidelines*.
- B. All ULF members must be reviewed in writing annually (See Appendix I).
- C. Each faculty member creates annually a written workplan in conjunction with their supervisor. The workplan will support the mission and goals of the University Libraries and is the basis for all personnel reviews (See Sec. 2.0.)
1. The annual workplan will specify the responsibilities of the faculty member for teaching, research or creative activity, and service. Each faculty member, in agreement with their supervisor, will indicate what percentage of effort that will be spent in Criteria A-C. The percentages represent an understanding of workload distribution between faculty member and supervisor.
  2. Faculty permanently or temporarily appointed or reassigned to specialized roles for the purpose of meeting unit needs may develop workplans that specify activity in only one of those areas.
  3. When circumstances require changes in the annual workplan, the faculty member and supervisor must file an amended plan (including an explanation of the necessary changes) for the approval of the Dean. Faculty members may not submit revised annual workplans after November 15.
- D. The annual review measures achievement of the goals outlined in the annual workplan and based on written, documented evidence. Performance evaluations will be based on the individual's accomplishments and contributions in helping the University Libraries meet its goals and objectives in support of the University's strategic plan university priorities.
- E. Each faculty member will have the opportunity to present documentation of performance and effort relative to their annual workplan each year. Guidelines for documentation are in Appendix I, the ULF Personnel Document, and the ULF Personnel Committee Manual. By November 15 each year the Personnel Committee will send written instructions regarding the written documentation.
- F. All salary increase decisions will be at the discretion of the Dean.
1. Criterion A will be evaluated in writing by the ULF member's supervisor; Criteria B and C will be evaluated in writing by the Personnel Committee.
  2. The evaluations of the supervisor and the Personnel Committee will be provided to the Dean and be the basis of salary increase decisions.
  3. The Dean may use a portion (not to exceed 5%) of the funds allocated to the unit for salary increases for a particular year to award special, one-time payments to faculty members for exceptional effort or achievement beyond that rewarded in the regular salary increase process.
  4. The standard period of performance to be covered in the review for merit-based salary increases will be the preceding calendar year. Prior performance in years without merit raises will be taken into account when funds become available for salary increases. When there is an increase of 3% or more in the salary pools between two or more consecutive years, the University Libraries Faculty will make a recommendation to the Dean regarding distribution of salary increases taking into consideration the annual rankings achieved by the faculty member over the period.

**Commented [AW2]:** Edit 2  
Rationale: We ask for documentation, not necessarily in the form of a written narrative.

**Commented [AW3]:** Edit 3  
Rationale: "University's strategic plan" is too specific. "University priorities" are more general and allow for a broader range of activities in support of priorities.

**Commented [AW4]:** Edit 4  
Rationale: Unnecessary

**Commented [AW5]:** Edit 5  
Rationale: Unnecessary

**Commented [AW6]:** Edit 6  
Rationale: Clarifying that we are talking only about merit-based increases here, not COLAs or other salary increases.

**Commented [AW7]:** Edit 7  
Rationale: Per the Economic Welfare report, this language ensures that years without merit increases are still taken into account when merit increases become available.

G. The Dean will report annually to the ULF at the May meeting and to the Executive Vice President and University Provost the distribution of the percentage salary increases received by all faculty members and a description of the system used to arrive at such salary increases.

H. The Personnel Committee will preserve annual reviews electronically and in the Office of the Dean in the ULF electronic archive. Individual faculty members will be responsible for maintaining the documentary evidence supporting each annual review through the next personnel action.

I. A positive annual review does not guarantee promotion, tenure, satisfactory periodic career review, or contract renewal.

J. Annual Review Procedure

1. The calendar for annual review is outlined in the *University Libraries Faculty Personnel Committee Manual*.

2. By November 15 each year, the Dean will send an letter email to each all ULF members announcing the date by which documentation of the year's annual performance must be received. Instructions for formatting the section that pertains to Criteria B and C will be provided to the Dean by the Personnel Committee prior to this date.

