

**CRITERIA AND PROCEDURES FOR
APPOINTMENT & PROMOTION**

FOR LIBRARY FACULTY

**Denison Memorial Library
University of Colorado Health Sciences Center**

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INTRODUCTION

The Denison Memorial Library plays an integral role in supporting the academic, research and service missions – both patient care and community - of the University of Colorado Health Sciences Center. The library strengthens the university's abilities to create, disseminate and apply knowledge by managing the UCHSC's single largest aggregation of information resources. The library provides information management education programs, collections and other resources desired by library users, and assistance in locating and obtaining relevant information. It also creates and maintains local databases that meet special information needs.

The library faculty is charged with the responsibility of facilitating the work of other UCHSC personnel by: assessing information needs; designing services to meet individual and group information needs; teaching information skills; collaborating with a wide range of campus personnel; selecting, acquiring, processing and preserving information resources; exploring the newest information technologies; planning for future delivery of collections and services; and providing leadership in resolving campus information management issues.

The policies and procedures for appointment and promotion of Denison Memorial Library faculty are derived from and in accord with the more general rules included in the University of Colorado *Faculty Handbook* as amended in September of 1988. In the event of a conflict, Regental laws and actions, Colorado legislative changes, and other policies and procedures of the university shall prevail.

DEFINITIONS

APPOINTMENT:

The act of initiating official paperwork to employ a person as a library faculty member is called an appointment if the individual's previous status was any of the following:

- 1) not in the employ of the University of Colorado Health Sciences Center, or
- 2) in the employ of the University of Colorado Health Sciences Center, but not in a faculty position, or
- 3) in the employ of the University of Colorado at one of the other campuses.

REAPPOINTMENT:

The procedure of evaluation for all library faculty that culminates in the issuance of a personnel action form by the Director. The Annual Performance Rating is completed by the faculty member's supervisor.

PROMOTION:

The normal procedure for advancement from one academic rank to another. When an individual has served the specified time in a particular rank, that individual may ask to be considered for promotion to the next academic rank, without necessarily changing job assignments.

TERMINAL DEGREE:

The American Library Association accredited Master's degree in library or information science is considered the terminal degree for librarians. Faculty members with credentials in related fields must hold a terminal degree as defined by the common usage of that field and the position held in the Denison Memorial Library.

ACADEMIC RANK

There are five levels of academic rank for faculty in the Denison Memorial Library. Rank is based first on consideration of academic credentials as described in the section on criteria for appointment, including terminal degree. All positions are non-tenure earning, but enjoy all other faculty privileges except for sabbatical leave.

INSTRUCTOR

This rank is generally the initial appointment of a beginning professional librarian or other faculty member without prior experience, or the initial appointment of a professional with no health science library experience.

SENIOR INSTRUCTOR

The faculty member in this rank has demonstrated competence as a professional librarian or in a related field, either at UCHSC, another health sciences center, or in another library setting.

ASSISTANT PROFESSOR

Appointment or promotion to this rank requires satisfaction of the criteria outlined in the section on promotion.

ASSOCIATE PROFESSOR

This rank is appropriate for faculty members who have demonstrated excellence in librarianship, teaching and/or research/publication as described in the section on promotion. This rank is usually awarded only after demonstrated excellence of service at the Assistant Professor level.

PROFESSOR

Professors have demonstrated outstanding performance over an extended period of time of service at the UCHSC at the Associate Professor level.

CRITERIA FOR INITIAL APPOINTMENT

The criteria for initial appointment at the academic rank of **Instructor** are:

1. A terminal degree appropriate to the position within the library.
2. Potential for successful performance as a faculty member as judged from letters of recommendation and personal interviews.
3. Evidence of scholarly competence as judged from college transcripts or other documents showing completion of formal education.
4. Desirable knowledge and skills as judged from personal interviews and recommendations.

