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A TYPOLOGY AND DISCOURSE ANALYSIS OF THE STATUS AND APPOINTMENTS
OF LIBRARIANS AT LAND GRANT UNIVERSITIES

By

Mary K. Bolin

A Dissertation

Presented to the Faculty of

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Under the Supervision of Professor Brent D. Cejda

Lincoln, Nebraska

August 2007

A TYPOLOGY AND DISCOURSE ANALYSIS OF THE STATUS AND APPOINTMENTS
OF LIBRARIANS AT LAND GRANT UNIVERSITIES

Mary K. Bolin

University of Nebraska, 2007

Adviser: Brent D. Cejda

This study examined the status of librarians at land grant universities in each state (n=50). University websites were the source of data on librarians' employee group (faculty/staff), administrator title, rank system, tenure eligibility, and faculty senate representation. The data were analyzed to find frequencies and cross tabulations. The findings indicate four status types in the population: Professorial (n=21); Other ranks with tenure (n=14); Other ranks without tenure (n=5); Academic or professional staff (n=10). Eighty percent of the institutions in the population have librarians who are faculty (n=40), and 85% of those (n=34) are on tenure-track.

The second part of the study analyzed the discourse of appointment documents, which contain criteria for appointment, promotion, and tenure of librarians. The documents were analyzed using the concepts Field (ideational content, what the text is about), Tenor (the participants and their relationships), and Mode (cohesion, patterning, and organization of texts) (Halliday 1978, 1985a, 1985b). The results of that analysis were used to determine the documents' genre (text type) (Swales 1990, 2004) and register (language variety, whose variables are Field, Tenor, and Mode) (Halliday 1978).

The findings indicate that the texts are an identifiable genre, "university appointment document." Register characteristics include frequent expressions of obligation and certainty, passive constructions, few pronouns, and the "overwording" that is common in official discourse. The vocabulary is a mixture of the language of librarianship, higher education, and human resources (HR).

Recommendations include further research to extend the typology to other populations; exploration of models of academic staff status; examining what status is actually best for librarians in fulfilling the university mission; further discourse analysis to discover how the appointment documents reflect status types; and analysis of particular register characteristics. Recommendations for librarians include strengthening the status they have achieved by creating an environment that is conducive to research and reducing the emphasis on "job performance."

Keywords: academic librarians; university libraries; faculty status, land grant universities;
Systemic-Functional Linguistics (SFL); genre; register (linguistics)

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While I was still at Idaho, I began to take courses toward a PhD in Education. The first course I took was Foundations of Workforce and Human Resource Education. The course was an exhilarating experience that was the beginning of the process of integrating the study of librarianship, linguistics, and higher education. I was fortunate once again to learn from an outstanding scholar and teacher, Jim Gregson. That initial HRD course, and subsequent discussions with Jim, have had a lasting influence and have informed the approach taken in this dissertation.

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Chapter 1: Introduction

American libraries, librarians, and universities have a shared history. The field of library science and the profession of librarianship emerged in the United States in the late 19th century, in the years following the Civil War. The creation of the profession and its practices were part of the environment that produced the research university and the PhD, and were, in part, a response to the information explosion that resulted from a new model of higher education and scholarship. Academic libraries have a long association with the university's academic program, and with both teaching and research. Librarians as a profession are part of the specialization that occurred as new fields and disciplines emerged, as students began to study in specialized programs and take elective courses, as scholarly communication flourished, and as scholars needed a body of literature for teaching and research. Shiflett (1981) traces this history and describes the relationship of the emerging library profession and the emerging American university.

Problem Statement

Libraries have two primary groups of employees, professional librarians and clerical or paraprofessional staff. Librarians at colleges and universities have sought a role and recognition that is based on their expertise and qualifications and their participation in the teaching and research mission of the institution. In today's academic libraries, the librarians frequently have faculty status, and the nature of that status is the subject of this dissertation. The nature and desirability of faculty status is still a question for debate in some circles, and some academic librarians feel ambivalent about being faculty. The reasons for this ambivalence include the idea that librarianship is a profession that needs no validation from the outside; the belief that the work of librarians is not the same and not even similar to that of teaching faculty; and the notion

that faculty obligations such as research and publication are unreasonable and onerous for librarians. Academic librarians have always had a close relationship with teaching faculty and their programs of research and instruction, and there have been discussions of librarian role and status throughout the profession's history, for example, Lundy (1951), Thompson (1952), McAnally (1957), and Downs (1958). Discussions such as those, and others from the early and mid-1960s, including Forgotson (1961), Harvey (1961), Weber (1966), Blake (1968), and Downs (1968), explore the issues of librarians' education, responsibilities, and professional identities. This discussion came to a head in the late 1960s, when significant social changes and their effect on higher education gave academic librarians the impetus to push harder for more recognition and respect (Segal 2000). Galloway (1979) looks at progress ten years after "the rebellion that broke out at the Atlantic City [American Library Association (ALA)] conference in 1969," which "fundamentally changed the American Library Association and academic librarianship as well" (p. 349). The rebellion included the demand for faculty status for librarians, and ALA and its academic division, the Association of College and Research Libraries (ACRL) gave their support at that conference, resulting in the publication of the "Joint Statement" (ALA 2006c) (with the American Association of University Professors [AAUP] and the Association of American Colleges [AAC]) on faculty status that first appeared in 1971. Galloway estimates that "75 percent of ... academic libraries had faculty status in 1976 compared with 51 percent in 1966," but he remarks on "the difficulties of making comparisons of this type" due to "the subtleties of the definitions and descriptions of faculty status" (p. 349). He also notes that from 1969 to 1979, academic librarians became better educated and more qualified, and that the increase in research and publication activity caused the number of professional journals in the

field to mushroom. In the early 1970s, ACRL issued a series of statements and guidelines, aimed at standardizing and codifying what was meant by faculty status (ACRL 1973, 1974, 1975a, 1975b). These documents include model appointment, promotion, and tenure criteria.

More than thirty years later, the question of faculty status can still be controversial, ambiguous, and fraught with emotion. The controversy is over the qualifications, characteristics, and responsibilities of faculty, and whether librarians share them. In the time since the “rebellion” and the issuing of the “Joint Statement,” the literature of librarianship has contained dozens of books and articles on this topic. One argument against faculty status asserts that librarians are not prepared to take on the scholarly responsibilities that are part of a faculty role, both because they are not prepared by their education, and because their other responsibilities are too demanding to allow it. Authors taking this position include Dougherty (1975), Axford (1977), Applegate (1993), White (1996), and Cronin (2001), among many others. The counterargument includes evidence of librarians’ eagerness to embrace scholarly responsibilities (Galloway 1977, Josey 1977), the assertion that academic librarians have no choice but to be part of scholarly culture and activity (Toy 1977, Oboler 1977), and, more recently, the idea that librarians, like faculty in other fields, can make the best scholarly contribution by being true to the particular values, practices, and expertise of their field (Hill 1994, 2005). In the current higher education environment, all faculty roles are changing, making it even more difficult and interesting to define and describe those roles. Libraries and librarianship are changing along with other fields. Those changes include the continuing examination of the roles of teaching and research, models of research such as those discussed by Boyer (1990), and the role of technology, both in facilitating instruction at a distance and as a tool for traditional instruction.

Although faculty status for academic librarians is longstanding and widespread, its implementation is not uniform. The nine conditions that constitute faculty status in the ACRL standards are:

1. Librarians are assigned professional responsibilities.
2. Librarians have a governance structure similar to other faculties on campus.
3. Librarians are eligible for membership in the faculty governing body.
4. Librarians have salary scales that are equivalent to those for other academic faculty.
5. Librarians are covered by the same tenure policies as other faculty.
6. Librarians are promoted through the ranks via a peer review system.
7. Librarians are eligible for leaves of absence or sabbaticals.
8. Librarians have access to funding for research projects.
9. Librarians have the same protections of academic freedom as other faculty.

While appointment, assignment, and workload for teaching faculty at similar kinds of institutions fall into fairly predictable and uniform patterns, the environment for librarians is not so uniform. A candidate for a faculty vacancy in an academic library cannot assume that “faculty” implies rank, tenure, participation in governance, a publication requirement, and so on. It might have any, all, or none of these things and still be a “faculty” position. Conversely, it might have all of them in some form, and be a staff position. Data on what models exist and how they are distributed might clarify the arguments for and against faculty status.

Purpose of the Study

This study has a two-fold purpose. The first is a description and categorization of librarian status at American land grant universities. The second is an examination of the

discourse of that status. This is a mixed methods study that uses social constructivist and pragmatic knowledge claims (Creswell 2003) to explore the status of academic librarians at land grant universities in the United States, using both quantitative and qualitative methods. The quantitative portion is descriptive in nature, using data gathered from the institutional websites of the primary 1862 land grant institution in each state. The land grant institutions created by the Morrill Act of 1862 are shown on a map published by the US Department of Agriculture (2003).

Land grants were chosen as a population for the study because they present both useful similarities and interesting differences. Created by the Morrill Act of 1862 and subsequent others, land grant universities had as their original mission, “to teach agriculture, military tactics, and the mechanic arts as well as classical studies so that members of the working classes could obtain a liberal, practical education” (National Association of State Universities and Land Grant Colleges [NASULGC] 2007). They retain that original mission, and “continue to fulfill their democratic mandate for openness, accessibility, and service to people, and many of these institutions have joined the ranks of the nation's most distinguished public research universities” (NASULGC 2007). Land grant universities share a number of fundamental characteristics, which makes comparison easier, and provides fewer confounding variables: they are state universities (with the exception of Cornell University, the only private land grant) that share the tripartite land grant mission: teaching, research, and service. At the same time, they have geographic and cultural diversity, representing each of the fifty states in the US. Moreover, they vary widely in size, from a relatively small school such as the University of Idaho, with an FTE enrollment of just under 12,000 (University of Idaho, 2007) to a very large institution such as Ohio State University, with a student body of nearly 50,000 (Ohio State University, 2007).

Choosing one institution in each state creates a manageable number and a coherent group of institutions.

University websites are the source of data on the status of librarians. Data gathered includes:

- University employee group (faculty or staff)
- Title of library administrator (dean, director, etc.)
- Rank system (e.g., professorial; parallel: Assistant Librarian, Associate Librarian; Librarian I, II, III; other)
- Tenure eligibility
- Representation on faculty senate

The data is used to create a typology of librarian status at land grant universities (n=50). Those institutions are listed in Appendix B. The creation of the typology is informed by linguistic analysis. Typology is a concept that is also used in linguistics. Scholars such as Comrie (1989), Croft (1990), and Greenberg (2005) have attempted to compare the features (phonological, syntactic, and semantic) of the world's languages, define universal types, and assess their frequency and the ways that types cluster or are correlated. The approach to typology used in this project is similar. The creation of the typology is also informed by the approach to categorization used by prototype semantics. The question of whether a university employee is faculty or staff, and what it means to be in one of those categories, can be viewed through the lens of semantic prototypes and approaches to categorization, which have been discussed by Rosch (1973, 1977) and Lakoff (1986), among others. Lakoff discusses various approaches to categorization and a number of ways that humans cognitively conceive and represent categories.