3. Each faculty member will prepare a written annual performance summary describing and documenting all activities in Criteria A-C as outlined in the annual workplan. The format of the section of the annual performance summary covering Criterion A will be agreed upon by the ULF member and their supervisor and can take the form of a narrative or bulleted list. If the faculty member and supervisor are unable to agree the supervisor will determine the format. By November 15 each year, written instructions for the section that pertains to Criteria B and C will be provided by the Personnel Committee. Each faculty member is required to include in the annual review an accounting of all professional work done outside the University. Section 4.3.3 of The Redbook details how work outside the university should be accounted for in annual review materials.

4. Each faculty member will provide their annual workplan and annual performance summary in print and electronic form, as well as documentation, if needed, to the supervisor, the library director, and to the Personnel Committee.

5. The supervisor will write a formal evaluation of Criterion A and the Personnel Committee will write a formal evaluation of Criteria B-C. The supervisor and Personnel Committee will work together toward consensus on an overall rating.

A faculty member's annual performance will be assessed by the Personnel Committee and the faculty member's supervisor using the following scale: faculty members will only be rated for criteria in which they have work plan commitments. Definitions set forth in this section are to provide guidance to faculty members, Personnel Committee, and supervisors in making reasonable and fair assessments of achievements and performance and to encourage a common understanding of good performance rather than rigid criteria that could discourage experimentation and innovation. In effect, the definitions strive to emphasize a balance of quantitative outcomes and qualitative efforts.

Outstanding:

Performance and accomplishments throughout the rating period that far exceed

**Commented [AW8]:** Edit 8

Rationale: Files are now preserved in the electronic archives only.

**Commented [AW9]:** Edit 9

Rationale: The Dean sends an email to the faculty listserv.

**Commented [AW10]:** Edit 10

Rationale: Moved this point up from 2.1.J.3 as it makes more sense to talk about it here since the Dean sends both the date and instructions together.

**Commented [AW11]:** Edit 11

Rationale: Added language about this point to 2.1.J.2.

**Commented [AW12]:** Edit 12

Rationale: Changed this to reference the Redbook for information on accounting for work outside the university.

**Commented [AW13]:** Edit 13

Rationale: Print is no longer accepted.

**Commented [AW14]:** Edit 14

Rationale: The annual review instructions detail when documentation is needed.

