

JMU Libraries

Evaluation and Procedures

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1 **James Madison University Libraries Promotion**
2 **and Tenure Guidelines**

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54 **1. Introduction**

55 This document covers professional contracts, development, and performance assessment for
56 tenure-track and non-tenure track library faculty. It serves as a guide to the individual faculty
57 members, the Personnel Advisory Committee (PAC), supervisors, the Academic Unit Heads
58 (AUH), and the Dean of Libraries. It should be used in concert with the [James Madison](#)
59 [University Faculty Handbook](#). This document must be reviewed annually by the LFA Policy
60 Committee to maintain alignment with the Faculty Handbook. In cases of discrepancy between
61 the Faculty Handbook and this document, the Faculty Handbook must take precedence.

62 The components comprising each faculty member’s job performance are delineated in their
63 position description. Faculty members are expected to add to their professional qualifications
64 through continuing education and to contribute to their professional field or area of
65 specialization through scholarly achievement. Faculty members are also expected to engage in
66 service and leadership activities that benefit the Libraries, the university, their profession, or
67 the community.

68 **1.1 Applicability**

69 This document applies to all instructional faculty within the Libraries. Except where indicated,
70 this document also applies to A&P faculty within the Libraries who are pursuing promotion.

71 **1.2 Faculty Status, Positions, and Rank**

72 Faculty status, positions, and ranks are described in section III.B. of the Faculty Handbook.

73 1.3 Version

74 The current version of the James Madison University Libraries Promotion and Tenure
75 Guidelines (PTG) supersedes all previous versions, and its terms replace the terms contained in
76 previous versions. The university expressly reserves the right to change policies, benefits, and
77 procedures, and faculty members are bound by changes as they become effective. Changes to
78 the PTG are made as needed by the LFA Policy Committee and are approved by majority vote of
79 eligible faculty members.

80 1.4 Approval of New Procedures and Criteria

81 This document covers procedures and criteria specific to the Libraries. As per the Faculty
82 Handbook, III.E.1.f. Approval, “Academic unit evaluation procedures and criteria must be
83 approved by the [Libraries] faculty members, AUH, dean, and Provost. New or revised
84 evaluation procedures and criteria may be proposed to the academic unit by individual faculty
85 members, the [Personnel Advisory Committee], or AUH. New or revised procedures and
86 criteria must be proposed and approved in a timely manner to allow their use by faculty
87 completing evaluations.” See the [LFA Policy Committee Procedures](#) for the process for
88 recommending and approving policy changes.

89 1.5 Contracts

90 For information on contracts, see Faculty Handbook Section III.D.

91 1.6 Word Usage

- 92 • **Academic Unit** is defined as an administrative department or its functional equivalent,
93 as identified by the provost.
- 94 • **Academic Unit Head** is “the head of an academic department or the functional
95 equivalent of that position,” according to Academic Affairs Policy #2 Academic Unit
96 Heads.
- 97 • **Day** indicates a calendar day by 5 pm, unless otherwise specified. A specific date
98 indicates that calendar date by 5 pm. If, however, a specified deadline falls on a day
99 when the university is not scheduled to be open, or is not open for business (as in an
100 emergency closing, a holiday, or a weekend), the deadline must be the next day the
101 university is open for business by 5 pm.
- 102 • **Milestone evaluations** refers to promotion and tenure reviews for faculty.
- 103 • **Must** indicates a mandatory action.
- 104 • **Should** and **may** indicate discretion on the part of the actor.
- 105 • **Will** is intended to be descriptive only and does not obligate or direct any action.

106 All references to any entity or publication refer to those entities and publications at James
107 Madison University unless otherwise specified.

108 **1.7 Abbreviations and Style**

109 This handbook is intended to conform to the stylistic conventions in use at James Madison
110 University. After a name or title has been used the first time, it will usually be abbreviated.

111 Some examples are listed below:

- 112 • Academic Unit Head – AUH
- 113 • Personnel Advisory Committee – PAC
- 114 • Administrative and Professional Faculty – A&P
- 115 • Board of Visitors – BOV
- 116 • Provost and Senior Vice President for Academic Affairs – provost
- 117 • Faculty Annual Review – FAR
- 118 • Faculty Anticipated Activity Plan – FAAP
- 119 • Renewable Term Appointment – RTA
- 120 • Speaker of the Faculty Senate – Speaker

121 **2. Evaluations**

122 University policies and procedures regarding evaluations are covered in the Faculty Handbook,
123 III.E. Evaluation, Promotion and Tenure.

124 **2.1 Evaluation Fundamentals**

125 **2.1.1 Evaluation Bodies**

126 As per the Faculty Handbook, III.E.2.a. AUPAC, the Libraries Personnel Advisory Committee
127 (PAC) “advises the AUH and makes recommendations on personnel matters within [the
128 Libraries]. The [PAC] is responsible to the faculty and to the AUH for conducting its functions,
129 and the dean must provide oversight of the work of the [PAC] to determine if it has followed
130 appropriate procedures.” Guidelines for Libraries PAC membership, elections, and procedures
131 are on the Libraries PAC Hub site.

132 **2.1.2 Records**

133 Faculty members are responsible for keeping comprehensive records of their professional
134 activities to supply supporting documentation for all reviews.

135 Copies of all evaluations that are to be maintained as a matter of record must be stored in the
136 faculty member’s personnel file in the Libraries Human Resources Department. Faculty
137 members may review their own personnel files (see Faculty Handbook, III.G.1. Reviewing
138 Personnel Files).

139 In support of its role in evaluations, the PAC has the right to review all relevant material in the
140 faculty member’s personnel file (see Faculty Handbook, III.E.1.d. Access to Records by AUPAC).

