

University of Kentucky Libraries
Faculty Rules, Procedures and Committee/Council Structure

Revised May 19, 2021

I. Introduction

The University of Kentucky places a strong emphasis on shared governance as a mechanism to “enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority.” (GR I E)

These rules and Procedures are intended to enable all Library faculty to become active participants in shared governance to the fullest extent provided for by the Governing Regulations. This document codifies the expectation of the faculty that the Dean will seek, on an ongoing basis, significant, meaningful, and timely faculty input into administrative decision making, including input into decisions regarding the human and financial resource allocations required to accomplish the educational mission of the University Libraries. (GR VII F.2.c) These rules also outline expectations of Library faculty. Each member of the faculty is expected to participate regularly and responsibly in the processes through which institutional policy is formulated and implemented. In addition each member is expected to share in the demands on time and energy that result from the routine operation of the Libraries. At a minimum a faculty member should regularly attend faculty meetings, perform committee assignments responsibly, and attend Library functions appropriate for faculty.

II. Educational Policy

The Libraries comply with university regulations that require a college faculty to determine the educational policies of that college and provide advice to the Dean regarding administrative decisions. These rules also define how the Libraries comply with GR VII E.3.b that require a college to establish a council or committee structure through which the faculty will carry out these responsibilities.

III. Administrative Officer(s)

a. The Dean

The Dean is the chief administrative officer of a college and is responsible for the enforcement of the Governing Regulations, the Administrative Regulations, University Senate Rules, and rules of the college faculty. The Dean is authorized to establish and enforce such policies and procedures as are attendant to the administrative management of the operations of the college.

In the case in which a college has no departments, which is the case for the Libraries, the Dean also fulfills the role and responsibilities of the department chair. The

responsibilities of the Dean are delineated in GR VII F.2.c; those of the department chair in GR VII F.2.e. The Dean of Libraries has the rights and responsibilities outlined in both sections.

Further, while the Libraries does not have departments, it does have administrative divisions. Since these are not equivalent to departments and therefore these divisions and their administrative heads do not undergo the standard five year review, it is important to build in a mechanism for input regarding the evaluation of administrative heads (members of the Libraries Executive Committee). Therefore, our procedures require the Dean to seek anonymous input from all faculty and staff in the evaluation of the administrative heads during the regular faculty review cycle.

According to GR VII F.2.c, in connection with these administrative functions, the Dean shall seek the advice of the college faculty. Faculty input in important matters should be sought, such as major budget decisions, hiring prioritization, etc.

The Dean may seek faculty input individually or as a whole, or through the elected college Faculty Council or faculty advisory committees. Staff employees shall be consulted, when appropriate, in the development of administrative policies and decisions that directly affect staff employees. In the event the Dean believes it necessary to depart from the recommendations of the college faculty, the Dean shall communicate the college faculty's recommendation as well as the Dean's recommendation, stating the reasons for differing from the faculty and notify the college faculty of such action.

IV. Faculty

a. Membership

GR VII E.3.a specifies that membership of the library faculty shall consist of the Dean, Associate Deans, and regular full-time librarians I–III. This GR grants authority to extend membership beyond this specified group. Membership with voting privileges is thus extended to all full-time tenure track librarians in librarian IV rank. Faculty members on phased retirement continue to participate in faculty affairs as appropriate.

b. Role in determining educational policy and accomplishing its objectives

All faculty are expected to take an active role in determining educational policy. This includes developing the strategic plan, attending faculty meetings, serving on committees, and standing for elected positions (such as representative to the University Senate, Faculty Council officer, or promotion/tenure committee member). Furthermore, in that unit faculties are responsible for performing those educational activities that will accomplish the educational policy objectives of the unit, the Libraries' faculty play an indispensable role in the recruitment and selection of new faculty. Therefore, all full-time faculty are expected to participate in the recruitment process, including the expectation that they meet with recruitment candidates.

c. University Senate Representative(s)

The Libraries' University Senate representative shall be elected according to the timetable and terms set by the University Senate.