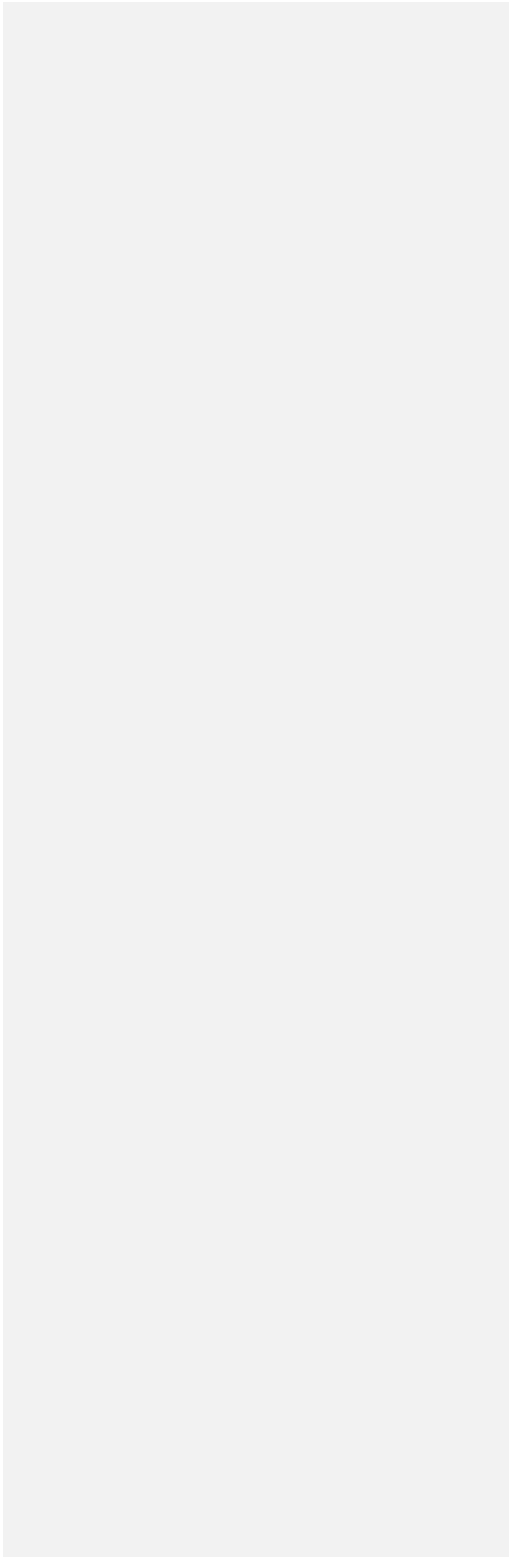
**Commented [AW15]:** Edit 15

Rationale: Annual review instructions also ask for APS materials to be sent to library director.

**Commented [AW16]:** Edit 16

Rationale: Consensus was not originally mentioned until later in the document.

the standards and expectations of the position, both in quantity and quality.



Commendable:

Performance and accomplishments throughout the rating period that consistently met the standards and expectations of the position, and may exceed them occasionally.

Satisfactory:

Performance and accomplishments throughout the rating period that meet the standards and expectations of the position. Minor deviations may occur, but the overall level of performance meets all position expectations.

Needs Improvement:

Performance and accomplishments throughout the rating period were mostly met and satisfactory based on the standards and expectations of the position, but a need for further development is recognized.

Unsatisfactory:

Performance and accomplishments throughout the rating period ~~that~~ were consistently unsatisfactory ~~for the standards~~ and failed to meet the ~~standards and~~ expectations of the position. There was failure to meet essential goals and improvement is needed in all or most aspects of the position. A plan to correct performance, with corresponding timelines, must be outlined and monitored if this rating is given.

6. The Personnel Committee will forward the finalized evaluation(s) of Criteria B-C to the supervisor, and the supervisor will forward the finalized evaluation of Criteria A to the Personnel Committee. The supervisor or the Personnel Committee may request a meeting to discuss the review and respond to questions. After consensus on an overall rating of Outstanding, Commendable, Satisfactory, Needs Improvement, or Unsatisfactory has been reached between the Personnel Committee and the supervisor, the ~~supervisor~~ Personnel Committee will share all evaluations with the faculty member. If consensus cannot be reached, the supervisor's evaluation stands for Criterion A, and the Personnel Committee's ratings stand for Criteria B and C. ~~The supervisor will share the final, written evaluations with the faculty member.~~
7. The supervisor and the faculty member will meet for discussion of the evaluation of Criteria A-C and, if necessary, develop recommendations for improved performance. Both the supervisor and the faculty member will sign the faculty evaluation summary and forward it back to the Personnel Committee. Each faculty member will be given an opportunity to respond to these recommendations and their performance evaluation so that timely adjustments may be made before the final recommendation of the dean. If agreement cannot be reached, then the faculty member may appeal as outlined in section 2.1.K of this document.
8. All faculty evaluations will be provided to the office of the Dean for use in ranking ~~and subsequent~~ determination of salary increases.
9. The Dean will make salary decisions and inform each faculty member in writing of their salary decision.
  - a. Only faculty whose performance is judged to be at the level of needs improvement or above in Criteria A will be eligible to receive a salary increase. Faculty who are judged to be Unsatisfactory in any criteria will not be eligible for a salary increase.
  - b. A decision for a zero-salary increase must be submitted for approval of the Executive Vice President and University Provost. This decision will include the

**Commented [AW17]:** Edit 17  
Rationale: Clearer language

**Commented [AW18]:** Edit 18  
Rationale: The Personnel Committee sends the evaluations to faculty and copies the supervisor.