141 If documents that were not submitted by the faculty member and are not contained in the
142 faculty member's personnel file are to be considered in an evaluation, the faculty member must
143 promptly be given access to the documents and given an opportunity to respond to them (see
144 Faculty Handbook, III.E.1.e. Access to Records by Faculty Member).

145 **2.1.3 Confidentiality**

146 All persons involved in the evaluation process must respect and maintain the strict
147 confidentiality of all relevant documents and deliberations.

148 **2.2 Types of Evaluations**

149 **2.2.1 Supervisor Evaluations**

150 The Libraries has adopted an evaluation structure to match its organizational structure. All
151 faculty evaluations are conducted by the faculty member's supervisor. For the purposes of
152 evaluations faculty supervisors are given AUH signatory authority, and in this document the
153 term "supervisor" (not "AUH") is used when referring to their evaluation responsibilities.
154 When a faculty member supervised by the dean undergoes a milestone review, the dean may
155 select another Libraries faculty supervisor to evaluate the materials of the faculty member, in
156 addition to the dean and the AUPAC.

- 157 • Initial evaluation. The initial evaluation will be conducted at the beginning of the faculty
158 member's second full semester of employment. The initial evaluation becomes a matter
159 of record and must be stored in the faculty member's personnel file in the Libraries
160 Human Resources Department.
- 161 • Faculty annual evaluations. Annual evaluations of all faculty members must be
162 conducted after the conclusion of each academic year. Annual evaluations become a
163 matter of record and must be stored in the faculty member's personnel file in the
164 Libraries Human Resources Department. The supervisor must provide the official
165 written evaluation to the faculty member by **October 1**. Appeals of instructional faculty
166 FARs are referred to the PAC.
- 167 • Midpoint review. The AUPAC and supervisor must independently review the
168 accomplishments of tenure track faculty at the midpoint of the probationary period,
169 typically during the third year of candidacy. The midpoint review becomes a matter of
170 record and must be stored in the faculty member's personnel file in the Libraries
171 Human Resources Department.
- 172 • A comprehensive evaluation concerned with promotion is conducted in addition to the
173 annual evaluation in the appropriate year. It becomes a matter of record and must be
174 stored in the faculty member's personnel file in the Libraries Human Resources
175 Department.
- 176 • A comprehensive evaluation concerned with tenure is conducted in addition to the
177 annual evaluation in the appropriate year. It becomes a matter of record and must be
178 stored in the faculty member's personnel file in the Libraries Human Resources
179 Department.

180 **2.2.2 PAC Evaluations**

- 181 • Rank recommendation review. Interview candidates have the option of requesting this
182 review before the final round of interviews. The review is given to the supervisor, AUH,
183 and dean.
- 184 • Midpoint review. The midpoint review is advisory to the faculty member. The midpoint
185 review letter from the PAC becomes a matter of record and must be stored in the faculty
186 member's personnel file in the Libraries Human Resources Department.
- 187 • A comprehensive evaluation concerned with promotion is conducted in the appropriate
188 year. It becomes a matter of record and must be stored in the faculty member's
189 personnel file in the Libraries Human Resources Department.
- 190 • A comprehensive evaluation concerned with tenure is conducted in the appropriate
191 year. It becomes a matter of record and must be stored in the faculty member's
192 personnel file in the Libraries Human Resources Department.
- 193 • Non-renewal of contracts.
- 194 • Post-tenure review.
- 195 • Instructional Faculty Annual Review appeals.

196 **2.3 Rank Recommendations**

197 For positions that can be hired at advanced rank or with a shortened tenure timeline, the head
198 of the search committee will offer all invited finalists the option of a review to recommend a
199 starting rank and/or tenure clock. The offer of this review will be made before the final round
200 of interviews. If a candidate requests this review, the PAC will provide the candidate with the
201 current PTG and invite the candidate to submit any additional documentation of the
202 candidate's choosing to the PAC. The PAC will use the additional documentation provided, in
203 conjunction with previously submitted application materials, to evaluate the candidate
204 according to the Libraries Promotion and Tenure Guidelines; information gained from the
205 interview process must not be applied to the review. This evaluation will ideally be completed
206 by the end of the final round of interviews. Upon completing its review, the PAC will send a
207 letter with its recommendations for starting rank and/or tenure timeline to the supervisor,
208 AUH, and dean. The PAC's role in this process is limited to recommending a starting rank
209 and/or tenure clock, and its recommendation does not inform any decision to extend an offer
210 to a candidate or the details of an offer.

211 **2.4 Orientation**

212 During the first six months of the new faculty member's employment, the PAC must hold a
213 meeting with the faculty member to advise them on the promotion and tenure process within
214 the Libraries.

215 A&P faculty members may either establish a promotion timeline in their contracts or elect to
216 establish a promotion timeline at any time after the orientation meeting. An A&P faculty
217 member currently pursuing promotion may at any time decline to continue on the promotion
218 track, without consequence. The individual A&P faculty member's promotion calendar is not

219 binding; its establishment is intended to provide guidance to the faculty member and support
220 their consistent progress toward meeting promotion requirements.

221 **2.5 Initial Evaluation**

222 University policies and procedures regarding initial evaluation of instructional faculty are
223 covered in the Faculty Handbook, III.E.3. Initial Evaluation.

224 Initial evaluations are conducted at the beginning of a faculty member's second full semester of
225 full-time employment, and must be completed by the end of the third week of that semester
226 (see Faculty Handbook, III.E.3.d. Deadline). For Libraries faculty members on 12-month
227 contracts, the summer is considered equivalent to a semester.

228 The supervisor must schedule an initial evaluation conference with the faculty member. The
229 supervisor may request that the faculty member provide a written self-evaluation prior to this
230 conference.

231 The supervisor must complete a written initial evaluation. The supervisor must provide the
232 written evaluation to the faculty member, with the AUH copied, within 14 days of the
233 evaluation conference. The evaluation must state whether the faculty member's overall
234 performance has been acceptable or unacceptable. Unacceptable performance during the initial
235 evaluation period will normally result in nonrenewal (see Faculty Handbook, III.E.3.f.
236 Nonrenewal).