Criteria for initial appointment at a higher academic rank:

- A. **Senior Instructor:** Individuals with prior professional experience may be appointed at this level, with higher recognition and salary. The appropriate terminal degree is required.
- B. **Assistant Professor:** Individuals at this rank should be well qualified in librarianship or related fields so as to meet the promotion criteria for this level. The appropriate terminal degree is required.
- C. **Associate Professor:** Associate Professors have the appropriate terminal degree, considerable professional experience, have contributed service to the information professions, and have a record of publication or promising accomplishment in research.
- D. **Professor:** Professors have the appropriate terminal degree plus outstanding accomplishment in librarianship, teaching or research.

CRITERIA FOR PROMOTION

As part of the general faculty, library faculty members will be evaluated in accordance with University-wide criteria in three broad areas:

1. Librarianship/teaching:

Performance in this general area carries the greatest weight in promotion decisions.

Provision of access to information; advancement of the University's mission through collection development; demonstrated independence and initiative in meeting library goals; skill in human resource management; skill in developing and/or implementing library policies and procedures; expertise in the application of technologies for information access and delivery; personal improvement in professional service; effective interaction with library users; collaboration with other campus faculty; positive working relationships and effective communication with other members of the University community.

Individual or group instruction or academic supervision of students; course-related lectures; courses or workshops developed and/or taught; serving on a dissertation or thesis committee; improvement of teaching through innovation, curriculum planning or related work.

Professional growth as demonstrated through continuing education, application/adoption of new developments and technologies in the field, internships, and attendance and participation in professional meetings at the state, local or national level.

2. Research and creative work:

Contribution to scholarship and to the profession including the development of new principles and application of existing ones to theory and practice. Quality of work is more important than quantity. Such work may include: publications, exhibits or presentations, innovation in professional practice, development of databases or information systems, planning or organizing meetings with measurable benefit to the profession, research (sponsored or not) in progress, service as an editor, service as a consultant, or developing scholarly expertise in an additional discipline through pursuit of a graduate degree.

3. University and community service:

Performance of service relating to the university, the community and the profession, including: service on library or University committees; active membership in professional associations; honors or awards from professional or community groups; promotion of diversity in the library or the University; holding a leadership position in a local, state, national or international association; and extending the University's information resources to the state.

The above general criteria are applied to specific ranks as follows:

A. Criteria for Promotion from Instructor to Senior Instructor:

1. Quality performance of professional responsibilities during the time-in-rank as judged by appropriate documents, including supervisory evaluation of achievement in relation to primary duties and written recommendations of professional colleagues or library users.
2. Supervisory ability or contributions to human resource management as indicated by valuable innovations in work routines; formulation or reformulation of work processes; the successful hiring, training and supervision of personnel; or improving library-wide staff effectiveness.
3. Evidence of continuing education directly related to primary job responsibilities.
4. Participation in professional organizations at the local, state, regional or national level as indicated by holding an office, serving on committees, teaching workshops, etc.
5. Membership in the Academy of Health Information Professionals at the Member or Associate Member level.
6. Normally a minimum of six (6) years at the rank of Instructor.

Achievements number 1 and 6 are mandatory. At least three (3) of the remaining four (4) achievements must also be met.

B. Criteria for Promotion from Senior Instructor to Assistant Professor:

1. Quality performance of professional responsibilities during the time-in-rank as judged by appropriate documents indicating supervisory evaluation of achievement in relation to primary duties and written recommendations of professional colleagues or library users.
2. Superior supervisory ability or contribution to human resource management as indicated by revamping a department, successfully resolving major personnel or other operational difficulties, or improving library-wide staff effectiveness.
3. Evidence of continuing education directly related to primary job responsibilities.
4. Mastery of a complex field of specialization, such as acquisitions, audiovisuals, cataloging, database services, history of medicine, information education, information storage and retrieval, management, reference services, resource development and sharing, serials, etc. This may be evidenced by formal service as a consultant, receipt of awards or other recognition.
5. Significant contributions to professional organizations at the local, state, regional or national level as indicated by holding an office, chairing committees, teaching workshops, etc.
6. Substantial contribution to the UCHSC through service on library committees, campus committees or significant participation in other campus-wide activities.
7. Membership in the Academy of Health Information Professionals at the Senior or Distinguished Member level, or similar certification in a related professional area associated with one's position and responsibilities.
8. Completion of a second graduate degree relevant to library operations. (MLA definition of "relevant" will be applied.)
9. Normally a minimum of six (6) years at the rank of Senior Instructor.