Work by linguists on categorization includes intercultural studies of color terms, kinship terms, and folk taxonomies of plants and animals. Prototype theory views categories as having central and peripheral members, and, while speakers may not agree on where the boundaries of a category are, there is agreement on where the middle of the category is, or what the best representative of the category is, e.g., that a robin or a sparrow is a better example of the English category “bird” than a penguin or turkey.

The second purpose is a qualitative examination of the discourse of librarian status to discover the values, ideologies, conflicts, ambivalence, and so on, that are encoded there. Universities have written texts that contain criteria for the appointment, promotion, and tenure of faculty members. Those are referred to in this dissertation as “appointment documents.”

Appointment documents from institutions that represent the status typology have been analyzed using an approach to discourse analysis that is described below. For example, librarians at the University of Tennessee are faculty members with professorial ranks and tenure. The document, “Promotion and Tenure Criteria: Guidelines for Library Faculty,” found at:

<http://www.lib.utk.edu/lss/lpp/criteria.html>, describes criteria for appointment at each rank, e.g.,

- C. ASSISTANT PROFESSORS are expected:
1. To hold at least the master’s degree from an ALA accredited program or present equivalent training and experience appropriate to the particular appointment.
 2. To show promise as librarians.
 3. To show promise of developing a program in disciplinary research/scholarship/creative activity that will gain external recognition.
 4. To have a commitment to developing a record of institutional, disciplinary, and/or professional service.
 5. In accomplishing the above, to show evidence that they work well with colleagues and students, in performing their University responsibilities.

The discourse of appointment documents for librarians at land grant universities has been analyzed using a genre and register analysis that incorporates Halliday’s (1978, 1985a, 1985b)

concepts Field, Tenor, and Mode, referred to hereafter as “FTM/G-R” (“Field-Tenor-Mode/Genre-Register”). The FTM/G-R instrument is found in Appendix E. It was adapted from Měchura (2005). The analysis also uses the techniques and approaches of Halliday and Hasan (1976), Lemke (1988b, 1995b), Fairclough (1989, 1995, 2003), Swales (2004) and Bhatia (1993), which are described in Chapters 2 and 3. Texts have recognizable characteristics that vary according to who (what individual, organization, or community) created them and what purpose they are used for. Those characteristics can be identified, described, and analyzed. Techniques for analysis begin with syntactic and lexical analysis, which allow the researcher to discern patterns, find similarities and differences, and draw conclusions about the genre of texts, the linguistic registers (language variety) that are used in that genre, and the ideologies, communities, and social practices that produced the texts. Appointment documents are one means of admitting new members to the community of scholars. They are constructed to communicate the values and expectations of the community to new members. The documents communicate those values through their linguistic features: syntax and lexis (vocabulary). Examples of significant elements of meaning include the use of the strong modal verbs “must” and “will,” which are indications of the power and authority of university administrations and of the faculty in their governance role. Passive voice is common in these texts, which indicates weakened agency (a less prominent role for the doer of an action) and is a characteristic of the impersonal bureaucratic style. Appointment documents from different universities have characteristics such as these in common, which helps define the genre and register. The analysis reveals evidence of “voices,” as described by Lemke (1995b), including the faculty voice, which defends the interests of a particular discipline and the scholarly and collegial role of faculty, and

the administrative voice, which shows interest in the university's more general goals, including legal concerns. Those voices are signaled by the presence of lexical items that have significance for the discourse community. These are just a few examples of analysis techniques and their results.

Conceptual Framework

People use language in every setting as the most important channel of communication and social action. *Discourse* has been defined as “language in use” or “language above the level of the sentence,” i.e., spoken and written texts that are natural (actual speech or writing rather than invented examples) and that cannot be separated from their social context. The analysis of discourse is informed and undertaken by many disciplines, including linguistics, philosophy, sociology, psychology, and anthropology. Discourse analysis deals both with “discourses,” which are “an institutionalized way of thinking, a social boundary defining what can be said about a specific topic” (“Discourse” 2006), and the linguistic analysis of language as a socially-situated phenomenon. Discourse analysis is not a particular technique or approach; rather, it is a way of interpreting social phenomena through the lens of written and spoken language that may be based on any of a number of linguistic, psychological, philosophical, or sociological theories, and employ any of a large number of techniques of analysis from those fields.

Halliday (1978) describes language as a “social semiotic,” a system of signs that encodes meaning in a social context. A text is encoded in, or “realized by” sentences that express ideational meaning (the content of the discourse, what it is “about”), interpersonal meaning (the participants and their relationships), and textual meaning (what makes the discourse cohesive, and how elements of the text relate to each other). Taking this linguistic approach to discourse

analysis can uncover social and cultural meaning.

The conceptual framework for this study begins with sociolinguistics, associated with scholars such as Labov (1973), Hymes (1974), Gumperz and Hymes (1972), Hymes and Gumperz (1986), and Saville-Troike (1989). Sociolinguistics studies language in its social context, empirically, with naturally-occurring texts. The social setting of language includes “speech communities” (Hymes 1974), speakers of the dialects of geographic regions, ethnic groups, or socioeconomic classes, and “discourse communities” (Nystrand 1982), including occupational groups such as physicians or teachers, who use language to express group solidarity and further their professional goals.

Other important concepts and approaches that inform the study are:

- Semiotics, the study of sign systems, including language, that have communicative purposes and are used for making meaning.
- Organizational communication, such as the use of texts in academic settings.
- Ethnography, the description and interpretation of cultures, including the workplace, professions, communities of practice, and so on.
- Ethnomethodology, which investigates the ways in which participants view the social significance of events. Sociolinguistics and discourse analysis may use ethnomethodology in the analysis and interpretation of texts.

Theoretical Lenses for Discourse Analysis

The discourse analysis techniques used in this project begin with the Systemic-Functional Linguistics (SFL) of Halliday (1978, 1985a, 1985b). SFL is a sociolinguistic approach that analyzes language according to its function: the ways in which syntactic and lexical elements

create meaning. SFL uses the concept of “system networks,” which are intersecting linguistic systems (phonological, syntactic, lexical, and semantic) in which speakers have options and choices. Speakers are constrained in their choices by their social identities and by social situations. The options chosen in the system networks create “registers” of a language. Registers are examples of language variation that can be viewed as analogous to dialects. Halliday calls register “a recognizable language variety” (1978, p. 7), identified by the syntactic and lexical options (termed “lexicogrammar,” the combination of syntactic and lexical systems) chosen by speakers. Examples of registers are the language of mathematics, law, or business, the speech of doctor and patient in a medical interview, the language of advertising, and so on. Halliday defines “register variables” that encode different aspects of meaning. “Field” is the register variable that is associated with ideational meaning, i.e., the subject or content of the discourse. “Tenor” encodes interpersonal meaning, the relationships between participants, while “Mode” is associated with textual meaning, the cohesive devices that link the text together. Field determines transitivity patterns (the actor, process, and goal of a clause), tenor determines mood patterns (grammatical mood, truth condition, evaluation), and mode determines the presentation of new (Theme) and given (Rheme) information in the clause, and forms of cohesion (p. 64). The cohesiveness of a text is found at the intersection of syntax and semantics (i.e., of grammatical forms and meaning), and taking a linguistic approach to discourse analysis allows this significant element of meaning to be analyzed.

Figure 1, which is from Halliday and Martin (1993), illustrates the relationships among social contexts, language, register, and genre. Language is “inside” the cultural and situational contexts. The context of a situation is expressed by the language register, which is made up of

three variables: Field, Tenor, and Mode. Genre is the outermost layer, which exists at the level of the cultural context, and represents all the genres that are used by a culture, e.g., the many forms of texts used in academic culture: policies, mission statements, planning documents, etc.

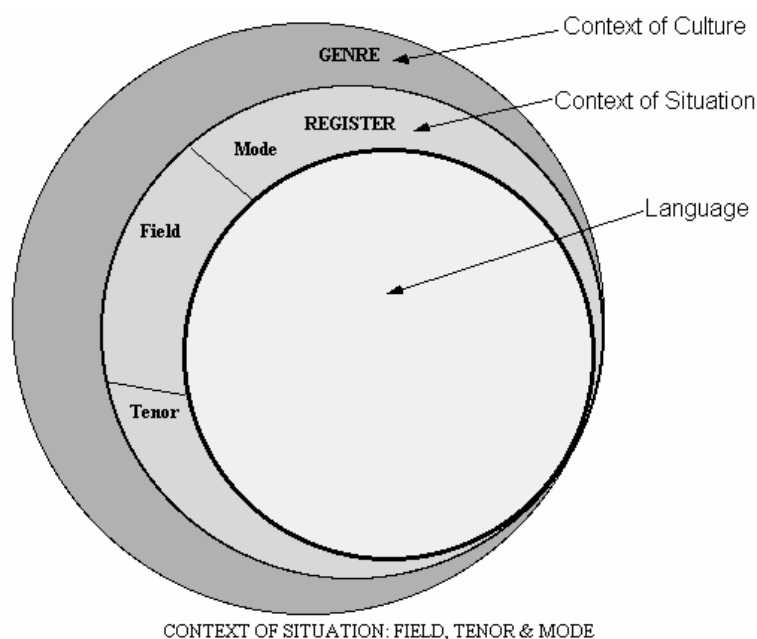


Figure 1. Halliday and Martin (1993)

The other discourse analysis approaches used in this project build on Halliday or are influenced by him. An important framework is Swales's (1990, 2004) genre analysis, which analyzes and classifies texts according to their communicative purpose in the communities that use them. Hoey (1983, 1991, 2001) focuses on methods of analyzing written texts. The Critical Discourse Analysis (CDA) of Fairclough (1989, 1995, 2000, 2003), and van Dijk (1985, 1993, 1995) critiques the ideologies and power relationships encoded in text. Lemke's (1985, 1988a, 1988b, 1991, 1992, 1993, 1995a, 1995b, 1998a, 1998b, 1999a, 1999b, 2003) approach to text semantics combines SFL with CDA, looking at the opposing ideologies represented in texts as well as aspects of meaning such as attitude or evaluation. Explorations of the genres used in

organizational communication by Yates (1989), Yates and Orlikowski (1992, 2002), Orlikowski and Yates (1994) are also important to this project.