237 **2.6 Annual Evaluations**

238 **2.6.1 Administrative and Professional Faculty**

239 Administrative and professional faculty are evaluated according to JMU [Policy 1307](#),
240 Performance Evaluation of Administrative & Professional Faculty.

241 A&P faculty in the Libraries who are pursuing promotion should submit a summary of
242 activities and accomplishments during the previous 12 months in the areas of job performance,
243 scholarly achievement and professional qualifications, and professional service to their
244 supervisor for review and evaluation purposes, using the approved format described in the
245 [JMU Libraries Instructions for A&P Faculty Annual Evaluations](#).

246 **2.6.2 Instructional Faculty**

247 University policies and procedures regarding annual evaluations of instructional faculty are
248 covered in the Faculty Handbook, III.E.4. Annual Evaluation.

249 **2.6.2.1 Faculty Anticipated Activity Plan**

250 The faculty member must complete a draft Faculty Anticipated Activity Plan (FAAP) for the
251 coming year (July 1 to June 30) and submit it to their supervisor by **August 31**. The final
252 version of the FAAP, signed by the faculty member and supervisor, must be filed with Libraries
253 HR, with the AUH copied, by **October 1**. The relative weights of the three performance areas
254 must be determined by the faculty member and their supervisor prior to the start of the
255 academic year.

256 If no individual weights are negotiated, standard weights must be:

- 257 • 60% Job Performance
- 258 • 20% Scholarly Achievement and Professional Qualifications
- 259 • 20% Professional Service

260 Standard weights for RTA faculty must be:

- 261 • 80% Job Performance
- 262 • 10% Scholarly Achievement and Professional Qualifications
- 263 • 10% Professional Service

264 The agreement on weights may be renegotiated during the year under appropriate
265 circumstances.

266 **2.6.2.2 Faculty Annual Review**

267 The Faculty Annual Review (FAR) is conducted by the faculty member's supervisor. Annual
268 evaluations support a variety of decisions including those affecting tenure and promotion and
269 are integral components of PAC reviews. The FAAP and FAR processes completed by faculty
270 and supervisors are inextricably linked to the evaluation under PAC and/or supervisors or the
271 dean's purview.

272 As per the Faculty Handbook, III.E.4. Annual Evaluation, "In each of the three performance
273 areas, a faculty member must be evaluated as excellent, satisfactory, or unsatisfactory... In
274 addition to an evaluation in each of the three areas of performance, the faculty member's
275 overall performance must be evaluated as acceptable or unacceptable. A factor in determining
276 overall annual performance must be the relative weight associated with each of the areas of
277 performance."

278 The Libraries has adopted earlier deadlines for the FAR process as found in this section than
279 are required by the University. Each faculty member must submit to their supervisor a self-
280 evaluation summarizing activities and accomplishments in the areas of job performance,
281 scholarly achievement and professional qualifications, and professional service by **July 31**. The
282 self-evaluation covers the past 12 months, from July 1 to June 30.

283 The supervisor's preliminary evaluation of the faculty member is due to the faculty member for
284 review at least one business day before the scheduled annual evaluation conference (see

285 Faculty Handbook III.E.4.d.). The annual evaluation conference must be held before the FAR is
286 finalized, unless both the faculty member and the supervisor agree that no conference is
287 necessary. The supervisor will provide the faculty member with the final version of their
288 evaluation for signing by **August 31**. As per the Faculty Handbook, III.E.4.f. Deadline, “Any
289 failure to meet this deadline will extend the appeal process by the number of days the written
290 evaluation is late.” Faculty members have a maximum of seven days following receipt of the
291 official written evaluation to make a written appeal of their annual evaluation to the PAC. The
292 evaluation process is not final until any appeal has been completed. See Faculty Handbook,
293 III.E.4.g. Annual Evaluation Appeal Procedures and III.E.4.h. Review Criteria, for more
294 information on the appeal process.

295 The final, official version of the FAR, signed by the faculty member and supervisor must be filed
296 with Libraries HR, with the AUH copied, by **October 1**.

297 **2.6.3 Faculty Annual Review of Academic Unit Heads**

298 AUHs will be evaluated annually by the dean. For more information, see [Academic Affairs](#)
299 [Policy #2: Academic Unit Heads](#).

300 **2.7 Midpoint Review**

301 The PAC and supervisor will independently provide guidance and advice to the faculty member
302 on progress toward promotion and/or tenure at a midpoint. For a tenure-track faculty
303 member, the midpoint review occurs at the midpoint of their probationary period (typically in
304 the third year of employment). For a non-tenure-track faculty member (A&P, Lecturer, or RTA)
305 seeking promotion to associate professor, the midpoint review typically occurs three years
306 before the faculty member intends to apply for promotion.

307 **2.7.1 Procedures**

308 Early in the fall semester, the PAC will notify tenure-track faculty up for midpoint review and
309 put out a call for non-tenure-track faculty intending to submit midpoint review materials. The
310 faculty member must submit a summary of activities and accomplishments in the areas of job
311 performance, scholarly achievement and professional qualifications, and professional service
312 to the supervisor and PAC, with the AUH copied, by the first day of the spring semester.
313 Materials submitted must cover the time span established in section 2.8.2 (for promotion in
314 rank) or section 2.9.2 (for tenure) in accordance with the faculty member’s next anticipated
315 review.

316 The PAC may ask for additional documentation or seek clarification on materials during the
317 review process.

318 The PAC will use the submitted documentation to write a letter to the faculty member
319 undergoing review. The supervisor will independently write a separate letter. The PAC and
320 supervisor drafts must be made available to the faculty member by February 20.