Achievements number 1 and 9 are mandatory. At least five (5) of the remaining seven (7) achievements must also be met.

C. Criteria for Promotion from Assistant to Associate Professor:

1. Superior performance of professional responsibilities during the time-in-rank as judged by appropriate documents indicating supervisory evaluation of achievement in relation to primary duties and written recommendations of professional colleagues or library users.
2. Superior supervisory ability or contribution to human resource management as indicated by revamping a department, successfully resolving major personnel or other operational difficulties, or improving library-wide staff effectiveness.
3. Evidence of continuing education directly related to primary job responsibilities.
4. Mastery of a complex field of specialization, such as acquisitions, audiovisuals, cataloging, database services, history of medicine, information education, information storage and retrieval, management, reference services, resource development and sharing, serials, etc. This may be evidenced by service as a consultant, receipt of awards or other recognition.
5. Significant contributions to professional organizations at the local, state, regional or national level as indicated by holding an office, chairing committees, teaching workshops, etc.
6. Substantial contribution to the UCHSC through service on library committees, campus committees or significant participation in other campus-wide activities.
7. Membership in the Academy of Health Information Professionals at the Distinguished Member level, or similar certification in a related professional area associated with one's position and responsibilities.
8. Completion of a second graduate degree relevant to library operations.
9. Normally a minimum of six (6) years at the rank of Assistant Professor.

Achievements number 1 and 9 are mandatory. At least five (5) of the remaining seven (7) achievements must also be met.

D. Criteria for Promotion from Associate Professor to full Professor:

1. Superior performance of professional responsibilities during the time-in-rank as judged by appropriate documents indicating supervisory evaluation of achievement in relation to primary duties and written recommendations of professional colleagues or library users.
2. Superior performance in administration of a complex unit within the library or in overall administration, teaching or research programs as evidenced through letters of evaluation or articles published in major journals.
3. National professional recognition or honors such as serving as a visiting professor.
4. Significant contributions to professional organizations over an extended period of time.
5. Substantial contribution to the UCHSC through service on library committees, campus committees or significant participation in other campus-wide activities.
6. Membership in the Academy of Health Information Professionals at the Distinguished Member level, or similar certification in a related professional area associated with one's position and responsibilities.
7. Completion of a second graduate degree relevant to library operations.
8. Recognition of sustained contributions to the University of Colorado.
9. Normally a minimum of six (6) years at the rank of Associate Professor.

Achievements number 1 and 9 are mandatory. At least five (5) of the remaining seven (7) achievements must also be met.

POLICIES FOR APPOINTMENT, REAPPOINTMENT & PROMOTION

Initial appointment:

New faculty members are normally appointed at the Senior Instructor or Assistant Professor level, except in cases where new professionals lack post-degree experience. Appointment at a higher academic rank is possible, depending on qualifications. The Director shall determine the starting salary based on considerations of education, experience, market conditions, and salaries of current Denison faculty members.

Appointments are non-tenure earning and can be made at any time during the year. Library faculty members in the rank of Instructor and above shall participate in the faculty benefits programs. Initial appointment shall be for a period of two years. Colorado state law (C.R.S. #24-19-104) specifically requires that non-tenure earning faculty be employees-at-will and that the following paragraph be included verbatim in letters of offer:

Your employment contract is subject to termination by either party to such contract at any time during its term, and you shall be deemed to be an employee-at-will. No compensation, whether as a buy-out of the remaining term of contract, as liquidated damages, or as any other form of remuneration, shall be owed or may be paid to you upon or after termination of such contract except for compensation that was earned prior to the date of termination.