A discussion of genre and register begins with a “discourse community,” e.g., librarians, academic librarians, or university faculty. (People can and do belong to more than one discourse community, and the communities and their discourse practices overlap and influence each other). Discourse communities use certain genres to communicate, and those genres use particular registers. Members of a discourse community know how to use the genres and registers of their communities.

A genre and register analysis includes discussion of authorship, authority, evaluation (attitude or judgment), patterns of interaction with these texts, intertextuality (relationship of a text with other texts), power relationships, and so on. The discourse analysis reveals characteristics of the genre(s) and register(s) and what the examples have in common, as well as differences among them. The data for this project come from a genre that can be described as “university appointment document,” and use an academic register that combines the language of librarianship, higher education, and human resources (HR, i.e., hiring, promotion, performance evaluation). The analysis of such documents sees them as part of a “communicative event” (Gumperz and Hymes, 1972). Communicative events have rules and expectations that members of a discourse community learn and understand. The communicative event examined for this project is the hiring, promotion, or tenure of academic librarians.

This is a “thick” (Geertz, 1973) description, which attempts to explain an aspect of academic culture from the inside of a discourse community. Pike (1967) contrasted “emic” and “etic” description, terms which he coined by analogy from the linguistic terms “phonemic” and

“phonetic.” “Etic” is a description from the outside, while “emic” is an explanatory description from the inside. A phoneme is a unit of a language’s phonological system that takes account of the environments in which the sound appears, and which is significant and recognizable to native speakers. This dissertation is an emic description that approaches discourse in the same way. At the same time, it is not claimed that the analysis presented here is complete, definitive, or unambiguous. It is emic in the sense that the researcher is a member of the discourse community of academic librarians, with knowledge of, and experience with, the documents analyzed here and the appointment activities that they describe. Reality and truth are complex, messy, ambiguous, and always changing, and multiple examinations of many aspects of culture, using multiple methods, are needed to reveal them.

Research Questions

1. What are the types of status for academic librarians in land grant institutions?
2. What are the characteristics of those types?
3. How do the texts of appointment documents reflect librarian status?
4. What are the Field, Tenor, and Mode characteristics of the texts?
5. What genres are represented?
6. What registers are used?

Definition of Terms

A complete list of definitions is found in Appendix A.

Academic Librarian/Academic Library: An academic librarian is one who is employed by an academic library, which is a library that is part of any higher education institution, e.g., college, university, community college, etc. Academic library/librarian contrasts with other library types,

such as public, school, governmental, etc.

Discourse: Language, either written or spoken, in use in its social context; language above the level of the sentence.

Discourse(s): “An institutionalized way of thinking, a social boundary defining what can be said about a specific topic” (“Discourse” 2006).

Discourse analysis: The interpretation of language in use, by any of a number of different techniques.

Field: Halliday and Hasan (1976) define three “register variables.” Field is the register variable that is associated with ideational or experiential meaning, i.e., the subject or content of a text.

FTM/G-R: “Field Tenor Mode/Genre-Register.” The discourse analysis instrument used in this dissertation. Adapted from Měchura (2005).

Genre: The literature review contains discussion of the many different definitions and metaphors of genre used by different scholars. A working definition is that of Swales (1990, p. 61), “a class of communicative events, the members of which share some communicative purpose.”

Librarian ranks: A rank system for academic librarians in which initial appointment is to the rank “Librarian I” and promotions to “Librarian, II, III, IV,” etc.

Mode: The register variable that is associated with textual meaning, the cohesive devices that link the text together.

Parallel ranks: A rank system for academic librarians that parallels professorial ranks. Initial appointment is to the rank “Assistant Librarian,” with promotions to “Associate Librarian” and “Librarian.”

Professorial ranks: A rank system for academic librarians that uses the same ranks as teaching

faculty. Initial appointment is to the rank of Assistant Professor, with promotions to Associate Professor and Professor.

Register: “a recognizable language variety” (Halliday, 1978, p. 7), used by a discourse community as part of a communicative event or genre.

Tenor: The register variable that encodes interpersonal meaning, the relationships between participants.

Text: “The concrete material object” produced by discourse (Hodge and Kress 1988, p. 6). A text may be of any length, as little as one word.

Significance and Limitations

The idea of faculty status for librarians is mature and accepted but still engenders some controversy and ambivalence. The variation in the implementation of faculty status may be one reason for that. Another may be the meaning attached in the academic discourse community to the concept of “faculty,” and the belief by some that librarians do not belong in that category. At the same time, in the current environment of higher education, all faculty roles are changing and being questioned. This study gives a new perspective on these questions by studying institutions with a common mission, by looking at aspects of faculty status that are not usually mentioned (e.g., titles such as “professor”), and by bringing to light the crucial role played by discourse and the making of meaning in communities in the discussion of the role and status of academic librarians.

There are many different surveys of librarian status in higher education institutions. A recent example is a survey by ACRL that compiled data on academic librarian status (ACRL 2000). ACRL surveyed more than 800 academic libraries at all types of institutions on the nine

conditions for faculty status that are specified in the ACRL standards. Those conditions include participation in governance, eligibility for tenure, and promotion by peers. While the results are separated by Carnegie classification (Carnegie Foundation for the Advancement of Teaching 2007), which is an indication of institution size and mission, there is no separation by public/private or land grant status. There are no recent studies that focus solely on public universities or on land grants, and none that look at specific characteristics such as rank systems and administrator titles and their relationship with other aspects of employee status. Focusing on land grants and looking at semantic characteristics such as administrator titles and rank systems will shed light on the role and identity of academic librarians, and of faculty in general, in a new way.

This project attempts to provide explanatory power by focusing on a homogeneous population and data that has semantic significance. Data on models of status for academic librarians and the organizational patterns that accompany those models is useful, but analytical tools such as discourse analysis can also help make sense of the data on status and organization. Like other professional communities, academia has ways of talking about things that have particular meaning and significance for members of the community. Texts, both written and spoken, reflect many things about the assumptions, values, and practices of the communities that produce those texts. Written texts are evidence of the activity of people in an organization, who have encoded social practice through a document that is used for a very specific purpose and whose words are very important, legally, procedurally, and as a reflection of the values of a university. Discourse reflects the social role of language and discourse analysis can be used to illuminate social systems and practices. This dissertation enhances the definition of

administrative and governance systems for librarians with a second process of analysis that explores the meanings and ideologies of the texts that encode how the institutions define faculty. The story this data tells is about the significance of the mundane. In the workplace, documents encode values and tradition. They are used to perpetuate institutional memory. They may have legal significance. They are open to interpretation, and that is where discourse analysis and other sociolinguistic approaches are valuable. If the organization emerges through communication, as Taylor and Van Every (2000) and others argue, then the documents that organizations create are part of that emergence. Many authors, including Boden (1994) and Goffman (1981), have focused on spoken discourse, and have discussed the social significance of talk in the workplace and elsewhere. Particularly in the workplace, however, written texts are also important. Texts that encode personnel policies and procedures are especially important. They are carefully crafted, they probably represent the work of more than one person, they are frequently cited and referred to in the workplace, and they change over time in response to problems that have arisen. These personnel texts have emotional meaning as well, and their meaning may be emphatically contested by people who have sought promotion and been unsuccessful.

In the academic workplace, words are more significant than ever. The employees of a university have been schooled in critical thinking, careful expression, and fine distinction. Every word of a document can be labored and argued over, honed and polished. The role of the faculty in a university is unique and historically guarded and set apart. Therefore, the documents that encode the role, status, and requirements of faculty are also unique. The faculty themselves may be loath to think of them as mere “personnel” documents. At the same time, there are other players in this drama. University administrators, generally faculty themselves, have similar but

not identical motives and concerns in the hiring and promotion of faculty. There are genuine or perceived differences among the faculty in different colleges and departments. There are differences of opinion on whether some groups should be faculty at all. Students, governing boards, legislatures, governors, and so on, all have their views on what faculty should be and should do. That is the context for the story of the data. It provides the background for looking at the encoding of participants and their relationships, implicit or explicit “authorship,” and lends significance to the order of elements in the text, the choice and repetition of words, and so on. The FTM/G-R analysis takes all of these things into account, and allows for the uncovering of social and cultural meaning.

At the same time, while written texts are significant in academic culture, and while analyzing those texts can open a window into that culture, such analysis is limited. It does not examine or reflect the views of individuals. It is, of necessity, the generalized corporate thought of an organization. The appointment documents that are analyzed here reflect the values, ideals, practices, and goals that are publicly embraced by academic librarians at land grant universities. The analysis does not explore the gaps that certainly exist between reality and what is proclaimed in those official documents. It does not claim knowledge of the views of individual librarians, or of any individual administrator or faculty member. The descriptions of models of librarian status, and the documents that encode one form of the discourse of that status, do not include consideration of every discourse of faculty status or of librarianship, only those that are found in the appointment documents.

The methods used here can be used with other data. The typology of status will be able to be generalized to other populations. If this study were later extended to other public institutions

or private institutions, for example, the same typology could be used, although the results (frequency, cross tabulation) might be different, which would be an interesting finding. The discourse analysis could likewise be generalizable. The characteristics of the genres and registers that are identified and described should be able to be compared to other kinds of documents, from higher education and elsewhere. A possible limitation to the study is the fact that the researcher is a member of the discourse community being examined, and has been associated with a number of different land grant universities as a student and library faculty member. This provides an *emic*, insider's view of the significance of the characteristics of librarian status, and the texts associated with them, at a particular type of institution. It might also create the possibility of giving more credence to the unique character of land grants than is warranted. The researcher likewise has a strong preference for the "classic" model of faculty status for librarians: professorial rank, tenure, administrator who is a dean, representation in governance, and scholarship and publication requirement as part of faculty responsibilities. (This bias is matched by the ACRL Standards). In devising strategies for triangulation of qualitative data and other ways of strengthening validity, there is an awareness of these biases and attempts to overcome them.

Chapter 2: Literature Review

Librarianship has a substantial professional literature, including works on organization, administration, and every aspect of library service. After briefly surveying the history and environment of academic libraries, this literature review focuses on faculty status for librarians. There is also a vast literature on discourse analysis. This review focuses on linguistic approaches to discourse analysis, concentrating on SFL, sociolinguistics, CDA, and text semantics, as well as communication and discourse in the workplace. In a sense, all of the literature on faculty status is a form of discourse analysis, because it implicitly explores what it means to be a faculty member, and how and whether the education, attitudes, practices, and responsibilities of librarians are “the same” as those of traditional teaching faculty.