Librarians with the rank of Librarian I – IV, with the exception of library faculty who hold administrative appointment as Dean, Associate Dean, or Assistant Dean, are eligible to serve on the University Senate and vote in the election of senator(s).

The Faculty Secretary will conduct a written or electronic election by secret ballot in May. Terms will begin July 1. Faculty members may self-nominate or be nominated by another librarian. If nominated by others, individuals need to confirm their willingness to serve. The ballot will include all willing nominees. If there are more than three candidates in an election, a preliminary vote will be held to select the top three candidates who will then run in a second round of voting. The person with the highest number of votes from the ballots returned shall be declared the winner. In the event of a tie the outcome of the election will be determined by the toss of a coin (if the tie is between two candidates) or the drawing of lots (if more than two candidates).

d. Executive Committee

The Executive Committee, appointed by the Dean, advises on administrative matters and provides strategic leadership and policy oversight for the global wellbeing of the organization.

e. Library Faculty Council

A faculty council or faculty committee structure is necessary for the performance of the faculty's functions in educational policy-making. (GR VII E.3.b)

Mission

The mission of the Faculty Council is to provide leadership and an avenue for communication for shared faculty governance. Faculty Council members are advocates of the rights and responsibilities of the faculty.

i. Council Composition (may include tenured and untenured members)

1. Chair
2. Vice chair/chair elect
3. Secretary
4. Past chair
5. Elected University Senate representative(s). Note: Number of library representatives is determined by the Senate and can change. All elected library representatives will serve on Faculty Council. Elected University Senate representative(s) serve a 3-year term and may, if reelected, serve a second consecutive term. According to Senate Rules (SR 1.2.2.1.3), faculty members who have served two consecutive Senate terms must

remain out of Senate for a year and are ineligible to run in a Senate election.

6. Three at-large members
7. Dean of Libraries (Ex officio, non-voting)

ii. Election to the Faculty Council

Any full-time librarian I-IV is eligible to serve as an elected member of the Council unless they are a member of the Executive Committee during the term in which they serve. To be elected vice-chair/chair elect, the librarian must be tenured. The Faculty Secretary will conduct a written election in May. Terms will begin July 1. A nomination committee composed of the past chair, the secretary and another member of the Council will prepare the slate of candidates. Faculty members may self-nominate or be nominated by another librarian. The ballot will include all nominees. Nominees will run for a specific office. If there are more than three candidates for an office, a preliminary vote will be held to select the top three candidates who will then run in a second round of voting, unless one candidate receives more than 50% of the vote in the first round. The winner for each office will be the person with the highest number of votes from the ballots returned. In the event of a tie the outcome of the election will be determined by the toss of a coin (if the tie is between two candidates) or the drawing of lots (if more than two candidates).

If an elected Faculty Council office becomes vacant during the course of a term and the Council determines a replacement is appropriate, a new member will be chosen by special election to complete the term.

iii. Terms of Office

The Vice-Chair/Chair Elect shall be elected by the faculty to serve a three year term; one year as vice chair/chair-elect, followed by one year as chair, followed by one year as past chair. The Secretary and At-large members shall be elected for two-year terms. Terms of the At-large members shall be staggered. No elected Council member, other than the elected University Senate representative, shall serve more than five (5) consecutive years. The elected University Senate representative may serve on Council for two (2) consecutive terms (in part or whole). If this is more than 5 consecutive years, then when they rotate off the Faculty Council, they must wait for one year before being nominated again for a Faculty Council office.

The Secretary serves as secretary for both the Council and all faculty meetings.

iv. Responsibilities of the Faculty Council

1. Soliciting and organizing all faculty input on educational policy, the strategic direction, and resource allocation of the libraries. The Faculty

Council is expected to consult with the faculty, gather input and then advise the Dean in a timely manner so that the input can be considered. In addition, the Faculty Council may provide input on any other matters it chooses.