**Commented [AW19]:** Edit 19  
Rationale: Same as above.

**Commented [AW20]:** Edit 20  
Rationale: Ranking is no longer part of the annual review process.

**Commented [AW21]:** Edit 21  
Rationale: Takes into account that we do not receive guaranteed raises each year and mirrors the language of the following sentence.

reasons for the zero salary increase and specific suggestions for improving any performance considered to be Unsatisfactory.

10. Probationary or term faculty receiving an overall rating of needs improvement for more than one year will be given a terminal one-year contract. Probationary or term faculty receiving an unsatisfactory rating in all criteria will be terminated. See Sec. 5, Termination of Service.

#### K. Annual Review Appeal Process

1. The annual review appeal process outlined in this section is conducted outside of the University's formal grievance procedure. For additional information about resolution of faculty disputes, consult Section 4.4 of the Redbook.
2. Faculty members have the right to appeal the performance evaluation for the current review period by submitting a claim in writing to the Appeals Committee. Claims may concern Criterion A, B, C, or any combination thereof, and must be submitted within ten working days of ~~receiving the performance evaluation letter~~ completion of the faculty/supervisor annual review meeting. Claims must identify the specific area or areas in dispute and provide directly relevant evidence and/or facts substantiating those claims.
3. The Appeals Committee is responsible for reviewing the faculty person's claim and may ~~revise~~ make a recommendation for revision of a faculty member's rating. The Appeals Committee will consider the faculty member's claim and report a final ~~decision~~ recommendation in writing within ten working days. During this time, the Appeals Committee may request additional evidence and/or facts from or may, if judged necessary, meet with the faculty member and/or faculty member's supervisor(s) for further clarification and discussion.
4. When the appeal is made by a faculty member whose direct supervisor is a standing member of the Appeals Committee, the alternate member of the Personnel Committee will replace that faculty member for the duration of the appeals process through its conclusion.
5. The Appeals Committee will report the recommendation and rationale of the committee in writing to the Dean and all parties directly involved in the appeal. The Dean will respond with a rationale to the recommendation in writing to all parties directly involved in the appeal. The Dean's decision is final within the unit.
6. Salary decisions may be appealed in writing to the Dean within five working days of receiving the salary decision letter. The Dean will reconsider the salary decision and respond in writing to the faculty member's appeal within five working days.

**Commented [AW22]:** Edit 22

Rationale: The faculty member should have a chance to discuss their rating with their supervisor before deciding to appeal an evaluation. The supervisor/faculty member meeting might be scheduled for several days or longer after receiving the evaluation letter.

**Commented [AW23]:** Edit 23

Rationale: The final decision about revising a faculty member's rating should fall to the Dean. K.5 says the Appeals Committee makes a recommendation to the Dean for a final decision.

## 2.2 TENURE REVIEWS

- A. All promotion and tenure reviews are conducted by a Promotion and Tenure Subcommittee of the Personnel ~~e~~CCommittee.
- B. **Length of Probationary Period**
  1. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. In most cases, the tenure review will occur at the same time as the review for promotion to Associate Professor.
  2. All probationary faculty who have had seven years of service counted in a tenurable faculty position, if reemployed full time, shall be granted tenure.
- C. **Leaves of Absence**

One year spent on an officially approved leave of absence may be counted toward the seven

years of full-time **service** necessary for tenure. Any leave granted during the probationary period must carry with it a stipulation in writing as to whether the leave counts toward tenure.

Commented [AW24]: Edit 24  
Rationale: Missing word

**D. Extension of Probationary Period**

See *The Redbook* Sec. 4.2.2.C.

**E. Pre-Tenure Review**

Faculty members will undergo a comprehensive pre-tenure review, typically after the third year of service in the University Libraries. If a faculty member receives three or more years of credit toward tenure when he or she is hired, the hiring process may be considered a pre-tenure review. The purpose of the pre-tenure review is to inform the faculty member about progress toward meeting the University Libraries' standards for tenure. The review will be conducted with the same level of rigor and by the same process as a tenure review; however, external reviews are not required. Faculty members undergoing a pre-tenure review will receive the results in writing. This review is advisory only and does not constitute sufficient justification for award or denial of tenure.