Librarianship

The Profession

Librarianship thrives on information explosions. The modern profession was born from the explosion that occurred when the American research university was created. The expansion of research after World War II created a similar information explosion that forced librarians to respond and improve, and the growth of sophisticated information technology beginning in the 1960s had a similar effect.

Librarianship is a profession. Professional librarians and non-professional library assistants have different roles and responsibilities in the library. Definitions of a profession include a sociological definition (Johnson, 1996, p. 81):

- Professional association with criteria for membership
- Prolonged training and a certification process to monitor membership

- Legal status
- A code of ethics or standard of behavior
- A high degree of individual autonomy in the practice of work; and
- An extensive body of advanced research and abstract knowledge

Librarians meet most of the criteria under this definition. They do not have legal status, and, although ALA is a strong and active association, non-librarians can join. However, an ALA-accredited master's degree in library science is the criterion for being considered a professional librarian, and librarians are bound by a strong code of ethics, and certainly have a body of research and abstract knowledge and as much autonomy as most doctors, lawyers, or accountants in deciding how to practice.

Johnson also quotes "Richard Hall's five attitudinal characteristics of a professional":

- The use of the professional organization as a major reference; colleagues are the source of ideas and judgments;
- A sense of personal commitments belief in service to the public; an attitude that the profession is indispensable and is beneficial to the public and to the practitioner;
- A belief in self-regulation: only other members of the professional group are capable of judging the professional;
- A sense of calling to the field: the professional feels that he or she must do this and internalizes the profession; and
- A desire for autonomy of practice: the professional should be independent of those outside the profession (Hall 1968, p. 93 quoted in Johnson, 1996, pp. 81-82).

Librarianship is certainly a profession according to these criteria. Librarianship is

collegial, self-regulating, and carries a strong sense of personal commitment.

A number of studies have looked at the characteristics of librarianship as a profession. Winter (1988) looks at the profession from a sociological point of view, including several different ways of describing or defining a profession. Definitions such as those from Johnson and Hall above are based on “trait” theories of professionalism, i.e., that a profession is an occupation that develops or displays certain traits such as having a professional association and a code of ethics. Winter finds that librarianship fits best into the “occupational control” model of professionalism, and, in particular, to the “normative control” model, in which small or local group norms are dominant.

Bennett (1987) uses hermeneutics—the interpretation of texts—to illuminate librarians’ struggle for identity and recognition. He examines influential texts from 20th century librarianship, including authors such as Jesse Shera and Patrick Wilson, and closely considers the use and meaning of terms such as “information” and “science.”

Watson-Boone (1995) is a qualitative study of the work life of librarians at a research university. Using an ethnographic, grounded theory approach, she explored “work centrality”—the role of work in the lives of the non-administrative librarians, and uncovered themes such as the pride in the intrinsic value of work performed, and a feeling of separation from library and university administrators.

Discourse Communities and Speech Communities

Genres are used by discourse communities for some communicative purpose. A discourse community:

- Recruits new members

- Has a broadly agreed on set of public goals
- Has mechanisms of intercommunication among members
- Uses its participatory mechanisms primarily for information and feedback
- Uses and possesses one or more genres in the communicative furtherance of its aims
- Has acquired some specific lexis
- Has a threshold level of members with relevant content and discorsal expertise (Swales, 1990, p. 51)

Examples of discourse communities include hobbyists, professions and occupations, and so on. Librarianship is certainly a discourse community according to this definition, as is academe in general.

Librarianship as a Discourse Community

Librarians form a discourse community by recruiting new members. The membership requirement for librarians in the US is a master's degree in library science. Its mechanisms for intercommunication include ALA, which sponsors professional journals, conferences, workshops and other educational opportunities, and accredits library science programs. The genres used for this communication include research articles, numerous written standards such as cataloging codes, and formative professional statements on ethics, censorship, and so on. The lexis of librarianship includes numerous acronyms and jargon specific to various functional areas. The genres used by librarians are realized by a "library register" that includes jargon, terms of art, and particular ways of expressing concepts. Professional librarians in the United States have many different specialties and areas of expertise, and, in many cases, could not easily exchange jobs with each other, but they have in common a set of professional beliefs and values that are

communicated to newly-recruited members of the discourse community.

Discourses of Librarianship

Ideology is a set of beliefs that inform and guide decisions. There is an ideology that underlies librarianship and that is common to all library types and settings. There are multiple discourses that are part of that ideology. The discourses described here are not an exhaustive list.

The ideology of librarianship is summed up in the ALA Code of Ethics. The principles are:

- I. We provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.
- II. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.
- III. We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted.
- IV. We recognize and respect intellectual property rights.
- V. We treat co-workers and other colleagues with respect, fairness and good faith, and advocate conditions of employment that safeguard the rights and welfare of all employees of our institutions.
- VI. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.
- VII. We distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources.
- VIII. We strive for excellence in the profession by maintaining and enhancing our own knowledge and skills, by encouraging the professional development of co-workers, and by fostering the aspirations of potential members of the profession

The primary discourse that emerges from this ideology is that of professionalism, of librarians as professionals with a unique mission and expertise. The discourses described below are aspects of the discourse of librarians as a profession.

Leckie and Fullerton (1999, p. 3-4) discuss the discourses of pedagogy among teaching faculty versus those in librarianship. The authors describe the formative experiences of librarians

and teaching faculty and find them very different, which leads to very different pedagogical discourses. Teaching faculty are acculturated through their experience in a PhD program, in which they are steeped in theory and must then prove themselves by doing original research. Once they attain a faculty position, they must create and carry out a program of research. The authors identify “at least four dominant discourses and two counter discourses” in the teaching faculty discourses of pedagogy: those of disciplinary integrity, disciplinary expertise, academic freedom, and self-motivated learning, and the counter discourses of the joy of discovery and of integrated learning.

Librarians, in contrast, are acculturated by absorbing the values of the profession, which include collaboration, service, and the expertise that allows them to provide access to information. The dominant pedagogical discourses among librarians are disciplinary integrity, meeting user needs, generic skills, efficiency, and peer status. The counter discourse among librarians is enhanced reference service. This discourse was also found by Lemke (1999a), who identified the “voices” of reference and instruction as having opposing discourses: the voice of “enhanced reference service” advocates abandoning the teaching role in favor of better and faster delivery of information without the need for extensive instruction.

In contrast to the discourses of pedagogy that inform library reference and instruction, there are also discourses of cataloging, the process that organizes and provides access to library collections and resources. The most prominent is the discourse of “quality,” which connotes the adherence to standards and the rich, detailed bibliographic record that provides maximum access. There are a number of voices that express the discourse of quality, and they are sometimes in heteroglossic opposition to the administrative discourse of efficiency. The voices of quality have

been colorfully described by Osborn (1941), whose very influential article depicted the “crisis in cataloging” and Gorman’s (1975) revisiting of Osborn. Both describe a taxonomy of catalogers. Osborn’s included the Legalist, Perfectionist, and Bibliographic catalogers, whose discourse of quality is a kind of “art for art’s sake,” whereas the Pragmatic applies the rules and standards with the sole aim of helping users find information. Gorman, likewise, has four types in his taxonomy, “only one of which will save us.” The Decadent and the Pious catalogers see the rules as an end in themselves, while the Stern Mechanic puts his faith entirely in technology without regard for the quality of the data. For Gorman, the Functionalist is the voice of the true discourse of quality who does what works. In the years since then, cataloging has truly been revolutionized by technology, but discussions of quality are fundamentally similar. Thomas (1996) explores the meaning of quality, particularly in the present environment of online catalogs and shared bibliographic databases. Numerous white papers, e.g., Calhoun (2006) and University of California (2005) explore the meaning of quality and access in the current environment.

Education for Librarianship

In the last quarter of the 19th century, the founders of the library profession, including Melvil Dewey and others whose names are less well-known, created a professional organization, the American Library Association (ALA), professional journals such as *Library Journal*, and standards for equipment and technology, including three-by-five inch catalog cards and trays to hold them, as well as standards for cataloging and other activities (“Melvil Dewey biography” 2006; “Library science” 2006).

Education for librarianship was an important part of the new profession. The terminal degree for librarians is the master’s in library science. The first master’s program was started by

Dewey at Columbia University (then Columbia College) in 1887, just at the time when professional education programs were beginning to be associated with colleges and universities, rather than existing as freestanding schools of law or medicine, for example. Today, library science programs are accredited by ALA. A degree from an ALA-accredited master's program is required for nearly all librarian positions in academic libraries, and in most larger public libraries as well. Bonnice (2006) and Wiegand (2006) look at the educational formation of librarians. Wiegand places the new profession in its context in the emerging research university and in the territory that it staked out for itself as an academic and professional field. He describes the instruction in theory, practice, and professional values that, in some ways, are unchanged to this day. Bonnice describes a vexing problem for the profession and its educational programs: the emphasis of practice over theory, and the resistance of students to the theoretical basis for their profession. Library science is informed by many fields, including historical bibliography, records management, information science, computer science, and education. It has a strong heritage of scholarship, a wide streak of Taylorism, and much in common with helping professions including teaching and social work. Wilson and Hermanson (1998) discuss the issue of "education" vs. "training" for librarianship, including Dewey's apprenticeship model and its relationship to theory learned in the classroom.

The seeds sown by Dewey and his contemporaries took root and can be seen in the profession of today: a systematizing approach, mastery of technology, partnership, collaboration, and a commitment to intellectual freedom and free access to information. The role of librarian is one of expert in the organization of knowledge and the technological and scholarly apparatus that provide access to information.

In the 1980s, discussions of education for librarianship included the question of “competencies” for librarians and other information professionals. The well-known report by Griffiths and King (1984) is representative of the issues and discussion at that time. The need to adapt to a changing environment and rapid developments in technology caused frustration for both educators and practitioners. Houghton-Jan (2007) defines competencies as “abilities, qualities, strengths, and skills required for the success of the employee and the organization.” That definition illustrates the frustration expressed in earlier discussions of competencies: not just abilities or skills but “qualities” and “strengths” are needed. Griffiths and King look at the question from an HR point of view. They include consideration of measurement and assessment, lists of “knowledge, skills, and attitudes” necessary for success in various segments of the information field, and consider what combination of education and experience can produce the competencies that are needed. White (1983) brings an acerbic wit to the discussion, arguing for library education as the place to learn theory, with any practical skills that are needed acquired elsewhere. He laments the fact that “supervisors who do the actual hiring prefer docile drones who have basic skills.”