2. Setting agenda for faculty meetings.
3. Appointing the standing committees of the faculty except in cases where election is required.
4. Establishing ad hoc faculty work groups as needed.
5. Gathering faculty input on the faculty performance review, and salary and merit processes. (GR VII E.3.c)
6. The Faculty Council serves in an advisory capacity to the Dean on any appeal brought forth by a faculty member. If the issue is not resolved at the Dean's level, the faculty member may appeal to the Provost's Office; the appeal is handled per the Senate Rules.

f. Meetings of the Faculty

i. Types of Meetings

1. The library faculty shall hold regularly scheduled meetings at which the Dean shall preside except as the Dean may delegate that function. The schedule shall be determined and distributed at the beginning of each semester.
2. The Dean may call special meetings of the faculty as deemed necessary.
3. Additional meetings may be called by the President and/or the Provost.
4. The Faculty Council may initiate a special meeting by submitting to the Dean a written request which has been signed by at least 10% (rounded up to the next whole number) of the voting members of the faculty stating the purpose of the meeting. The Dean shall call a special meeting of the faculty within two weeks of the receipt of the written request.
5. The Faculty Council will appoint a parliamentarian to serve at faculty meetings.

ii. Notice of Meetings

1. Written notice of at least five working days shall be given to all members for all regularly scheduled or special meetings of the faculty. Emergency meetings (special meetings of a time sensitive nature) are exceptions and do not require five days' notice.

iii. Agenda for Meetings

1. The Faculty Council shall prepare, post, and distribute to all members of the library faculty the agenda and supplemental materials (as needed

to support substantive discussion and action items) for meetings of the faculty at least five working days in advance of the meeting except in emergencies or special circumstances. Members of the faculty may recommend to the Faculty Council items for inclusion in the agenda at least ten days in advance of the regularly scheduled meeting for which the item is intended. The agenda submission should include a brief statement of the issue, the specific motion or action suggested, and its consequences or implications.

2. The faculty may, by simple majority of those present and voting, amend or modify the agenda, including the deletion or addition of items.

iv. Voting and Quorum for Meetings

1. All full-time librarians, ranks I–IV, have voting privileges. Exempt employees who are not in Librarian positions may attend faculty meetings as non-voting attendees but may be extended voting privileges for that meeting at the discretion of the faculty. A quorum for a meeting shall consist of a simple majority of the library faculty membership. A quorum of the members is required for official library faculty action. The Secretary is responsible for keeping a written record of the attendance of each meeting for the purpose of determining a quorum.
2. A measure passes by simple majority of the votes.
3. A vote may also be taken by written or electronic ballot at a time following the adjournment of a meeting.

v. Conduct of Business

1. The Agenda for regularly scheduled meetings of the faculty shall include the following components as appropriate:
 - a. Correction and approval of the minutes of the preceding meeting
 - b. Changes to the agenda
 - c. Old business
 - d. New business
 - e. Reports:
 - i. Dean
 - ii. Faculty Council
 - iii. Committees
 - iv. Other
 - f. Announcements
2. The Agenda for special or emergency meetings called by the President, Provost, Dean, or the Libraries Faculty shall pertain only to the issue(s) for which the meeting was called.

vi. Minutes

The Faculty Council Secretary shall record and distribute the minutes of each regularly scheduled or special faculty meetings.

Minutes from the faculty meeting shall be distributed within one week of the meeting to all library faculty.

g. **Sabbatical Leave** is covered in GR X B.2.d(1)

h. **Committees of the Faculty**

i. Promotion and Tenure (AR 2: 1–1)

The promotion, tenure and contract renewal process for librarians is detailed in Promotion and Tenure, Contract Renewal: a Guide for University of Kentucky. Issues related to the promotion and tenure process, including contract renewal are managed by the Promotion and Tenure Committee of the library faculty.