321 The faculty member must be given the opportunity for separate meetings with the PAC and the
322 supervisor to discuss the draft midpoint letters. This is not a negotiation but rather a chance to
323 hash out questions and deal with issues that the PAC or supervisor might not know about or
324 that a faculty member needs more opportunity to explain. A faculty member may opt out of the
325 meeting by alerting the PAC or supervisor in writing of their wishes to accept the letter as
326 drafted. These meetings must be completed in time for the faculty member under review to
327 deal with any issues well in advance of the next year's annual goal submissions.

328 After the meetings with the PAC and supervisor (or the faculty member decision to opt out),
329 final copies of the PAC and supervisor letters must be provided to the faculty member under
330 review, the supervisor, AUH, and the dean by March 15. These documents become part of the
331 academic unit's record and are filed in the Libraries Human Resources department.

332 **2.8 Promotion in Academic Rank**

333 University policies and procedures regarding promotion of faculty are covered in the Faculty
334 Handbook, III.E.6. Promotion in Academic Rank.

335 Faculty members who will apply for promotion must inform the PAC and their supervisor and
336 AUH by September 1 of that year. Promotion review materials are due to the PAC, supervisor,
337 and dean, with the AUH copied, by October 1. The final recommendation letters must be
338 submitted to the dean, with the AUH copied, by November 15. (See Faculty Handbook, III.E.6.b.)
339 Guidelines on preparing promotion review materials are available on the Libraries PAC Hub
340 site.

341 **2.8.1 Compelling Case for Early Promotion**

342 Unless otherwise specified in a faculty member's contract, any faculty member applying for
343 promotion prior to completion of five years in their current rank at JMU will be considered as
344 applying for early promotion and must present compelling evidence of accomplishment to be
345 awarded promotion (Faculty Handbook III.E.6.). An award of early promotion is intended to
346 recognize faculty members who have met the promotion criteria on a shorter timeline than is
347 typical; therefore, candidates for early promotion are expected to demonstrate the
348 accomplishments that would normally be achieved in five or more years at rank.

349 To present a compelling case for early promotion to associate professor or senior lecturer, a
350 faculty member must receive the following ratings in their promotion evaluations from the
351 supervisor and PAC:

- 352 • "Excellent" in job performance and one other area (scholarship or service)
- 353 • At least "Satisfactory" in the third area

354 To present a compelling case for early promotion to full professor or principal lecturer, a
355 faculty member must receive "Excellent" ratings in job performance, scholarship, and service in
356 their promotion evaluations from the supervisor and PAC.

357 Candidates for early promotion are evaluated by the supervisor and PAC using the same
358 criteria (section 3.4.2) as would apply to any other candidate.

359 **2.8.2 Time Span of Activities Considered for Promotion** 360 **Reviews**

361 The JMU Faculty Handbook specifies the typical time span in rank before being reviewed for
362 promotion (III.E.6) and the length of the probationary period for tenure (III.E.7.b). This section
363 provides guidance on how far a faculty member may look back when selecting activities and
364 accomplishments to submit in an application for promotion.

365 Applications for promotion that also include an application for tenure must follow the time
366 span guidelines for tenure in section 2.9.2.

367 For promotion to the rank of assistant or associate professor or senior lecturer, the faculty
368 member must submit for consideration activities and accomplishments from their time in the
369 current rank, unless otherwise specified in their contract or negotiated with the dean. It is the
370 faculty member's responsibility to inform the PAC and supervisor of any alterations to the
371 faculty member's promotion time span through their submitted materials.

372 For promotion to professor or principal lecturer, the faculty member must submit for
373 consideration relevant activities and accomplishments from their career. This may include
374 selected work at prior institutions or in other employment classifications if the faculty member
375 believes it is applicable. The faculty member has discretion to determine what their career
376 scope entails and should clearly indicate the relevant activities covered in their application
377 materials. Evaluators are not entitled to request additional materials outside of the faculty
378 member's stated career scope.

379 Activity completed in a review year can be included in the packet for the applicable promotion
380 (e.g., activities from the review year for promotion to associate can be discussed in the packet
381 for promotion to full). The individual should also have evidence of activities since the last
382 promotion or initial employment at JMU, whichever occurred later.

383 Works in progress but not completed during the time period under review may be submitted
384 for consideration.

385 The amount of time spent in the current rank before applying for promotion must not be a
386 factor in evaluators' recommendations, i.e., a faculty member must be reviewed without regard
387 for the number of years spent in a rank. For example, a faculty member applying for promotion
388 to professor would receive the same recommendation regardless of whether their
389 accomplishments were obtained over five years, eight years, or ten years in the rank of
390 associate professor.

391 **2.8.3 Standards**

392 University policies regarding standards for promotion in academic rank are covered in the
393 Faculty Handbook, III.E.6.a. Standards.

394 **2.8.3.1 Assistant Professor**

395 At least satisfactory ratings in all areas are required for promotion to assistant professor.

396 **2.8.3.2 Associate Professor**

397 An excellent rating in job performance and at least satisfactory ratings in the others are
398 required for promotion to associate professor.

399 **2.8.3.3 Professor**

400 Excellent ratings in two areas (one must be job performance) and at least a satisfactory rating
401 in the third area are required for promotion to professor.

402 **2.8.3.4 Senior Lecturer**

403 An excellent rating in job performance and at least satisfactory ratings in the second and third
404 areas are required for promotion to senior lecturer.

405 **2.8.3.5 Principal Lecturer**

406 Excellent ratings in job performance and one other area and at least a satisfactory rating in the
407 third area are required for promotion to principal lecturer.

408 **2.9 Tenure**

409 University policies and procedures regarding tenure are covered in the Faculty Handbook,
410 III.E.7. Tenure.

411 As per the Faculty Handbook, III.E.7. Tenure, “Tenure does not apply to any rank of lecturer or
412 administrative or professional positions within the university. It is a concept with application
413 only to the instructional faculty of the university.”