Academic Library Organization

Academic libraries, libraries that are part of a college or university, are one major library type. Weiner (2005) surveys the history of academic libraries from colonial days to the present, including issues such as staffing, support for research, and automation. The organization and environment is described and discussed by Budd (1998, 2005) and Atkins (1991), among many others. A typical academic library organization includes a departmental structure that corresponds to activities that are part of the process of providing collections and access to

information: acquisitions, cataloging, circulation, reference, and so on. Academic libraries typically have a range of liaison services that work with academic departments to build collections in various subject areas and provide specialized instruction in using information resources. The library's mission corresponds to the institutional mission, so that libraries in research institutions have collections and services that support research, while a library in a community college or four-year institution has a far different collection focus and probably more emphasis on undergraduate information literacy. In today's environment, academic libraries exist in every kind of institution, and the standards and practices promulgated during the 19th and 20th centuries, and the technology that went with them, have led to certain commonalities in the services offered in those libraries. In addition to a similar organizational structure, there are recognizable professional specialties, such as catalog librarian, reference librarian, and so on.

Collaboration and New Services

While liaison with teaching departments on matters of collections and instruction are well-established, other partnership opportunities have also presented themselves in recent years. These include the creation of an "Information Commons," located in the library, which combines a number of library services such as reference, with information technology services such as computer labs, along with writing centers, tutoring services, multimedia labs, and so on. This model is found in a number of places and has met with some success. It is now very common to find computer labs in academic libraries, often in the same area as the reference desk. Bailey and Tierney (2002) and Beagle (1999) describe the concept of the Information Commons and the convergence of services that it represents.

Another fruitful area for partnership has been digital projects, including the creation of

digital libraries and archives of electronic texts that represent collaboration between librarians and scholars in various disciplines. This phenomenon is discussed by Pace (2003), as well as by Council on Library and Information Resources (2001), Deegan and Tanner (2002), Sitts (2000), and many others. These projects represent not only collaboration with scholars in other fields, they represent the continuing involvement of librarians with shared standards, whether for cataloging, preservation microfilming, conservation of library materials, digitization, metadata schemes and their application, as well as substantial grant funds. In addition to collaboration on campus, consortia and networks formed with other libraries are a crucial feature of today's library environment. These include cooperative collection development agreements, regional consortia that have purchased automated systems and periodical databases.

Faculty Status for Librarians

The professional formation of librarians and the scholarly foundation of librarianship are universally recognized in academic organizations. In many institutions, librarians have faculty status, and may have professorial rank and tenure. Almost without exception, the library is part of the institution's academic affairs division, and the head of the library generally reports to the provost or other Chief Academic Officer (CAO).

For various reasons, faculty status has been an emotional and controversial issue. Joachim (1968) looks back at the origins of the issue and its development up until the time he was writing, nearly forty years ago. As academic libraries grew larger, there was a growing recognition of the professional and scholarly expertise of librarians. McAnally (1963) traces the roots of faculty status from twenty-five years previously. He says that, "this movement towards closer identification of librarians with traditional faculty has required a progressive reorientation

of library thought and practices as librarians have tended more and more to apply to themselves the truly academic criteria which the classroom faculty apply to themselves” (p. 1). He lists and describes seventeen principles for librarian faculty status that include professorial rank, tenure, eligibility for leaves, and so on.

Writing again a few years later, McAnally (1971) observes that the profession was held back from achieving faculty status in the early 20th century by “housekeeping” (librarians engaging in menial tasks rather than assuming professional responsibility) and the low quality of library education. He lists a number of other factors, including the large numbers of librarians who are women, the autocratic nature of many library directors, the negative views of librarians held by “classroom faculty,” the lack of support from ALA, the sincere belief that librarians should stand apart (“on their own”) from other groups, and the rise of state boards of education (who often had no understanding or sympathy for librarians’ demands) beginning in the 1940s. He traces “the path to the present,” beginning with the post-war information explosion. Librarians were forced to develop the expertise to deal with increasing use of library resources in teaching and to support research. Library education had already begun to improve. The “Williamson reports” (Williamson 1971), of 1921 and 1923, were undertaken for the Carnegie Corporation. The reports were sharply critical of the state of education for librarianship and suggested a number of reforms. The reforms led to the creation of the Graduate Library School at the University of Chicago, which offered the first PhD program in library science, and became an important source of scholars and ideas. The master’s degree in library science became the accepted terminal degree, and ALA began to accredit library science programs. The Carnegie Corporation continued to enhance academic librarianship with funds that were used to create

shared standards through products such as *Books for College Libraries*, a bibliography that librarians could use to develop their collections. At the same time, there was a general growth in accrediting bodies, which had implications for library collections and services. Other things that contributed to the improvements in academic libraries in the years after World War II included cooperative efforts such the *Union List of Serials* and *National Union Catalog*, cooperative collection efforts such as the Farmington Plan, and the general modernization of higher education administration that occurred. McAnally describes these conditions as the background to the effort by academic librarians to achieve faculty status that began in the late 1950s. The AAUP gave its support to the idea in 1956. ACRL created a Committee on Academic Status to promote and study the idea. Then came the “rebellion” at the 1969 ALA conference, described elsewhere by Galloway (1979).

In the early 1970s, ACRL issued a series of statements and guidelines, aimed at standardizing and codifying what was meant by faculty status (ACRL 1973, 1974, 1975a, 1975b). These documents include model appointment, promotion, and tenure criteria.

Surveys of librarian status from the early 20th century found many of the same issues that still exist: the need to separate and distinguish the professional from the clerical in the responsibilities of library employees, the attempts to draw a parallel between the education and responsibilities of teaching faculty and those of librarians, and the implicit question of whether the library merely supports the academic programs or whether it is also a program in itself. Hill (1994, 2005) has written persuasively of the need to “wear our own clothes” as faculty, i.e., to be proud and unapologetic about who we are as a profession and what we bring to the faculty organization. She describes the characteristics of librarianship and the need to communicate

them to administrators and teaching faculty, and warns against “disguising librarianship as teaching: using the terminology of teaching, touting only those activities that are most easily equated with teaching, discounting activities not highly valued among teaching faculty (such as professional service), and deemphasizing functions without easy analogs (such as most technical services functions)” (1994, p. 71). The “characteristics of librarianship as they relate to the faculty model” (p. 72-75) include the idea that “librarianship is an academic discipline in its own right” whose foundations are the “organization, evaluation, and provision of access to information.” Also among its characteristics are that it is a service profession and an applied field, whose “laboratory is the library itself.” Furthermore, the practice of librarianship is collaborative and cooperative, and its scholarship often is as well. Shared standards are a characteristic of the profession, and academic libraries are hierarchical organizations whose faculty work twelve months. She asserts that, “most have a relatively inflexible daily schedule that may be considered analogous to a ‘heavy class load.’” Other characteristics include the idea that librarianship has subdisciplines, that its terminal degree is the master’s in library science, and that, “librarianship must be evaluated by means and against a standard appropriate to the discipline.”

Hill (2005) amplifies these themes further, asserting that maintaining a faculty status system for librarians, “requires commitment by faculty and administrators, understanding differences in faculty cultures, documentation, communication, understanding peer review, and support for scholarly work” (p. 7). She cautions academic librarians to have “constant vigilance” with regard to their status, because the story may need to be told to every new provost and various teaching colleagues. She emphasizes these ideas with memorable analogies, including

“babelish” (the need for librarians and teaching faculty to speak the same language); single-sex colleges (the scholarly environment is not for everyone, but it is extremely rewarding); and shoes that do not fit (the campus-wide tenure system may not fit every individual) (p. 17-19).

Articles on one side or the other of the faculty status question are numerous in the professional literature of librarianship. Some argue that it is essential for librarians to be faculty in order to work collegially with teaching faculty, to exercise professional judgment, to make a scholarly contribution, and to have appropriate autonomy. Others contrast both the education and the responsibilities of librarians with those of teaching faculty, finding librarians ill-prepared for the demands of research and scholarship, and finding their duties quite unlike those of other faculty. Veaner (1982) discusses librarianship as a profession that is “discontinuous,” with a basis in theory, and programmatic responsibilities that require constant reinvention and adaptation. He contrasts a profession with a “continuous” craft or trade, which can be entirely learned on the job. He criticizes academic librarians for having failed to make the distinction between themselves and the clerical and paraprofessional employees in the library, and for the “application of excessively task-oriented, nonconceptual definitions of librarianship and use of inappropriate, industry-derived technical terminology (e.g., ‘job description’) to detail professional positions” (p. 8). He is sharply critical of studies of librarian responsibilities and expertise that have resulted in long lists of tasks, rather than taking a flexible, conceptual, and programmatic approach. Veaner (1994) continues the discussion of programmatic responsibility. He describes the work of librarians as “cerebral and indeterminate” (p. 399), dismisses the application to academe of management concepts from the business world such as teamwork, and exhorts librarians to become socialized as academics, to properly define and communicate our

professional expertise and responsibility, to take credit for our accomplishments, to overcome our egalitarian reluctance to be appropriately hierarchical and “elitist” in distinguishing librarians from other employees, and to deal with the lack of recognition that has occurred because librarianship is a female-dominated profession (pp. 390-391). In Veaner’s paradigm, responsibilities are not based on tasks, but “everything is assigned and nothing is assigned.” This paradigm demands that librarians be able to think subtly, tolerate ambiguity, make a distinction between professional librarians and other library employees, and take responsibility for something that is not a “list of tasks” (p. 394) but a program.

Librarians have benefited from Boyer’s (1990) model of teaching and scholarship, as well as concepts such as the Scholar Practitioner. The Scholar-Practitioner model has allowed librarians to be more scholarly, and has provided an approach to scholarship that is suitable for them. The Scholar-Practitioner model (McClintock 2004) is used in a number of fields, including education and psychology. In this model, practice is informed by research and vice versa. The Scholar-Practitioner engages in both practice and research, and the two support each other.

Much research on academic libraries and librarians focuses on the delivery of programs and services, but there many articles on faculty status and surrounding issues. ALA and ACRL have published a number of studies, standards, and position papers about academic libraries and librarians. ALA (1998) discusses scholarship as it was redefined by the Boyer report (Boyer 1990). ALA (2006a, 2006b, 2006c, 2006d) and ACRL (2001) have crafted statements that give the history, rationale, and conditions for faculty status.

There is quantitative research on what institutions have faculty status for librarians, with some information on the various faculty models. Massman (1972) surveyed nineteen state

colleges and universities in Michigan, Minnesota, and Wisconsin, in 1969. He surveyed both librarians and teaching faculty about librarian status. Mitchell (1989) surveyed Carnegie Doctoral I and II institutions (n=98). He surveyed the CAO and library director, and looked at tenure rates for librarians and the implementation of the ACRL standards for faculty status. He found that librarians and teaching faculty achieved tenure at the same rate, regardless of whether librarians had a publication requirement. CAOs believed that librarian faculty status was beneficial to institutions, but that librarians did not merit it. Mitchell and Reichel (1999) surveyed nearly 700 libraries in the master's, doctoral, and research categories on the publication requirement for librarians. Librarians at 54% of the institutions were on tenure track. Of that 54%, 60% required scholarship and 34% encouraged it. In the three-year period that was examined, 92% of librarians who went up for tenure were successful.