**F. Early Tenure**

Early tenure may be granted as indicated in *The Redbook*, Sec. 4.2.2.E.

**G. Criteria for Tenure**

1. Completion of the probationary period with successful annual or pre-tenure reviews is not sufficient grounds for tenure. Candidates must demonstrate the level of performance required for promotion to Associate Professor as described in Sec. 2.3.A.3. It should be noted that tenure is a more critical action than promotion because it is evidence of the University's firm and enduring commitment to the individual.
2. Faculty members in a probationary status will be affected by any amendments to or change in the criteria for tenure subsequent to their appointment. In such cases, appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

**H. Evaluation for Tenure**

1. For the purposes of tenure reviews, the University Libraries are a unit without departments or divisions.
2. Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied toward tenure. Evaluation for tenure, once originated, shall proceed as indicated unless the faculty member resigns or is subject to termination.
3. The Personnel Committee will notify faculty members as they become eligible for tenure review.
4. The candidate will submit relevant material for review, as described in Appendix II. Tenure reviews will require external review. In the case of tenure with promotion only one dossier will be submitted. Procedures for external review are outlined in Appendix II.
5. The candidate will be shown any material included in the tenure dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
6. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by **written** secret ballot for or against promotion and tenure for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be

Commented [AW25]: Edit 25  
Rationale: Ballots are generally electronic.



permitted, however virtual participation in the discussion and voting will be allowed. Any faculty member present may call for discussion of a candidate's dossier.

7. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for tenure and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.
8. The Personnel Committee will communicate its recommendation regarding tenure in writing to the Dean. This recommendation will be included in all higher levels of review.
9. The faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals before the file is forwarded to the Executive Vice President and University Provost.
10. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.

**Commented [AW26]:** Edit 26

Rationale: Most meetings are now held virtually.

### 2.3 PROMOTION IN RANK

All members of the ULF (except Lecturers) are eligible for promotion through the faculty ranks. Promotion is granted on the basis of significant contributions to the University Libraries, the University, the profession, or the community, state, or nation. Successful annual reviews are not sufficient grounds for promotion. Candidates will also be evaluated on the basis of a continuing record of achievement; contributions to the written scholarly record; evidence of professional development; and contributions to the mission and goals of the University Libraries. Neither seniority nor time in rank is to be the sole basis for promotion. It is the responsibility of the faculty member to ensure his or her ability to satisfy the criteria for promotion as described below. All promotion and tenure reviews are conducted by a Promotion and Tenure Subcommittee of the Personnel Committee.

**Commented [AW27]:** Edit 27

Rationale: Faculty members are evaluated on their contributions to the library, university, profession, and community.

#### A. Criteria for Promotion in Rank for Full-Time Faculty

1. Lecturers are not eligible for promotion.
2. Promotion from Instructor to Assistant Professor  
Promotion from Instructor to Assistant Professor requires at least two years of experience at the rank of Instructor, one of which must be at the University of Louisville. Promotion from Instructor to Assistant Professor is based primarily on evidence of successful performance in the faculty member's position, and with at least one accomplishment in Criterion B and Criterion C each over the review period. See Appendix II, Sec. I, for characteristics of the Assistant Professor rank.
3. Promotion from Assistant Professor to Associate Professor  
Promotion from Assistant Professor to Associate Professor normally requires at least four years of experience at the rank of Assistant Professor, three of which must be at the University of Louisville. Promotion at this level is based on evidence of broad proficiency in Criteria A, B, and C, so as to show continuing promise to develop the faculty member's individual strengths, see *Minimum Guidelines*, Sec. 4.E. Such proficiency will involve successful performance in the faculty member's position and, normally, at least one accomplishment in Criterion B and one activity in Criterion C for each year since the last personnel action with a minimum of four in each criterion. The typical expectation for accomplishment in B is two scholarly articles in peer reviewed journals or works demonstrating a comparable level of scholarship and one scholarly presentation at a meeting of a professional organization. It must be evident that activity in Criterion B and C is consistent and will continue. See

**Commented [AW28]:** Edit 28

Rationale: Inclusive language

Appendix II, Sec. I, for characteristics of the Associate Professor rank. In the case of those achieving tenure with this promotion, the criteria for tenure must be met, as described in Sec. 2.2 and Appendix II.