414 As per the Faculty Handbook, III.D.4. Renewable-Term Appointments (RTA), RTAs are not
415 candidates for tenure and cannot be awarded tenure.

416 Faculty members who will apply for tenure must inform the PAC and their supervisor and AUH
417 by September 1 of that year. Tenure review materials are due to the PAC, supervisor, and dean,
418 with the AUH copied, by October 1. The final recommendation letters must be submitted to the

419 dean, with the AUH copied, by November 15. (See Faculty Handbook, III.E.7.f.) Guidelines on
420 preparing tenure review materials are available on the Libraries PAC Hub site.

421 **2.9.1 Compelling Case for Early Tenure**

422 Unless otherwise specified in the faculty member's contract, any faculty member applying for
423 tenure prior to the penultimate year of their probationary period will be considered as
424 applying for early tenure and must present compelling evidence of accomplishment to be
425 awarded tenure (Faculty Handbook III.E.7.b.). An award of early tenure is intended to
426 recognize faculty members who have met the tenure criteria on a shorter timeline than is
427 typical; therefore, candidates for early tenure are expected to demonstrate the
428 accomplishments that would normally be achieved in the full probationary period.

429 To present a compelling case for early tenure, a faculty member must be evaluated by the
430 supervisor and PAC as "Excellent" in job performance and one other area (scholarship or
431 service) and at least "Satisfactory" in the third area.

432 Candidates for early tenure are evaluated by the supervisor and PAC using the same criteria
433 (section 3.4.2) as would apply to any other candidate.

434 Candidates for early tenure may withdraw their application at any point before receiving
435 official notification of a decision. After withdrawing an early tenure application, the faculty
436 member may apply for tenure at a later date (see Faculty Handbook III.E.7.f.(2) for details).
437 Failure to obtain tenure will result in termination of employment at the end of the
438 probationary period.

439 **2.9.2 Time Span of Activities Considered for Tenure Reviews**

440 When applying for tenure, the faculty member will submit for consideration accomplishments
441 since the start date of their tenure probationary period, or as otherwise documented in their
442 initial employment contract. This may include scholarship and service activities that were
443 already in progress but not yet completed on the faculty member's start date.

444 **2.10 Post-Tenure Review**

445 University policies and procedures regarding post-tenure review are covered in the Faculty
446 Handbook, III.E.8. Post-Tenure Review.

447 **2.11 Faculty Appeals**

448 The process for appeals of annual evaluation decisions is covered in section III.E.4.g of the
449 Faculty Handbook. In the case of an appeal, the Libraries PAC will be the review body. Appeals
450 must be submitted in writing within seven days of receipt of the official written evaluation.

451 Appeals of promotion and tenure decisions are covered in III.E.6 and III.E.7 of the Faculty
452 Handbook.

453 **3. Criteria**

454 **3.1 Introduction**

455 This section provides standards for Job Performance, Scholarly Achievement and Professional
456 Qualifications (“scholarship”), and Professional Service (“service”). It applies to midpoint,
457 promotion, and tenure evaluations for all faculty and to instructional faculty annual reviews.
458 The term “evaluators” in this section refers to anyone responsible for evaluating the
459 performance of faculty members, including AUHs, supervisors, and the PAC.

460 All Libraries faculty members have the freedom to pursue activities that align with their
461 professional goals and strengths. The Libraries support activities that demonstrate the values
462 of the Libraries, the university, and the faculty member’s profession. While faculty members
463 are expected to be active in job performance, scholarship, and service, quality of work is more
464 important than quantity. Examples are provided and categorized for guidance and are not
465 intended to serve as a checklist or to be an exhaustive list of all qualifying activities.

466 The areas of performance that must be considered in all performance evaluations are as
467 follows:

- 468 • job performance
- 469 • scholarly achievement and professional qualifications
- 470 • professional service

471 **3.2 Definition and Assignment of Areas of Performance**

472 **3.2.1 Job Performance**

473 Job performance is understood as each faculty member’s practice of their professional duties,
474 as is appropriate for the individual faculty member’s role in the organization. The components
475 comprising each faculty member’s job performance are delineated in their position description.

476 **3.2.2 Scholarly Achievement and Professional Qualifications**

477 The JMU Faculty Handbook, section III.E.2.b.(2), states that Scholarly Achievement and
478 Professional Qualifications “include[s], but need not be limited to, publication of scholarly
479 works, presentations at professional conferences, achievement through performance in the
480 arts, engaging in recognized research, obtaining research grants, continuing professional
481 development through formal course work, publication of educational materials and consulting
482 activities.”

483 Libraries faculty members are expected to develop and sustain their professional qualifications
484 through professional development and to contribute to their professional field or area of

485 specialization through scholarly achievement. The Libraries defines scholarly achievement as
486 publishing or otherwise disseminating the results of research, applications of knowledge to
487 one's work, grants, or creative works.

488 Scholarly achievement may be within one's professional field or in other academic or
489 professional disciplines. Co-authorship and collaborative projects, both within the Libraries
490 and with colleagues at JMU or other institutions, are encouraged. Each faculty member is
491 responsible for developing their own scholarly agenda and may choose the most appropriate
492 format, venue, and copyright/license for sharing their scholarly work.

493 The term refereed is defined in this document as published works that have gone through a
494 content review process by an expert in the field in which they are being published. This may be
495 done by a publication's primary editor or other formal review process.

496 An event or activity must have concluded by the evaluation deadline to be considered
497 complete. The Libraries recognizes that publication schedules are often out of the author's
498 control, therefore providing proof that a work is accepted for publication will count as
499 published and thus completed. Works that are currently under review do not count as
500 published.