Cary (2001) describes the ACRL study that compiled data on librarian status and participation in governance (ACRL 2000). ACRL surveyed more than 800 academic libraries at all types of institutions on the nine conditions for faculty status that are specified in the ACRL standards. The results were reported for the survey overall and separated by institution-type (associate, bachelor, master, and doctoral degree-granting). Associate level institutions reported the most equality between librarians and teaching faculty, whereas bachelor's institutions reported the least. Doctoral-granting institutions are the category that includes all the institutions examined in this dissertation. Figure 1 shows responses by institution type. The numbers represent the percentage of valid responses. N=976 overall, with 322 Associate, 337 Bachelor's, 368 Master's, and 271 Doctoral. While this data is interesting, it shows a frustrating limitation of this kind of survey. What does a "partial" implementation of promotion or tenure mean?

Institutional responses are not necessarily uniform, and the categories contain institutions with very different size, budget, and mission (e.g., a large private institution such as Harvard University and a small state school such as the University of Wyoming are both in the “doctoral” category). Moreover, what are we to make of the idea that 20-30% of institutions do not assign “professional responsibilities” to librarians, or that 25-30% do so only partially?

Table 1. Summary of information from ACRL (2000)

None	All	Associate	Bachelor	Master	Doctoral
Librarians are assigned professional responsibilities	24.7%	19.7%	30.7%	18.4%	25.5%
Governance structure similar to other faculties on campus	21.5%	19.2%	23.1%	16.6%	26.0%
Eligible for faculty governing body	30.4%	18.0%	36.5%	26.7%	28.3%
Salary scales equivalent to other academic faculty	43.3%	24.2%	51.6%	32.8%	47.2%
Covered by same tenure policies as other faculty	35.5%	31.8%	52.0%	27.5%	27.4%
Peer review system for promotion	35.2%	19.9%	46.0%	27.0%	33.1%
Eligible for leaves of absence or sabbaticals	21.1%	11.2%	23.5%	18.0%	18.8%
Access to research funding	13.0%	8.0%	18.3%	10.3%	10.7%
Protections of academic freedom like other faculty	0.3%	0.6%	0.3%	0.3%	0.4%
Partial	All	Associate	Bachelor	Master	Doctoral
Librarians are assigned professional responsibilities	29.2%	24.3%	33.2%	27.5%	26.4%
Governance structure similar to other faculties on campus	25.7%	14.3%	32.8%	23.0%	20.9%
Eligible for faculty governing body	39.1%	23.1%	38.5%	36.0%	43.9%
Salary scales equivalent to other academic faculty	18.1%	9.2%	16.7%	19.3%	18.0%
Covered by same tenure policies as other faculty	19.4%	14.7%	18.4%	18.8%	26.6%
Peer review system for promotion	19.4%	10.6%	16.5%	20.3%	21.4%
Eligible for leaves of absence or sabbaticals	40.0%	18.4%	34.7%	27.0%	35.1%
Access to research funding	15.6%	7.3%	15.2%	15.7%	15.8%
Protections of academic freedom like other faculty	91.6%	85.4%	93.8%	90.5%	90.4%
Fully	All	Associate	Bachelor	Master	Doctoral
Librarians are assigned professional responsibilities	46.1%	38.8%	36.1%	54.1%	48.1%
Governance structure similar to other faculties on campus	52.8%	68.5%	44.1%	60.4%	53.1%
Eligible for faculty governing body	30.5%	58.8%	25.0%	37.3%	27.8%
Salary scales equivalent to other academic faculty	38.6%	66.5%	31.7%	47.9%	34.8%
Covered by same tenure policies as other faculty	45.4%	53.5%	29.6%	53.7%	46.0%
Peer review system for promotion	45.4%	69.5%	37.4%	52.7%	45.6%
Eligible for leaves of absence or sabbaticals	47.9%	70.4%	41.8%	55.0%	46.0%
Access to research funding	71.4%	84.7%	66.5%	74.0%	73.5%
Protections of academic freedom like other faculty	8.1%	14.0%	5.9%	9.2%	9.2%

Krompart and DiFelice (1987) reviewed faculty status surveys from 1971 (when the ACRL standards were first adopted) until the mid-1980s. The 36 surveys examined included

national surveys done by associations such as ALA and ACRL, as well as surveys of a state or region done by an association or individual. Krompart and DiFelice found a wide variation in librarian status and the implementation of faculty status. They found that larger institutions were more likely to have a model of faculty status that met the ACRL standards.

Segal (2000) describes the efforts of the Library Association of the City Colleges of New York (LACCNY) to obtain faculty status. The group spent the years from 1939 to 1965 attempting to achieve their goal. Segal ascribes their failure to political and academic naïveté, and their eventual victory to the social and educational climate of the 1960s, in which there was not only an information explosion and a resulting need for librarians, but also a higher education political environment in which change was easier to achieve. She criticizes the librarians' efforts to achieve faculty status by equating library instruction with teaching, rather than by presenting themselves as professionals and scholars on a par with teaching faculty.

Biggs (1981) describes a persistent issue in the professional life and identity of academic librarians. Writing near the dawn of the age of the electronic library, she gives a historical perspective on the tensions between librarians and “faculty,” i.e., teaching faculty. The first academic librarians were members of the teaching faculty, scholars who took on the library as an extra assignment. The emergence of the profession of librarianship and the resulting systematization of practices and procedures created a new identity for librarians, one based on technical and organizational expertise rather than skill as “bookmen.” Biggs contrasts the education of teaching faculty with that of librarians, and finds that the librarians of the late 20th century are still less educated than their teaching colleagues, and, while they may have more degrees than the librarians at the beginning of the century, they are still not as learned or erudite.

She advises abandoning the quest for faculty status and demanding recognition for the unique skills of the profession.

The literature of librarianship has many opinion pieces on the topic of faculty status, e.g., Dougherty (1975; 1993), White (1996, 1998), Murray-Rust (2005), Carver (2005), and a number of studies that present and analyze the arguments for and against, including Gorman and Herring (2003), Hill and Hauptmann (1994), Hill (2005), Riggs (1999), Sherby (1978), Tanis (1978), and Shapiro (1993). Weaver-Meyers (2002) looks at the resolution of conflict in the faculty environment. Lee (2005) investigates the impact of tenure on librarians' starting salaries, finding that there is no particular benefit. Henry and Caudle (1994) studied the effect of tenure on turnover in academic libraries. They found that tenure had little effect on turnover in the institutions surveyed. Bradigan and Mularski (1996) explore the evaluation of publications in the promotion and tenure process. Budd (1999) also considers publishing activity, analyzing patterns from academic libraries. Ruess (2004) argues for more choice in librarian appointments, while Jones and Stivers (2004) find the separation between librarians and other library employees counter-productive. Ferris (2002) relates successful personal experience as a library faculty member and gives advice to others on gaining promotion and tenure.

Hoggan (2003) summarizes the sometimes-contradictory advantages and disadvantages of faculty status that have been demonstrated by research. The advantages include higher status, innovation achieved due to the research requirement, better compensation, eligibility for continuous appointment, opportunities for professional development, representation in governance, eligibility for sabbaticals, improved job satisfaction, ability to meet teaching goals, and increased quality and quantity of publications. Disadvantages include resentment or lack of

acceptance from teaching faculty; pressure to do research and publication which some see as marginal or unnecessary for librarians, who are not necessarily prepared to do research; a resulting poor quality research output; the stress of meeting the demands of achieving tenure; the situation at some institutions in which librarians are faculty in name only, and lack tenure, research support, and so on; time and energy diverted from patron service when librarians spend time on research and other professional activities; a decrease in the institution's research output, which one study found was correlated with faculty status for librarians; and the low salaries that may be a trade-off for the satisfaction of being faculty.

There is a body of literature on librarians as faculty that describes organizational models and approaches. Bolin (1999) describes how library faculty operate collegially, independent of any departmental or functional organization. Mitchell and Morton (1992) emphasize the need for library faculty to be acculturated to the scholarly life, and argue for a separate track in library schools for academic librarians. They speak in favor of two-year (48-credit) master's programs in library science, including a thesis requirement. (Most library school programs are one-year, 36 to 42 semester hours, non-thesis degrees). Bohannon (1993) rebuts most of Mitchell and Morton's suggestions, but offers an alternative to the problem of socializing new academic librarians into the scholarly community. She suggests that ALA, as the accrediting body, should make its guidelines more specific and have minimum requirements for all programs, and that library schools should create "extensions" to their programs for those who would like to specialize or be credentialed in academic librarianship. Veaner (1994) describes the set of attitudes necessary for librarians to have a paradigm of "programmatic responsibility," (p. 373), and Hill (1994) describes the characteristics of librarianship as a profession and how those

characteristics relate to the collegial model. Herberger (1989) looks at faculty status from the administrator's point of view and discusses ways to lead library faculty.

One rationale for librarians as faculty is that librarianship is a form of teaching. Wilson (1979) disagrees with this idea and describes this pervasive and facile analogy as an "organization fiction" by which librarians rationalize the fact that they are often perceived negatively, controlling scarce resources. She dismisses educational differences and other factors in analyzing why teaching faculty reject the notion that librarians are teachers, seeing the reason as simply that they can see no similarity between teaching and librarianship. Peele (1984) also looks at the idea of librarians as teachers, finding it to be primarily "a myth." Knapp (1970) writes to inform the higher education community of the efforts of academic librarians at that time to obtain faculty status. She ponders the idea that librarianship is a form of teaching, finding the parallel flawed. She explores the differences in education and responsibilities between librarians and teaching faculty, but finds both have constraints on their autonomy, and that both could benefit from being colleagues. Applegate (1993) "deconstructs" faculty status, and finds arguments based on roles and benefits (to librarians and institutions) to be based on inadequate or nonexistent research. She recommends developing new theories, such as a gender-based perspective or the impact that librarians have on their institutions.

Hill (1994, p. 72) counters the notion that librarianship is or must be a form of teaching, including among the characteristics of the profession, the idea that it is "an academic discipline in its own right," with "its own foundation of theory and practice," the basis for which is "organization, evaluation, and provision of access to information." McGowan and Dow (1995) propose a clinical model for library faculty as an improvement over the "librarianship as

teaching” analogy. Douglas (1999) presents a “model of the teaching librarian” based on the potential of emerging technology.