Charge and composition:

1. The Promotion and Tenure Committee (P/T Committee) is responsible for the following:
 - a. Providing recommendations to the Dean for all cases of promotion, tenure and contract renewal.
 - b. Maintaining procedural documentation on the promotion and tenure process.
 - c. Facilitating an annual informational meeting.
 - d. Conducting meetings of the tenured faculty to discuss the candidates' cases for promotion, tenure and contract renewal.
 - e. Interviewing faculty candidates to determine potential for success in the promotion and tenure process and advise the Dean in writing.
 - f. All members of the P/T Committee evaluate the dossiers and discuss the candidacy of all candidates, except where there is a supervisory relationship with the candidate.
 - g. All members of the P/T Committee vote on all cases of promotion and tenure and contract renewal, except where there is a supervisory relationship with the candidate.
 - h. Other duties as assigned by the Dean.
2. The P/T Committee is comprised of five tenured faculty members: three members will hold Librarian I rank, and two members will hold Librarian II rank. All members will hold positions in three-year staggered terms.

- a. When a librarian completes a term, a librarian of the same rank will be elected to the committee to maintain the committee composition by rank.

3. Election of the P/T Committee members:

- a. P/T committee positions will be elected by all Library faculty.
- b. The Chair of the P/T Committee will inform the Faculty Council of the number of open Librarian I and Librarian II positions needing to be filled for the next year no later than April 1.
- c. The Faculty Council will send out an e-mail asking for candidates. People may be self-nominated or nominated by others. If nominated by others, individuals need to confirm their willingness to serve. The ballot will include all willing nominees. If there are more than three candidates for a position a preliminary election will be held to select the top three candidates who will then run in a second round of voting. If one candidate receives more than 50% of the vote in the preliminary round then that candidate will be declared the winner. If a second election of the top 3 candidates is needed, then the person with the highest number of votes from the ballots returned shall be declared the winner. In the event of a two-way tie, the outcome of the election will be determined by the Faculty Council by the toss of a coin. In the event of a three way tie the outcome of the election will be determined by the Faculty Council by the drawing of lots. The slate of candidates will be posted and voted on in May. New P/T Committee members begin their term of office July 1.
- d. If an elected P/T Committee member position becomes vacant during the course of a term a new member of the same faculty rank who has been elected to P/T in the past will be appointed by the Dean to complete the current term year. If more than a year remains on a vacant term, then an election will be held in May to fill the remainder of the vacant position's term.
- e. Committee members cannot be elected for consecutive terms. Faculty members become eligible again after an interval of one year since the expiration of their last year of service.
- f. Members of the Committee who choose to go up for promotion during their term of service must resign from the P/T Committee.

4. The Dean will appoint the vice chair in July from among the five elected P/T members, and announce that appointment to the library faculty. The vice chair will become chair for the following year. The chair and vice chair will serve one-year terms in their appointed positions.

5. In cases where a supervisory relationship between a P/T Committee member and a candidate exists, the Committee member is recused from all P/T Committee discussion about the candidate. Additionally, the Committee member does not vote on the candidates' case, nor is an alternate opinion/vote solicited. The Committee member is recused when there is a supervisory relationship in either direction.
6. A meeting is held with eligible faculty during the promotion and tenure and contract renew processes.
 - a. A meeting will be held with the eligible faculty to discuss all cases of promotion and contract renewal. Tenured faculty and Librarian IIIs participate in the discussion for contract renewal for Librarian IVs and the promotion of Librarian IVs to Librarian III. All tenured faculty participate in the discussions for contract renewal for Librarian IIIs and promotion from Librarian III to Librarian II. The discussion about promotion from Librarian II to Librarian I will be held only with the Librarian Is in the tenured faculty; Librarian IIIs on the P/T Committee will remain during the discussion.
7. Notification of contract renewal or promotion:
 - a. For contract renewal, the Dean will send a letter of the decision to the candidate with copies sent to the candidate's supervisor and to the Chair of the P/T Committee by March 1.
 - b. For promotion, the Dean will send a letter of the Board of Trustees' decision to the candidate with copies sent to the candidate's supervisor and to the Chair of the P/T Committee.

ii. Mentoring Charge and composition:

The Faculty Mentoring Committee is appointed by the Faculty Council and charged with implementation and support of programs for individual and group mentoring of library faculty members. The Committee is composed of three members. A representative of the Faculty Council will serve as liaison to the Faculty Mentoring Committee.

iii. The Faculty Council may establish ad hoc committees or working groups.