501 Activities such as copy editing, peer-reviewing, and indexing the work of others or writing brief
502 descriptive reviews should generally be included under the Service section. In cases where
503 significant analysis or creativity is involved, these activities may be included in the Scholarly
504 Achievement section with explanation.

505 **3.2.3 Professional Service**

506 The JMU Faculty Handbook, section III.E.2.b.(3), states that Professional Service "must include
507 committee service and leadership at James Madison University or in professional or
508 educational organizations, or service otherwise enhancing the profession, academic unit,
509 college or university." The term "committee" in this section is not limited to standing
510 committees but includes task forces, working groups, advisory boards, and other groups of a
511 similar nature.

512 Libraries faculty members are expected to engage in service activities that benefit the Libraries,
513 the university, their profession, or the community. The faculty member must actively support
514 the charge of the committee as a contributor or leader and document such work in their
515 evaluation documents. For milestone evaluations, one term counts as a single service activity,
516 regardless of the length of the term. Multiple terms on the same committee count as multiple
517 activities.

518 **3.2.4 Assignment of Areas of Performance**

519 Activities that are part of one's assigned duties fall under job performance. Activities that are
520 part of one's service on a committee fall under service unless they are part of one's assigned
521 duties. It is understood that this might result in the same activity being listed under different

522 areas by different faculty members, or by the same faculty member in different years. Areas of
523 performance (job performance, scholarly achievement and professional qualifications, and
524 professional service) used in annual reviews must be upheld by evaluators at milestone
525 evaluations.

526 Faculty members are encouraged to pursue activities that encompass multiple areas of
527 performance. These activities should be clearly documented by the faculty member to indicate
528 their relevance to different areas. For example, a conference presentation should be listed
529 under scholarship, but if the presentation was about a job-related or service project then the
530 project itself should be listed under job performance or service as appropriate.

531 **3.3 Categorization of Activities**

532 These lists provided are examples and must not be used as an exhaustive checklist of activities.
533 Individuals and supervisors must agree upon categorization during the annual review process.
534 Categorizations (Categories A-H) used in annual reviews must be upheld by evaluators at
535 milestone evaluations.

536 **3.3.1 Categorization of Job Performance**

537 The following list provides examples of job performance. Other activities not listed here may
538 also be counted.

539 **3.3.1.1 Examples of Job Performance Activities**

- 540 • fulfilling core duties of a faculty member's job description
- 541 • performance as documented on annual evaluations
- 542 • outcomes as a result of innovations or efficiencies in job performance
- 543 • leadership within the areas of the organization related to one's position
- 544 • research that influences services and activities of the Libraries
- 545 • serving on committees, task forces, working groups, etc., within the scope of one's
546 position

547 **3.3.2 Categorization of Scholarly Achievement and Professional 548 Qualifications Activities**

549 **3.3.2.1 Scholarly Achievement**

550 The following lists provide guidance on how to categorize common scholarly activities for the
551 purpose of assigning ratings. Scholarship activities are categorized based on vetting and the
552 time and effort involved. Category A activities must be vetted (refereed) through external
553 review and thus also involve a significant amount of time and effort. Category B activities are
554 unvetted activities requiring considerable time and effort. Category C activities are unvetted
555 activities that involve a smaller investment of time and effort. Other activities not listed here
556 may also be counted.

557 **3.3.2.1.1 Examples of Scholarly Achievement Activities**

558 Category A

- 559 • Authoring or co-authoring a published scholarly book
- 560 • Authoring or co-authoring a published, refereed book chapter
- 561 • Authoring or co-authoring a published, refereed article or critical review of a resource
- 562 in a scholarly or professional journal
- 563 • Editing or co-editing a published scholarly book
- 564 • Contributing significantly to the content of a digital scholarship project ([link to guidance](#)
- 565 [document](#))
- 566 • Serving as principal investigator or co-investigator for a major grant award external to
- 567 the university (for example, an IMLS, NIH, NSF, or Mellon Foundation grant)
- 568 • Giving a keynote or other invited presentation at a major academic or professional
- 569 conference or similar event, such as ACRL, AECT, or ALA
- 570 • Curating a scholarly exhibit external to the university at a museum or other similar
- 571 venue

572 Category B

- 573 • Giving a presentation or workshop at an academic or professional conference
- 574 • Presenting a paper at an academic or professional conference
- 575 • Giving a scholarly or professional development presentation through a professional
- 576 organization
- 577 • Authoring or co-authoring standards, frameworks, best practices, or a white paper
- 578 designed for wide dissemination by a professional organization
- 579 • Providing supporting contributions to the content of a digital scholarship project ([link](#)
- 580 [to guidance document](#))
- 581 • Participating in the curation of a scholarly exhibit external to the university at a
- 582 museum or other similar venue
- 583 • Authoring or co-authoring a non-refereed article in a journal, magazine, or other
- 584 publication
- 585 • Authoring or co-authoring an article for a scholarly reference work
- 586 • Providing consulting work within or external to the university that uses scholarly or
- 587 professional expertise
- 588 • Participating in a minor grant award internal or external to the university
- 589 • Receiving an award or honor recognizing scholarly work or research or scholarship
- 590 contributions to the field

591 Category C

- 592 • Moderating or participating in a panel presentation at an academic or professional
- 593 conference
- 594 • Presenting a poster at an academic or professional conference
- 595 • Giving a lightning talk at an academic or professional conference
- 596 • Providing ancillary contributions to the content of a digital scholarship project ([link to](#)
- 597 [guidance document](#))

- 598 • Submitting an external grant application
- 599 • Publishing research/scholarly outputs, such as data sets, code or otherwise
- 600 disseminating new information through publication or a repository
- 601 • Curating a scholarly exhibit internal to the university

602 **3.3.2.2 Professional Qualifications**

603 The following lists provide guidance on how to categorize common professional development
604 activities for the purpose of assigning ratings. Category D activities are accredited and/or
605 selective programs that require a significant amount of time and effort, or programs that
606 include formal evaluation of completed coursework. Category E comprises activities that are
607 unaccredited, unselective, and/or less of a commitment. Other activities not listed here may
608 also be counted.