The provisions of this paragraph shall supersede and control any conflicting provisions of any University policy or employee handbook.

The library director holds a faculty appointment in the library, but, in addition, has primary appointment as a professional exempt employee in the Office of Academic Affairs.

Reappointment:

A faculty member's continuing appointment is contingent upon consistent superior performance as determined through the annual performance review. Each faculty member shall be reviewed annually based on the "Faculty Distribution of Effort Agreement", but will not be considered for promotion unless the individual so requests. A supervisor may suggest that promotion consideration is appropriate, but the individual must decide for her/himself and initiate the peer review process. Continuing reappointment at the same rank is possible. Promotion within a set number of years is not mandatory, but the library strongly encourages the continual professional growth and development of all faculty members.

Policies and procedures for nonreappointment, termination, suspension, and dismissal are covered in the University of Colorado *Faculty Handbook*, Part Four. The Director will make the decision to dismiss, not reappoint or accept a resignation in accordance with general University guidelines.

Annual performance and salary review:

At the beginning of each year every library faculty member will prepare a "Faculty Distribution of Effort Agreement" with her/his supervisor. This agreement will reflect the primary responsibilities of the faculty member's position, the library's strategic priorities for the year, and any special arrangements for individual activities or circumstances. In the spring of the next calendar year all faculty will be evaluated based on this agreement.

A score will be given for each category of effort, and each score will be multiplied by the percent of effort. The faculty may also agree to include a behavioral or other rating instrument in the annual performance appraisal process. The total score will drive the distribution of merit pay. Merit salary increases will be based on comparison across all library faculty.

At the conclusion of the annual review cycle the Director will prepare a recommendation for every faculty member and communicate this to the Office of Academic Affairs. The Director will also include any special salary adjustment for factors such as special merit or equity. The Director will inform the faculty as to the range of merit increases distributed and an explicit statement as to whether or not special merit and/or equity adjustments were made.

Calendar:

Each year the Associate Director shall inform all faculty in writing of specific due dates for the evaluation process. Each faculty member shall complete a self-evaluation and submit this to her/his immediate supervisor. Supervisors shall prepare a written evaluation and meet with the faculty member to discuss both documents. Supervisors shall forward the self-evaluation and their own assessment to the Associate Director or Director. The Director shall prepare salary recommendations according to the current campus timeline.

If the faculty member wishes to be considered for promotion, however, s/he must so inform the Director in writing by January 15 and submit the self-evaluation by January 30. The supervisor shall prepare a written evaluation and meet with the faculty member by February 20 and forward all documents to the Faculty Status Committee within one week. The Faculty Status Committee shall forward its recommendation to the Director by March 30.

If the supervisor wishes to suggest that a faculty member request review for promotion, the supervisor will so advise the individual during the first week of January.

PROCEDURES FOR APPOINTMENT & PROMOTION

I. COMMITTEES AND ASSIGNMENTS

A. Search Committee

The Director will select the members of this committee whose duty will be to assist the Director in filling a position on the library's academic staff. This committee will operate under the general campus guidelines for faculty recruitment.

B. Faculty Status Committee

This committee is advisory to the Director and is responsible for reviewing and recommending action for all persons who request consideration for promotion. The committee consists of five members: three Denison faculty members, one faculty member selected by the Director from the current Library Advisory Committee members, and one UCHSC faculty member appointed by the Associate Vice Chancellor for Academic Affairs. The Director may not serve on this committee, but any library faculty member with an appointment of 50% or more is eligible.

The three Denison members of the committee serve rotating terms of one, two and three, years. As a member rotates off the committee, a new member will be elected to serve for a three year term. The member rotating off the committee is eligible for re-election. If more than one vacancy occurs, the candidate with the most votes will serve for three years and the other for two years. If both elected members receive the same number of votes, the senior candidate in years of service will serve the longer term.