N.B. The establishment of faculty committees does not preclude the establishment of administrative committees by the Dean.

V. Appointment, Promotion, and Tenure in the Librarian Series

a. **Ranks**

Librarians at the University of Kentucky hold academic appointments in ranks

designated as Librarian IV, Librarian III, Librarian II, and Librarian I, equivalent to the academic titles of Instructor, Assistant Professor, Associate Professor, and Professor, respectively.

b. Requirements

Requirements for appointment, promotion and tenure in the Librarian Series are set out in the University of Kentucky Administrative Regulations (AR 2:7).

c. Evidences

The department faculty (i.e. college faculty, in the case of the Libraries) shall develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. GR VII E.5.c

For the statement of evidences see *Appendix A: University of Kentucky Libraries Evidences for Promotion and Tenure*.

d. Additional regulations

Additional regulations for appointment, promotion, and tenure are included under the heading “Chairs of Departments” in the University Governing Regulations, GR VII F.2.e; “College Faculty Functions,” VII E.3.c; “Department Faculty Functions,” VII E.5.c.

e. Location of Files

Library Faculty Standard Personnel Files are located in the Office of the Dean of Libraries.

VI. Performance Review

Administrative regulations for faculty performance review are stated in University Administrative Regulations, AR 3.10 (Policies for Faculty Performance Review). The role of the Dean and the faculty in this process is addressed in University Governing Regulation GR VII.

VII. Changes and Amendments to the Faculty Procedures

Changes and amendments to Faculty Procedures are made by faculty vote after the item is put on the Agenda of a regular or special meeting of the Libraries Faculty.

University of Kentucky Libraries
Faculty Procedures

Appendix A
Evidences for Promotion and Tenure

General Criteria for Promotion and Tenure:

The criteria for promotion and tenure in the Librarian Title Series is established by the University in AR 2:7:IV:B, “The individual shall have achieved recognition in a mode appropriate to the individual’s specialty in an assigned field.” Records of excellence across all areas of activity assigned to a faculty employee are expected.

In the University of Kentucky Libraries, excellence in the areas of primary assignment, professional development, service, and research and scholarship are expected throughout the academic career.

Introduction to Evidences for Promotion and Tenure:

Evidences serve to demonstrate and document the accomplishments and growth of librarians in the areas of primary assignment, professional development, service, and research and scholarship.

Evidences build on previous levels as one is promoted. The expectation is that librarians will gain a deeper knowledge, build on previous accomplishments, and increase their levels of expertise and involvement.

These evidences are not intended to be comprehensive or a checklist.

The statements of evidence will apply to faculty whose initial academic appointment begins on or after July 1, 2017.

Promotion to Librarian II with Tenure

The successful candidate for promotion to Librarian II with Tenure will provide evidences of the following:

- Excellence in performing primary assignment
- Continued development from the time of hire through the tenure review
- Increasing level of accomplishments and commitment to librarianship, scholarship/creative activity, service, and professional development
- Growing professional recognition (typically at the local, state, and regional level)

Promotion to Librarian I

The successful candidate for promotion to Librarian I will provide evidences of the following:

- Excellence in performing primary assignment
- Continued development from promotion to Librarian II with Tenure, which exhibits a level of mastery and proficiency in the field
- Sustained, outstanding accomplishments and commitment to librarianship, scholarship/creative activity, service, and professional development

- Established professional reputation and leadership in the profession (typically at the national or international level)

For both promotion to Librarian II with Tenure and Librarian I, the quality of work should be sufficient to merit significant contributions to the profession and actively demonstrate impact within the area of specialization.