4. Promotion from Associate Professor to Professor

Promotion from Associate Professor to Professor normally requires a minimum of five years of experience at the rank of Associate Professor, three of which must be at the University of Louisville. Candidates for promotion to Professor must be evaluated in the areas and by the distribution of effort specified in their approved annual workplans for the period under review. The typical expectation in Criterion B for promotion to Professor is at least three scholarly articles in peer-reviewed journals or works demonstrating a comparable level of scholarship, and at least three scholarly presentations at meetings of professional organizations since attaining the rank of Associate Professor. In Criterion C, the typical expectation is at least one activity for each year since promotion to Associate Professor. It must be evident that activity in Criterion B and C is consistent and will continue. See Appendix II, Sec. I, for characteristics of the Professor rank.

5. Criteria for Promotion in Rank for Part-Time Faculty

- a. It is recognized that the responsibilities of part-time faculty may differ significantly from those with full-time appointments. In a promotion consideration, there should be tangible evidence that a candidate's contributions are significant to the mission of the University Libraries.
- b. Neither seniority nor time in rank is to be the sole basis for promotion. The criteria for promotion of part-time faculty members are the same as those for full-time as described above.

**B. Evaluation for Promotion**

1. For the purposes of promotion reviews, the University Libraries are a unit without departments or divisions.
2. The Personnel Committee will notify faculty members as they become eligible for promotion review.
3. The candidate will submit relevant material for review, as described in Appendix II. Promotions from Assistant Professor to Associate Professor, or from Associate Professor to Professor, will require external review. Procedures for external review are outlined in Appendix II.
4. The candidate will be shown any material included in the promotion dossier upon request. The candidate may rebut any material in the file within five working days of the deadline for receipt of material by the Personnel Committee.
5. After providing access to the candidate's dossier for a period of no less than ten days, the Personnel Committee will hold a meeting of tenured faculty at or above the rank being sought (excluding the Dean). At this meeting, a majority of those eligible to vote must be present, or attend virtually, and these faculty members will cast votes by ~~written~~ secret ballot for or against promotion for each candidate under review. The vote tally will be announced to those present at the meeting. Absentee ballots will not be permitted, ~~however virtual participation in the discussion and voting will be allowed.~~ Any faculty member present may call for discussion of a candidate's dossier.
6. The Personnel Committee will tally the votes, record the full vote count for each candidate under review, and incorporate this into their recommendation to the Dean. The Personnel Committee will base its recommendation on the criteria for promotion

**Commented [AW29]:** Edit 29  
Rationale: Ballots are generally electronic.

**Commented [AW30]:** Edit 30  
Rationale: Most meetings are now held virtually.

and the documentation listed in Appendix II, and may seek additional information in writing, if necessary.