Kingma and McCombs (1995) discuss workload in analyzing the “opportunity costs” for faculty status, estimating the amount of work that is “lost” when librarians engage in research and other scholarly activities. The view that library faculty have no time, or very little time, to engage in scholarship is widely accepted, although there is little or no empirical evidence to support the idea. Hill (1994, p. 74) characterizes library faculty as being like those teaching faculty who have a heavy teaching load. Mitchell and Morton (1992, p. 389) emphasize the fact that being a faculty member is “not a forty-hour job.” Hill (1994, p. 74) also remarks, accurately, that most librarians have a twelve-month contract, and are not free to pursue scholarship in the summer.

Huwe and Irving (2002) describe the University of California peer review system for librarians, which is used at all UC campuses. Librarians in the UC system are staff, with a peer review system for promotion and “career status,” a form of continuous appointment. The authors argue against giving faculty status to groups like librarians, saying that, in order to attract the best faculty, “membership in the academic senate . . . should be limited to professors who teach and conduct research for a living.” Doing so is “preserving the exclusivity of the professoriate, and also recognizing that a career in professional librarianship might require different incentives and rewards. In essence, the university has viewed library work as fundamentally pedagogical, but distinct from classroom or laboratory pedagogy.” They quote McClelland (1997) on the traditions that are present in the professoriate today, “university-magisterial (black gown), labor union solidarity (blue collar), and discipline-professional (white smock).” Huwe and Irving

comment on the place of librarians in those three traditions, saying that, “[w]hile U.C. librarian peer review closely follows traditional tenure practices, at its heart lies an important recognition of the ‘blue collar’ solidarity of the workplace and ‘white smock’ adherence to a code of practice defined not by the institution but by the profession.” The authors describe the advantages of the UC peer review system, which they view as being tailored to librarians but also having some advantages over traditional promotion and tenure peer review.

Tenure is an essential aspect of the discussion of faculty status for librarians. Among academic librarians, “tenure” is sometimes used to mean “faculty status,” e.g., “Do the librarians at your institution have tenure?” This is a rhetorical device known as metonymy, in which a part represents the whole. It shows the crucial part that tenure plays in the whole concept of faculty status. While tenure is a longstanding and fundamental benefit for faculty, both to preserve academic freedom and as a symbol of achievement and seniority, its usefulness has been questioned, particular in the last fifteen to twenty years, by some elected officials, governing boards, administrators, and even faculty themselves. Critics assert that the organization needs flexibility to adapt to a changing environment, and that having large number of tenured faculty restricts that flexibility. Tight budgets have aggravated anti-tenure sentiment. Many institutions have sidestepped the question by employing increasing numbers of adjunct faculty, who have short-term contracts and heavy teaching loads. The literature on tenure is voluminous. Representative examples include Tierney and Bensimon (1996), who take a Critical Theory approach to an ethnographic description and critique of tenure. Criticisms include the lack of socialization provided for new scholars and the use of one mold or model by which to judge all disciplines. Finkin (1996) is an edited volume that brings together articles and essays on tenure

that appeared throughout the 20th century, including cases dealt with by the AAUP, and statements on tenure from that organization. Issues explored include the protections of academic freedom, evidence that tenure actually lends efficiency to the organization, and the view that it keeps salaries low. Chait (2002) is another edited volume that looks empirically at tenure, including the analysis of employment policy documents, as well as surveys and interviews.

The Collegial Library

Academic libraries exist in two different environments. They are part of a college or university, a unit of academic affairs. In that role they operate like a teaching department or college, and also like an academic support unit such as Information Technology (IT). Academic libraries participate in planning and governance like other units. Libraries also exist as organizations created through the principles and practices of librarianship. The coexistence of the “collegial environment and the functional organization” (Bolin 1999) represents the paradigm that Veaner (1994) describes: the whole is greater than the sum of the parts. The functional structure is a framework for the program that is created collegially. The functional organization of academic libraries remains a topic of interest. Owens (1999) and Stanley (2001) contribute to the substantial literature on team organizations, seeing such an organization as a desirable change from a traditional hierarchy. Higa, Bunnett, and Maina (2005) describe a redesign that maximizes collaboration and improves service to library users. Howze (2003) also explores the role of collegiality in the academic library, emphasizing the difference between the collegiality that is a kind of politeness or supportiveness, and the collegial faculty organization that creates the library program.

Beginning as far back as the 1970s, there have been discussions of the “synergy” of

academic libraries and campus IT departments, resulting in a number of mergers and alignments during the following decades. While the functional organization in the library bears some resemblance to a unit such as IT, library resources are increasingly electronic, and librarians are as fond of technology as ever, the resemblance between the library and IT has proved superficial, and the merged organization has proved something of a passing administrative fad. Bolin (2005) found that 96% of Land Grant universities maintain separate library and IT operations. Renaud (2006) presents an interesting counterpoint to this trend (or lack of a trend), however. Describing the merger of the library and IT at a liberal arts college, the author contrasts the common professional formation of librarians (the MLS) with the more variable education and experience of IT professionals, and sees merged library-IT organizations as a way to broaden the roles and responsibilities of librarians.

Virtual and Physical Libraries

The growing emphasis on electronic resources led some to question the need for a library, or at least for a physical library building. This issue peaked in the late 1990s, when the facile and very incorrect view that “everything is free on the Internet now” was often heard from certain kinds of trustees or administrators, and library circulation, door counts, and reference desk statistics were all declining. Hardesty (2000) represents the state of discussion at that time, arguing that print collections are still important and electronic resources not yet stable, affordable, or available in all subject areas. In the years since then, two complementary phenomena have occurred: it has become increasingly possible to use library resources without going to the library, and there has been a renewed interest in “library as place,” from both librarians and library users. Parry (2006) and Secker (2006) each explore the role of academic

librarians in the learning environment of the 21st century, describing the maturing of the virtual and digital environments. One important characteristic of the new environment, one that is shared by higher education in general, is its 24/7 nature. Many academic libraries are now part of reference cooperatives that work collaboratively to provide Internet chat-based reference service around the clock, a truly global venture that includes all time zones.

Discourse Analysis

This literature review concentrates on linguistic approaches to discourse analysis, including both theory and applications. It is generally limited to the analysis of written texts, including the use of written texts in the workplace, particularly in higher education. The general areas in this part of the literature review are: sociolinguistics, SFL, and their roots; social theory and semiotics; CDA; text semantics and the analysis of written texts; approaches to genre and register; organizational communication; academic discourse; and techniques for analyzing written texts.

Sociolinguistics, Ethnography of Communication, and SFL

Linguistic approaches to discourse analysis are associated with sociolinguistics and the work of Labov (1973), Hymes, (1974), Gumperz and Hymes (1972), Hymes and Gumperz (1986), and others. Sociolinguistics begins with the premise that language is socially situated, insisting on empirical data that cannot be isolated from its social context, and which derives its explanatory power from that context. The crucial concept “context of situation” originated with the anthropologist Malinowski. J. R. Firth elaborated the concept with regard to language (Halliday 1978, p. 28). The close connection between sociolinguistics, anthropology, sociology, and ethnography is illustrated by the “ethnography of communication,” a sociolinguistic method

described by Gumperz and Hymes (1972), and Saville-Troike (1989), in which people are members of a “speech community” and participate in “speech events” or “communicative events” that have rules and expectations that speakers learn as part of a community. Gumperz and Hymes (1972) call the speech event “the basic unit for the analysis of verbal interaction in speech communities” (p. 16). The workplace is a social setting and its interactions have social and sociological significance. Documents from the workplace have ethnographic meaning for the groups that use them, and they embody aspects of workplace culture. Colleges, universities, and departments and units such as libraries are examples of academic workplaces with customs, traditions, and documents that can be studied ethnographically, using the ethnographic method (e.g., interviews, observation, document analysis).

Ethnomethodology (Garfinkel, 1967) underlies the ethnographic method. It seeks to uncover, “[t]he socially constructed nature of reality” (Fairclough, 1995, p. 14), the “common sense” view that members of a society have of their own social practices. Sociolinguistics and discourse analysis may use ethnomethodology in the analysis and interpretation of communicative events. Saville-Troike states that, “ethnomethodology is concerned primarily with discovering the underlying processes which speakers of a language use to produce and interpret communicative events, including the unstated assumptions, which are shared cultural knowledge and understandings” (1989, p. 130). Ethnomethodology investigates the ways in which participants view the social significance of events. The data for this project come from a class of communicative events that are very significant in higher education: the appointment of faculty in ranks. The data represent the sensemaking efforts of librarians to define themselves as faculty.

SFL is associated with the work of Halliday (1978, 1985a, 1985b), Halliday and Hasan (1976), Halliday and Martin (1993), Martin (1992, 1993, 2001, 2002), and others, and is a sociolinguistic approach to grammar and discourse that is based on language in use. There are many applications of SFL, many theories and techniques that are based in SFL, and it is an approach that is widely used in the teaching of English as a Second Language (ESL), English for Special Purposes (ESP), and English for Academic Purposes (EAP). Halliday (1985a) summarizes his systemic approach, stating that, “linguistics cannot be other than an ideologically committed form of social action” (p. 5). The “systemic” part of SFL is explained by Halliday (1985a), who describes it as a “theory of meaning as choice, by which a language ... is interpreted as networks of interlocking options” (p. xiv). These “system networks” are lexical (word choice), syntactic, semantic, and so on. The concept of system networks is built on the idea that language is a system, and that change and variation are also systematic, a concept that is fundamental in 20th century linguistics, and which was famously expressed by the historical linguist Meillet (1903), who said that language is, “un système où tout se tient” (a system in which everything holds together). Functional approaches contrast with formal grammars. As their names imply, functional grammars look at language through the lens of function, language use, and meaning. Formal grammars take an abstract approach to generating strings, i.e., clauses, sentences, and other forms. Formal grammars include generative approaches such as that of Chomsky (1994). Halliday (1985) contrasts formal and functional grammars, saying that formal grammars ask, “What do these forms mean?” while functional grammars ask “How are these meanings expressed?” (p. xiv).

Halliday (1982) describes the origin of systemic linguistics going back through J. R. Firth

(1957, 1964, 1968), Halliday's teacher, who originated concept of "system" in the SFL sense. J. R. Firth defined "system" as the representation of paradigmatic relations, while "structure" represents syntagmatic relations. Saussure (1959) describes syntagmatic relations, words that are related by association or collocation (e.g., coffee/drink) or semantic relations such as hyponymy (mammal: cat), synonymy, or antonymy, i.e., words that appear together in syntactic chunks. Paradigmatic relations, by contrast, are words that fit in a paradigm, e.g., "Jane bought a new [_____], or "Jane bought a [_____] car". The syntagmatic dimension of language is discourse itself, while the paradigmatic dimension is the options or potential of a language. Fairclough (2003) states syntagmatic relations are "praesentia" while paradigmatic relations are "absentia," i.e., syntagmatic relations are actually present in discourse, while paradigmatic relations represent options (p. 38). Chandler (2002) connects these two dimensions of semiotics and of structuralism to the concept of intertextuality, saying that, "syntagmatic relations refer intratextually to other signifiers co-present within the text, whilst paradigmatic relations refer intertextually to signifiers which are absent from the text."