609 ***3.3.2.2.1 Examples of Professional Qualifications Activities***

610 Category D

- 611 • Completing an application-only intensive seminar or institute
- 612 • Completing a course that involves formal evaluation of assignments in a subject that
- 613 will enhance one's professional performance
- 614 • Earning a degree or certification in any academic or professional discipline beyond
- 615 what is required for one's current position
- 616 • Participating in a formal course of study leading to a degree or certification

617 Category E

- 618 • Participating in a training course that awards credit based on attendance or
- 619 participation
- 620 • Engaging in a workshop, seminar, webinar, conference presentation, training event, or
- 621 intentionally documented self-directed development on a topic of relevance to one's
- 622 professional performance

623 **3.3.3 Categorization of Service Activities**

624 The following lists provide guidance on how to categorize common professional service
625 activities for the purpose of assigning ratings. Service activities are categorized based on their
626 impact and the time commitment and effort involved. Category F activities must demonstrate
627 leadership and/or significant impact, which generally requires a significant commitment of
628 time and effort. Category G activities are those lacking a leadership role and significant impact,
629 or with more moderate investments of time and effort. Category H activities are minimal, one-
630 time commitments. Other activities not listed here may also be counted.

631 3.3.3.1 Examples of Service Activities

632 Category F

- 633 • Leading or co-leading a university committee
- 634 • Leading or co-leading a Libraries committee
- 635 • Leading or co-leading a professional organization or committee in an elected or
- 636 appointed position
- 637 • Leading a search committee
- 638 • Serving on a Libraries, university, or professional committee and providing evidence of
- 639 demonstrable effort and impact
- 640 • Serving as PAC Chair
- 641 • Serving on Faculty Senate
- 642 • Leading or co-leading a conference planning committee
- 643 • Organizing or co-organizing a major outreach, professional development, or mentoring
- 644 program
- 645 • Contributing to the professional literature through serving as editor or co-editor of a
- 646 scholarly or professional journal

647 Category G

- 648 • Serving on a university committee
- 649 • Serving on a Libraries committee
- 650 • Serving on a departmental working group or task force
- 651 • Participating on a committee at the local, state, regional, national, or international level
- 652 • Serving as a mentor through a formal arrangement, appointment, or program in the
- 653 Libraries, on campus, or through a professional organization
- 654 • Contributing to the professional literature through editing columns, peer-reviewing,
- 655 writing brief descriptive reviews, indexing, or annotating
- 656 • Participating in a special project outside one's job responsibilities that benefits the
- 657 Libraries, its users, or the community
- 658 • Conducting a staff seminar or other training opportunity for the Libraries, university, or
- 659 community on a topic of professional relevance
- 660 • Moderating or maintaining a professional discussion forum, website, or email list
- 661 • Receiving an award recognizing service contributions
- 662 • Participating in a year-long new faculty orientation as a new faculty member

663 Category H

- 664 • Selecting material for a book/resource display
- 665 • Volunteering in support of student activities
- 666 • Reviewing scholarship or other award or funding applications for the university or a
- 667 professional organization
- 668 • Serving as an external reviewer for promotion and/or tenure applications

669 **3.4 Evaluation Criteria**

670 Faculty members are rated as Excellent, Satisfactory, or Unsatisfactory in each performance
671 area. Evaluators must base ratings on the documented performance of the faculty member
672 within the context of the criteria and standards in this document, and not relative to the
673 performance of other faculty members. For reviews that cover a multiyear period, evaluators
674 should consider the faculty member's cumulative performance when assigning a rating. As per
675 the Faculty Handbook (III.E.6. and III.E.7.e.), the "pattern of prior annual evaluations should be
676 carefully considered" when reviewing a faculty member for promotion or tenure, but
677 evaluators "should use judgment and discretion in making recommendations". Evaluators
678 should take into account changes in role, reporting line, and policy that occurred during the
679 faculty member's career.

680 The following criteria are based on a 60/20/20 distribution. Because faculty members can
681 adjust those weights in their FAAP and FAR, evaluators will make commensurate adjustments
682 when applying these criteria in annual evaluations. Faculty are expected to meet the criteria
683 listed below for milestone evaluations regardless of yearly weights. It is up to the individual
684 faculty member to document their contribution to any activity and its impact, significance, and
685 any notable innovations.

686 **3.4.1 Annual Evaluation Criteria**

687 **3.4.1.1 Job Performance Criteria**

688 To earn a rating of at least Satisfactory in the area of Job Performance, the faculty member must
689 fulfill the core duties of their job description.

690 To earn a rating of Excellent in the area of Job Performance, the faculty member must

- 691 1) fulfill the core duties of their job description
692 2) AND demonstrate progress toward additional aspects of job performance such as:
693 • taking on new or expanded responsibilities
694 • implementing and/or sustaining new or revised services or workflows
695 • coordinating services or workflows
696 • increasing effectiveness and/or efficiencies of services offered
697 • managing projects
698 • receiving awards or significant recognition from colleagues and/or constituents
699 related to job performance
700 • implementing services, contributing to initiatives, or making new job-related
701 contributions that demonstrate Libraries' and university values

702 A rating of Unsatisfactory is assigned when the faculty member does not meet the
703 requirements for a Satisfactory rating or fails to document their individual contributions.

704 **3.4.1.2 Scholarly Achievements and Professional Qualifications Criteria**

705 To earn a rating of Satisfactory in the area of Scholarly Achievement and Professional
706 Qualifications, the faculty member must satisfy one of the following:

- 707 • complete at least one scholarly product from Category C AND complete at least three
708 professional development activities from Category E
- 709 • OR provide evidence of engaging in work on a scholarly product from Category A or B
710 (e.g., conducting background research, collecting data for a study, drafting an article)
711 AND complete a minimum of five professional development activities from Category E
- 712 • OR complete a minimum of ten professional development activities from Category E.