7. The Personnel Committee will communicate its recommendation regarding promotion in writing to the Dean. This recommendation will be included in all higher levels of review.
8. The faculty member may add newly available material evidence for reconsideration by the previous evaluators before the file is forwarded to the Executive Vice President and University Provost.
9. Based on the file compiled through this process, the Dean will make the unit recommendation. The recommendation of the Dean shall be the unit recommendation forwarded to all higher levels of review. Prior to submitting the unit recommendation to the Executive Vice President and University Provost, the candidate will have the opportunity to review the recommendations and, within five working days, write a rebuttal if desired. The Dean will forward the ~~triptych file~~ to the Executive Vice President and University Provost and will notify the Personnel Committee, the supervisor, and the candidate of the unit recommendation. Thereafter *The Redbook* process is followed, Sec. 4.2.2.H.
10. If the Executive Vice President and University Provost disagrees with the unit recommendation, the Executive Vice President and University Provost will send a statement of the reasons for ~~his or her~~ their recommendation to the faculty member and the Dean, each of whom will have the opportunity to respond in writing prior to any recommendation to the President. The file containing all comments and recommendation will be made available to the President.
11. If the recommendation of the Executive Vice President and University Provost is negative, the candidate must be notified by certified mail. The candidate may request a hearing before the University Faculty Grievance Committee within ten working days following receipt of the certified letter.
12. The Executive Vice President and University Provost will prepare a recommendation for the President's review, and the President makes the final recommendation to the Board of Trustees.
13. In any case where the initial recommendation to deny promotion is by the President, the candidate will be notified of the reason in writing by the President and may appeal to the University Faculty Grievance Committee within ten working days following the President's notice. The report of the University Faculty Grievance Committee will make a recommendation for promotion or denial of promotion to the Board of Trustees. The President and the candidate have ten working days following the report of the University Faculty Grievance Committee to submit their written responses to the report to the Board of Trustees.
14. In all cases, the Board of Trustees makes the final decision on promotion.

**Commented [AW31]:** Edit 31

Rationale: "File" is truer to the current system of forwarding faculty files in Folio.

**Commented [AW32]:** Edit 32

Rationale: Inclusive language

## 2.4 PERIODIC CAREER REVIEW

The purpose of Periodic Career Review (PCR) is to promote the continued professional development of the faculty.

- A. Faculty members with tenure shall undergo a career review after every fifth year of service with the following exceptions:
  1. A successful promotion review will serve as a career review, and the next review will not take place until five years after the promotion review.
  2. When the review period ends in a sabbatical (or other leave) year, the career review shall be deferred until the next academic year.

3. Faculty members planning to request promotion to Professor in the next academic year may defer review for one year.
- B. All of *The Redbook* rights of due process and appeal for faculty will apply in these reviews.
- C. Procedures for Periodic Career Review
  1. All periodic career reviews for faculty members with tenure shall take place in the spring semester of the academic year.
  2. The calendar for PCR is outlined in the *University Libraries Faculty Personnel Committee Manual*. The Promotion and Tenure Subcommittee will notify those faculty members scheduled for review, their supervisors, and the Dean.
  3. The Promotion and Tenure Subcommittee will base its evaluation on annual reviews and associated documentation for each of the five years being reviewed. The faculty member may add any appropriate material.
  4. The evaluation report will characterize the faculty member's overall contribution as satisfactory: meeting University Libraries criteria, or unsatisfactory: not meeting University Libraries criteria.
- D. If the faculty member has received at least a Satisfactory rating in all annual reviews for the specified review period, the faculty member has met the University Libraries criteria. The Promotion and Tenure Subcommittee will review the file and characterize the member's contribution as satisfactory: meeting University Libraries criteria.
- E. If the faculty member has not received at least a Satisfactory rating in all annual reviews for the specified review period, the Promotion and Tenure Subcommittee will review the material to determine whether the faculty member's performance has met the University Libraries criteria overall meriting a satisfactory rating or is unsatisfactory has merited an overall Satisfactory rating or is Unsatisfactory.
- F. Supplementary salary increases may be awarded per the *Minimum Guidelines*, Sec. V.
- G. The Promotion and Tenure Subcommittee will forward its recommendations regarding PCR to the Dean. The Dean will issue the final evaluation report to the faculty member and will notify the Executive Vice President and University Provost in writing indicating satisfactory or unsatisfactory results.
  1. If the conclusion of the report is that the faculty member's overall contribution has been satisfactory over the review period, the faculty member begins the five-year review cycle in the following year.
  2. If the conclusion of the report is that the faculty member's overall contribution has been unsatisfactory, the report will state the deficiency(ies) any deficiencies that was (were) formed the basis for this conclusion. Within thirty calendar days of receipt of the report, the faculty member, in consultation with the appropriate supervisor and the Dean, will prepare a career development plan to remedy the deficiency(ies) any deficiencies in one year unless the Dean approves alonger period.
    - a. If the faculty member completes the agreed-upon career development plan, the faculty member shall then have one year to demonstrate satisfactory performance. The faculty member will then undergo another periodic review in the following academic year.
    - b. If the faculty member fails to complete the agreed-upon career development plan, the faculty member may ask for an extension of one year, to be granted at the discretion of the Dean. After the extension, the Promotion and Tenure Subcommittee, the Dean, and the supervisor will assess the faculty member's progress in the completion of the professional development plan.
      - i. If satisfactory, a special career review will be conducted one year later by the Promotion and Tenure Subcommittee in conjunction with the Dean and the supervisor.