In years when this committee is needed, elections will be held during the first week of February of each year using the following procedures: The Associate Director will draw up a ballot containing the names of all Denison faculty with at least three years of service at UCHSC. Each faculty member will vote for one candidate to replace the committee member rotating off. The current convener of library faculty meetings and the Associate Director will count the ballots. If there is a tie and only one vacancy is to be filled, the candidate with the longer seniority will serve.

In cases where a member of the committee is being considered for promotion or in other cases of potential conflict of interest, such as when a member of the committee has close personal ties to a candidate for promotion, the Director, in consultation with the other committee members, will appoint an ad hoc replacement.

In July of each year the Faculty Status Committee will also review this document and recommend changes to the faculty as a whole.

Duties of the Faculty Status Committee:

The Faculty Status Committee will be responsible for reviewing and evaluating all pertinent records and documents for candidates requesting promotion. The committee will review these records and submit a written report and recommendation to the Director. The committee's function is to advise the Director.

Throughout the review process the committee will focus on the quality and significance of the performance, service, research, teaching and other activities as described in the documentation. The committee may request clarification or additional information but may not base its recommendation on personal knowledge or other information not reflected in the documentation. It is the determination of quality performance that will be the foundation of the committee's recommendation, and the review must be an objective appraisal of tangible evidence.

Chair's duties:

Following the election of the first Faculty Status Committee or a new member of the committee, the Director will convene the committee for the purpose of electing a chair. The committee may conduct this election as it deems expedient.

The Chair will be responsible for seeing that all members of the committee are familiar with the contents of this document. The Chair will also see that the confidentiality of all records is preserved as the committee carries out its duties. When the committee receives notice of the need to review a candidate for promotion, the Chair will set the time and place for meeting.

At the first meeting the Chair will remind committee members of the need to maintain confidentiality and the procedures to be followed in their review. The Chair also informs the Director of any candidates for promotion along with the names and addresses for personal references whom the Director may contact for evaluative comments. Each candidate will have submitted the names of three references, and the Chair may poll the Faculty Status Committee and suggest additional individuals who have knowledge of the candidate's work.

Faculty Status Committee procedures:

All personnel records and files relating to candidates being reviewed by the committee will be kept in the Director's office when not in use by the committee. The Director will provide the committee with the initial documentation packet for each candidate, including:

- * an updated curriculum vitae
- * the candidate's self-evaluation and any supporting documentation:
 - * evidence of professional activities
 - * evidence of library or University service
 - * copies of publications or other work
- * the supervisor's evaluation

- * copies of letters of evaluation solicited by the Director
(from both internal and external evaluators)
- * prior self-evaluations and supervisor evaluations may be included
- * candidate's job description

The committee will meet as necessary to give fair and equitable consideration to each candidate. The Chair may ask to meet with the candidate to discuss the documentation. Any subsequent request for clarification or additional information must go to the Director, who will take prompt steps to obtaining such. Upon conclusion of its deliberations, the Faculty Status Committee will make a written recommendation to the Director, and return all documentation, any working files and computer records to be held in administration until after all steps in the promotion and/or appeal process have been completed.

Following consideration of the committee's recommendation, the Director may request a meeting with the committee or may proceed to make a decision regarding promotion. The Director will inform the candidate of his/her decision and provide a copy of the Faculty Status Committee's report and recommendation. The candidate may request a meeting with the Director and the committee to discuss any questions regarding the decision. Efforts are made to resolve any disagreements at this time, before a recommendation is sent to the Office of Academic Affairs. Upon receipt of approval or disapproval of that recommendation, the Director will inform both the candidate and the Chair of the committee.