713 To earn a rating of Excellent in the area of Scholarly Achievement and Professional
714 Qualifications, the faculty member must satisfy one of the following:

- 715 • complete a minimum of one scholarly product from Category A
- 716 • OR complete a minimum of one scholarly product from Category B AND complete a
717 minimum of five professional development activities from Category E
- 718 • OR complete a minimum of two scholarly products from Category C AND complete a
719 minimum of five professional development activities from Category E
- 720 • OR complete a minimum of one professional development activity from Category D.

721 A rating of Unsatisfactory is assigned when the faculty member does not meet all the
722 requirements for a Satisfactory rating or fails to document their individual contributions.

723 **3.4.1.3 Professional Service Criteria**

724 To earn a rating of Satisfactory in the area of Professional Service, the faculty member must
725 satisfy one of the following:

- 726 • make documented contributions in at least one service activity from Category F
- 727 • OR make documented contributions in at least two service activities from Category G
- 728 • OR make documented contributions in at least one service activity from Category G AND
729 at least three service activities from Category H
- 730 • OR participate in a year-long new faculty orientation as a new faculty member.

731 To earn a rating of Excellent in the area of Professional Service, the faculty member must
732 satisfy one of the following:

- 733 • make documented contributions in a minimum of two service activities from Category F
- 734 • OR make documented contributions in a minimum of one service activity from Category
735 F AND in two or more service activities from Category G
- 736 • OR make documented contributions in five or more service activities from Category G.

737 A rating of Unsatisfactory is assigned when the faculty member does not meet all the
738 requirements for a Satisfactory rating or fails to document their individual contributions.

739 **3.4.2 Promotion and Tenure Criteria**

740 These criteria are applied to the entire time period under consideration, not a single year.

741 **3.4.2.1 Job Performance Criteria**

742 To earn a rating of at least Satisfactory in the area of Job Performance, the faculty member must
743 fulfill the core duties of their job description.

744 To earn a rating of Excellent in the area of Job Performance, the faculty member must

- 745 1) fulfill the core duties of their job description
746 2) AND demonstrate additional aspects of job performance such as:
- 747 • taking on new or expanded responsibilities
 - 748 • implementing and/or sustaining new or revised services or workflows
 - 749 • coordinating services or workflows
 - 750 • increasing effectiveness and/or efficiencies of services offered
 - 751 • managing projects
 - 752 • receiving awards or significant recognition from colleagues and/or constituents
753 related to job performance
 - 754 • implementing services, contributing to initiatives, or making new job-related
755 contributions that demonstrate Libraries' and university values

756 A rating of Unsatisfactory is assigned when the faculty member does not meet the
757 requirements for a Satisfactory rating or fails to document their individual contributions.

758 **3.4.2.2 Scholarly Achievement and Professional Qualifications Criteria**

759 To earn a rating of Satisfactory in the area of Scholarly Achievement and Professional
760 Qualifications, the faculty member must

- 761 1) complete a minimum of two scholarly products from Category A
762 2) AND satisfy one of the following:
- 763 • complete a minimum of two scholarly products from Category B
 - 764 • complete a minimum of one scholarly product from Category B AND complete a
765 minimum of three scholarly products from Category C
- 766 3) AND satisfy one of the following:
- 767 • complete a minimum of one professional development activity from Category D
 - 768 • provide evidence of yearly engagement in professional development activities from
769 Category E.

770 To earn a rating of Excellent in the area of Scholarly Achievement and Professional
771 Qualifications, the faculty member must

- 772 1) complete a minimum of two scholarly products from Category A
773 2) AND satisfy two of the following:

- 774 • complete one additional scholarly product from Category A
775 • complete a minimum of five scholarly products from Category B
776 • complete a minimum of three scholarly products from Category B AND complete a
777 minimum of six scholarly products from Category C
778 3) AND satisfy one of the following:
779 • complete a minimum of one professional development activity from Category D
780 • provide evidence of yearly engagement in professional development activities from
781 Category E.

782 A rating of Unsatisfactory is assigned when the faculty member does not meet all the
783 requirements for a Satisfactory rating or fails to document their individual contributions.

784 **3.4.2.3 Professional Service Criteria**

785 To earn a rating of Satisfactory in the area of Professional Service, the faculty member must

- 786 1) make documented contributions in at least one service activity from Category F
787 2) AND satisfy one of the following:
788 • make documented contributions in at least two service activities from Category G
789 • make documented contributions in at least one service activity from Category G
790 AND at least three service activities from Category H.

791 To earn a rating of Excellent in the area of Professional Service, the faculty member must

- 792 1) make documented contributions in a minimum of two service activities from Category F
793 2) AND satisfy one of the following:
794 • make documented contributions in two additional service activities from Category F
795 AND at least two service activities from Category G
796 • make documented contributions in a minimum of six service activities from
797 Category G
798 • make documented contributions to four service activities from Category G AND at
799 least four service activities from Category H.

800 **3.5 Criteria for Salary Adjustments Due to Merit**

801 Decisions on salary adjustments during years when merit funding is available will be based on
802 each faculty member's performance. The overall rating from the most recent annual evaluation
803 is used in determining eligibility for the annual salary adjustment. The overall rating on the
804 initial evaluation is used for faculty who have not yet completed an annual evaluation.

805 In order to be eligible for any annual salary adjustment increase due to merit, a faculty member
806 must have received an overall rating of Acceptable on the evaluation under consideration, as
807 described above.

808 The available funds for merit increases are allocated evenly among all eligible faculty members,
809 so that each eligible faculty member receives the same dollar amount.

810

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