**Commented [AW33]:** Edit 33

Rationale: There are no criteria for PCR, just an evaluation of past annual reviews to see if the faculty member has received Satisfactory or above ratings. This language leaves more room to deal with unusual situations like split ratings, where a faculty member undergoing PCR may have received a split Satisfactory/Needs Improvement rating during the period under review.

**Commented [AW34]:** Edit 34

Rationale: Clarifying language

- ii. If unsatisfactory, the faculty member will be subject to appropriate disciplinary action, which may include proceedings for termination as described in *The Redbook*, Article 4.5.

### 3 CONDITIONS OF FACULTY EMPLOYMENT

The conditions of faculty employment in the University Libraries follow *The Redbook*, Article 4.3.

### 4 RESOLUTION OF DISAGREEMENTS

Except for those with temporary or emeritus appointments, all ULF members may participate in the procedures described in *The Redbook*, Article 4.4; however, only tenured ULF members may seek election to the University Faculty Grievance Committee.

### 5 TERMINATION OF SERVICE

Termination of service of tenured or probationary faculty follows *The Redbook*, Article 4.5.

### 6 PROCEDURE FOR AMENDING UNIVERSITY LIBRARIES FACULTY PERSONNEL DOCUMENT

A. Any voting member of the ULF may propose changes to the *University Libraries Faculty Personnel Document* or any of its appendices. Proposed amendments must be submitted in writing to the Personnel Committee. The Personnel Committee must distribute the proposed amendment to each member of the ULF at least five working days in advance of a faculty meeting.

B. A written ballot must be distributed at the meeting. In order for the amendment to be approved, at least half of the membership must be present, and the amendment must be approved by at least two-thirds of the members present. If a majority of members is not present or if the majority of the faculty members present so wish, a mail ballot may be used. the ballot can be distributed, collected, and tallied after the meeting.

C. Amendments to the *University Libraries Faculty Personnel Document* must also be approved by the Faculty Senate, the Executive Vice President and University Provost, and the Board of Trustees. Amendments to any of the appendices can be made solely with the approval of the ULF.

**Commented [AW35]:** Edit 35  
Rationale: Ballots are generally electronic.

**Commented [AW36]:** Edit 36  
Rationale: A "mail ballot" would generally now be an electronic ballot distributed outside of a meeting.

Approved by University Libraries Faculty: March 21, 1985  
Approved by Board of Trustees: May 20, 1985  
Approved by University Libraries Faculty: November 15, 1990  
Approved by Board of Trustees: March 25, 1991  
Amended by University Libraries Faculty: April 18, 1996  
Approved by Board of Trustees: May 20, 1996  
Amended by University Libraries Faculty: March 26, 1998; January 27, 1999; December 15, 1999; April 20, 2000  
Approved by Board of Trustees: February 26, 2001  
Amended by University Libraries Faculty: September 2001  
Approved by Board of Trustees: April 22, 2002  
Approved by University Libraries Faculty: September 23, 2010  
Approved by Board of Trustees: November 11, 2010  
Approved by University Libraries Faculty: February 20, 2012  
Approved by Board of Trustees: June 28, 2012  
Approved by University Libraries Faculty: June 14, 2019  
Approved by Faculty Senate: June 3, 2020  
Approved by Board of Trustees: October 28, 2020  
Corrected version approved by Board of Trustees: April 22, 2021