Evidences may include but are not limited to the following examples:

I. Primary Assignment

The candidate should demonstrate continuous growth and development in the primary assignment. Evidences for promotion and tenure in the area of primary assignment may include, but are not limited to the following:

Job Knowledge

- Understands systems, programs, policies, and constituencies related to the primary assignment; performs work with skill and dedication
- Demonstrates increasing effectiveness and a sustained high level of job performance
- Exhibits knowledge of relevant subject area(s) or field(s)
- Demonstrates familiarity with information organization and retrieval techniques
- Experiments with new ideas and techniques
- Develops new or substantially revised instructional or procedural resources
- Achieves recognition related to the primary assignment (external to the library)

Knowledge of Organization and Services

- Demonstrates understanding of the operations and services of the library divisions and their interrelationships, by an ability to interpret, integrate and promote these operations and services
- Shows awareness of community and University issues and concerns as they affect the library and University
- Understands and anticipates user needs and devises system-wide solutions to user problems
- Translates knowledge of the University curriculum and policies into effective library services

Communication and Organizational Skills

- Communicates and collaborates effectively and collegially with individuals, groups, or in instructional settings
- Exercises independent judgment effectively as appropriate
- Creates and shares unpublished institutional documents related to the primary assignment such as white papers, library or university reports, instructional materials, bibliographies, blogs

Leadership Skills

- Manages competently the library resources under one's supervision
- Demonstrates flexibility in meeting and dealing with daily problems within the framework of established library policies and procedures

- Makes strong system-wide contributions related to the primary job assignment, including productive service on committees or work groups
- Cooperates with other libraries and institutions to facilitate research and to develop regional and national library services
- Takes a leadership role in various areas related to the primary assignment

II. Research, Scholarship, or Creative Activity

Appointment as a librarian does not imply a specific major responsibility to engage in research and publication (AR 2:7.VIII.A). Those who choose to participate in research, scholarship or creative activities should make significant contributions to their field or to the library profession.

Evidences of appropriate research, scholarship, or creative activity for library faculty may include, but are not limited to:

- **Scholarly publications:** May appear in external trade/professional/peer-reviewed publications in various formats; may include scholarly reviews of books, journal articles, websites, exhibitions, best practices, or innovations. Unpublished institutional documents related to the primary assignment such as white papers, library or university reports, instructional materials, bibliographies, blogs, etc. would, in general, be included in Section I. Primary Assignment
- **Presentations:** May be made in various formats in the area of expertise and may include invitations to present at conferences or teach professional workshops
- **Exhibitions:** May be presented in various formats and may also be sponsored by a non-library organization
- **Awards:** May include fellowships, research awards or other recognition in either librarianship or the primary subject area of the candidate
- **Grants:** May obtain grants from internal or external sources
- **Inventions or patents:** May include those related to the professional field

III. Service

Contributions of service will advance the library, university, profession or the community and should build upon previous levels of involvement and leadership, showing sustained commitment. They may include but are not limited to:

- **Committees** (participation, contribution, leadership)
May include library or university committees, councils, task forces, working groups, senates, etc. or related to college or academic departmental programs and endeavors. May be local, state, regional, national or international professional associations related to librarianship or a relevant academic discipline.
- **Communication**
Moderates a listserv, designs a web page, edits a publication, column or newsletter in any of the above designated areas of service contributions as relates to area of expertise.
- **Education/Outreach**
Develops educational or in-service programs, exhibits or interdisciplinary activities on campus or within the community or profession.
- **Mentorship**
May be within the library or the profession.

- **Consulting/Advising**

May include work for other university departments or units, agencies, institutions, and organizations not related to the university, as long as it involves the librarian's area of professional expertise.

IV. Professional Development

This area includes activities that provide opportunities for professional growth and development, with the primary benefit going to the individual and then to the University.

The candidate should demonstrate continuous growth and development in professional skills and knowledge. These evidences apply across all ranks. Evidences may include, but are not limited to:

- **Continuing Education:** Gains expertise by taking additional course-work; participates in professional development seminars or workshops including webinars and other online educational opportunities; may attend workshops and/or conferences at the local, state, regional and/or national/international level; attends in-service faculty education programs; keeps abreast of the field through professional reading or discussion groups
- **Professional Organizations:** Joins appropriate state, regional and national professional organizations
- **Mentoring:** Participates in a mentoring program