Committee report and recommendation:

The report may be drafted in longhand in the form of a memo or prepared on a word processor, but all temporary versions must be destroyed when the final report is submitted to the Director. The report will include:

- * name of the person reviewed
- * type of promotion under consideration
- * a summary of major factors leading to the recommendation
- * recommendation for or against promotion
- * a minority dissension if appropriate
- * names and signatures of committee members with the Chair so designated

C. **Review Committee**

At his/her discretion, the Director may establish a Review Committee to aid in the evaluation of recommendations forwarded by the Faculty Status Committee. For example, a Review Committee would be formed to consider a disagreement between the candidate and the Faculty Status Committee. This Review Committee, chosen by the Director, shall consist of one member of the primary unit, one campus teaching faculty member, and one librarian from the University of Colorado system. Members of the Review Committee may serve on more than one review in the interests of providing consistency and continuity. The recommendations of the Director of the library and the Review Committee are forwarded to the chief academic officer.

II. APPEALS PROCEDURE

If the candidate is not satisfied with the above attempts to resolve differences of opinion, the University of Colorado *Faculty Handbook* provides the right to review by the Chancellor and President.

DENISON MEMORIAL LIBRARY
Faculty Distribution of Effort Agreement

Name of Faculty Member	Academic Title	Year	
<u>Activity</u>		<u>Percent of Effort</u>	<u>Rating</u>
<i>I. LIBRARIANSHIP</i>			
A. Supervision/administration		_____	
B. Primary job responsibilities		_____	
C. Collaboration outside library		_____	
TOTAL LIBRARIANSHIP		_____	_____
<i>II. TEACHING</i>			
<i>III. SERVICE</i>			
A. Administration		_____	
B. Committee work		_____	
C. Professional Service		_____	
D. Other (specify)		_____	
TOTAL SERVICE		_____	_____
<i>IV. PROFESSIONAL DEVELOPMENT</i>			
<i>V. RESEARCH AND CREATIVE WORK</i>			
TOTAL		<u>100 %</u>	_____

Faculty Member	Date	Supervisor	Date
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Director	Date
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**Instructions for Completing
"Faculty Distribution of Effort Agreement"**
(12 month appointments = 2,000 total hours)

Effort for categories I and II combined should generally not be below 75%.

Attach calculations for every category.

If mid-year adjustments are made, the agreement form should be amended, initialed and dated by all parties.

I. Librarianship

A. Amount of time spent on supervision will depend upon number of staff supervised, length of employment of staff members, special training needs, or other human resource issues which must be addressed during the year.

Amount of time spend on administration will be based on anticipated introduction of new policies or procedures, significant changes to services, or other demands for planning and coordination.

B. Primary job responsibilities are covered in the position description for each faculty member.

C. Estimate the number of hours that will be devoted to collaboration with faculty in other Schools and divide by 2,000 hours.

II. Teaching

A. For each 50 minute lecture you plan to give, credit yourself with 4 hours for preparation. If you will be giving a lecture for the first time, credit yourself with 8 hours. If you plan to have someone else give a lecture in a program for which you have administrative responsibility and if you plan to attend that lecture, credit yourself with 1.5 hours. If you are coordinating lectures given by others, credit yourself with .5 hours per lecture given by someone else which you do not attend.

B. For each independent study student who will be working on a research project or other activity under your direct supervision, credit yourself 8 hours per month.

III. Service

A. Only those faculty members with administrative titles should include a percent effort for administration, and this will be set in consultation with the Director.

B. Institutional committee work includes involvement in student and alumni activities, fundraising, public relations, special assignments for the Director, etc. This includes work internal to the library, work on campus committees or participation on University-wide bodies. Calculate the number of anticipated hours and divide by 2,000.

C. Professional service includes invited lectures, journal or other refereeing, editorial service, service on site visit and other review teams, serving as an officer or committee member for professional organizations, consultantships, etc. The amount of such effort should not exceed 15 percent.

IV. Professional Development

Activities included in this category are those in which faculty engage for the principal purpose of remaining current or advancing their knowledge and skills, e.g., attendance at professional or scientific meetings, conferences or seminars; continuing education enrollment; independent study; etc. The amount of such effort should not exceed 10 percent.

V. Research & Creative Work

The time and effort remaining after categories I through IV are totaled should be devoted to research and creative work. Given the small size of the library staff and service commitments, in most years this number should not exceed 10%.