Structuralists, beginning with Saussure (1959), and including Malinowski (1923), Benveniste (1971), Bloomfield (1933), Sapir (1921), Whorf (1964), and Trubetzkoy (1969), are also important precursors to SFL. Structuralism sees language (or society or culture) as a system and subsystems. Saussure's famous dichotomy is between language (*langue*) and speech (*parole*). *Parole* is language in use, or discourse. SFL is a semiotic approach, and Saussure's structuralist approach is also semiotic, describing language as a system of signs consisting of the signifier (lexical item) and signified (its meaning). Hodge and Kress (1988) state that the syntagmatic aspect of language forms the structure of a sign, while the paradigmatic structure is

a classification system. They describe a semiotic structure as therefore consisting of both cohesion (how parts of a text fit together) and of syntactic order (hypotaxis, i.e., subordination of clauses, and parataxis, coordination as with conjunctions such as “and”) (p. 262).

Sociolinguistics and SFL study language in use, in its social context. Therefore, Halliday (1978) describes and agrees with J. R. Firth’s critique of Saussure’s “dualism” (e.g., *langue/parole*, *word/idea*, *mentalism/mechanism*), and also criticizes Chomsky’s (1994) competence/performance dichotomy, in which competence is what the speaker *knows* while performance is what he or she *does* with language. Halliday (1978) states that it is “necessary to minimize distinction between what is *grammatical* and what is *acceptable*” (p. 51, emphasis in original). He adds that, “the only distinction that remains is that between the *actual* and the *potential* of which it is an actualization” (p. 52, emphasis in original).

Hodge and Kress (1988) also critique Saussure’s dichotomies, and refer to “Saussure’s dustbin”—the aspects of linguistic study that he fastidiously discarded from consideration, although he acknowledged their importance, i.e., *parole* and diachronic study (language change over time), as opposed to synchronic analysis, which only looks at the situation at a particular time. They look to sociolinguistics to integrate Saussure’s dichotomies, saying that “Labov ... integrated historical and sociolinguistic inquiry by a single powerful assumption: that the same forces and processes which create small differences over time in a single language community will produce over a longer time the larger differences which ultimately constitute separate languages. The motor of language change in the present, and therefore presumably in the past, is the desire to express social difference, and its other face, solidarity” (p. 85).

SFL is based in sociolinguistics and the ethnographic method. Halliday refers to Hymes’s

(1974) concept “communicative competence.” This idea is illustrated in the use of a register by members of a discourse community. Halliday (1978) discusses the crucial concept *register*, saying that, “types of linguistic situations differ from one another ... in three respects: first what is the action taking place; secondly, who is taking part; and thirdly, what part the language is playing. These three variables, taken together, determine the range within which meanings are selected and the forms which are used for their expression. In other words, they determine the ‘register’” (p. 31). He adds that, “the language we speak or write varies according to the situation,” and the “theory of register ... [attempts] to uncover the general principles which govern this variation” (p. 32). (The structuralist notion that language is a system, and its variation is systematic, underlies this view of register). Register is “a form of prediction” of “which kinds of situational factors determine which kinds of selection in the linguistic system.” Register analysis answers the question, “what ... do we need to know about the social context in order to make ... predictions?” (p. 32) Halliday answers his question by saying that what we need to know are the Field, Tenor, and Mode of the discourse.

Halliday discusses ethnomethodological linguistic studies, how people construct and assign meaning in everyday life and activity (p. 60). He compares Hymes’s (1974) eight components of speech (setting, participants, ends, key, medium, genre, interactional norms) with J. R. Firth’s (1950) list. J. R. Firth includes participants and their status and roles, setting, action, and result (p. 61). Halliday finds some correlation between these lists and Field, Tenor, and Mode, e.g., participants and interactional norms are similar to Tenor, and therefore to Interpersonal meaning. One can predict the situation from the text and the text from the situation. For this reason, “register ... provides a means of investigating the linguistic foundation of

everyday social interaction, from an angle that is complementary to the ethnomethodological one” (p. 62). Meaning (the semantic system) is discovered by analyzing the syntactic (grammatical) system.

Halliday (1978) further describes J. R. Firth’s view of system and structure, an attempt to describe the relationship between syntax or grammar and semantics. He states that, “system is the form of representation of syntagmatic relations, and structure is the form of representation of paradigmatic relations,” adding that “the structure is the expression of a set of choices made in the system network” (p. 41). An analysis of Field, Tenor, and Mode includes a grammatical analysis using SFL categories, with considerations of finiteness (completed or ongoing activity), transitivity (the relationship among grammatical subject, verb, and object), constituents (syntactic components such as noun phrase or predicate), etc.

Cohesion, described by Halliday and Hasan (1976) is an important element of Mode and therefore of textual meaning, of what makes a text a text, rather than a random or arbitrary string of sentences. Cohesion is the situation “where the interpretation of some element in the discourse is dependent upon another” (p. 4). Types of cohesion described by Halliday and Hasan include reference, substitution, ellipsis, and conjunction, as well as a number of types of lexical cohesion, such as synonymy and collocation (words which appear together).

English uses personal and demonstrative pronouns to express reference, e.g., “he” refers to “John” and “that” refers to “the book.” Substitution and ellipsis are, respectively, “the replacement of one item by another, and ... the omission of an item” (p. 88). An example of substitution is the use of “my brother” and “Mike” in a text to refer to the same person. Ellipsis is illustrated by examples such as “Does he play the guitar?” “Yes, he does [play].” Conjunction

expresses cohesion grammatically and semantically, and is a signal that what is to follow is connected in a specific way to what has gone before (p. 227).

In contrast to these types of grammatical cohesion is lexical cohesion, “the cohesive effect achieved by the selection of vocabulary” (p. 275). Common forms of lexical cohesion include reiteration, which can take the form of repetition, synonymy or hyponymy (a general-specific relationship, e.g., mammal: cat). Collocation is another form of lexical cohesion, consisting of words that are lexically associated, either through relations such as antonymy (good: bad), or complementarity (faculty: student).

The use of metaphorical expressions is deeply embedded in human language. The “lexical” metaphors that we use are in every kind of written and spoken text and they are an important part of lexical cohesion. Taverniers (2004) points out many examples, including the metaphorical meaning of *grasp* when used to describe a mental process. This example illustrates how metaphor works: meaning is transferred from one situation or context to another. Taverniers cites familiar and easily-recognizable as metaphor examples such as “the face of a clock” or “table legs,” as well as “the noise gave me a headache,” in which *gave* is used metaphorically, and meaning is transferred “from a physical action of transferring something to someone (give) to an abstract process of causing something to someone” (p. 19). Lakoff and Johnson (1980) describe the pervasive system of metaphor in English, including “orientational metaphors,” such as “health and life are up; sickness and death are down,” illustrated by expressions such as “top shape,” “came down with the flu,” “his health is declining,” and so on.

In contrast to these lexical metaphors, Halliday (1985) uses the concept “grammatical metaphor” to refer to the transfer of meaning from one grammatical form to another.

Grammatical metaphors occur in representations of both ideational and interpersonal meaning. An example is nominalization, in which a process, which is usually expressed by a verb, is instead expressed by a noun. Nominalization affects the representation of ideational meaning. This kind of grammatical metaphor is very common in academic and scientific discourse. SFL describes the constituents of a clause as Participants, Process, and Circumstance. Participants are generally represented as nouns (noun phrase or “Nominal Group”). When nominalization occurs, Process becomes Participant, e.g., the verb *promote* is often represented by the noun *promotion* in academic discourse.

Grammatical metaphors with interpersonal meaning affect the representation of modality and mood; that is, of probability and speech function (statement, question, demand). One common metaphor of this type is the transfer of meaning from a demand to a statement or question, i.e., the cloaking of an imperative meaning in another form: *Close the window* becomes *I wonder if you could close the window*.

Social Theory, Social Semiotics, and CDA

Lemke (1993) discusses language as a social semiotic. He remarks that “socially meaningful *doings* constitute cultures,” and sees language as social action. He adds that “semiotic formations” are the uses of semiotic systems, while “discourse formations” are semiotic formations in which language creates socially-significant meaning. Moreover, he adds that “the linguistic ... resources specific to a particular discourse formation form a *register* of the language.” Lemke (1995b) uses the term “discourse formation” to refer to the “persistent habits of speaking and acting, characteristic of some social group, through which it constructs its worldview: its beliefs, opinions, and values.” He emphasizes the idea that discourse is a product

of a community, not an individual, saying that, “we speak with the voices of our communities, and to the extent that we have individual voices, we fashion these out of the social voices already available to us, appropriating the words of others to speak a word of our own” (p. 30). Lemke relates the idea of discourse formations to Bourdieu’s (1977) concept “habitus,” which has been defined as “those aspects of culture that are anchored in the body or daily practices of individuals, groups, societies, and nations” (“Habitus”) and his view of “discourse habitus” saying that “cultural habitus for Bourdieu is an embodied system of sociologically structured and structuring dispositions” (Lemke 1993, pp. 31-33). Lemke (1998a) further defines “discourse formation,” as “recognized and repeated constellations of clauses-in-texts making typical sorts of cultural meanings about topics,” which “tend over time to become condensed into single nouns and phrases, shorthand to be interpreted by intertextual reference to the full clauses and typical textual contexts of the discourse formation.”

Lemke (1995b) explores major approaches to discourse analysis, semiotics, and social theory. He discusses “textual politics,” concentrating on the role of texts as a record of meaning and the way politics represent power in social relations. He contrasts text and discourse, seeing text in the “specifics of an event or occasion” and discourse in the “patterns, commonality, relationships that embrace different texts and occasions” (p. 7). Hodge and Kress (1988) also make a distinction between text and discourse, saying that “discourse ... refers to the social process in which texts are embedded, while text is the concrete material object produced in discourse” (p. 6). Fairclough (1995) calls discourse “a use of language seen as social practice” (p. 7). He emphasizes how much of all discourse is formulaic and conforms to social and cultural expectations. He sees texts as all part normative, part creative, some more of one, some more the

other. The documents used for this dissertation are quite normative, i.e., their form and content are determined by a prescriptive schema, but Fairclough emphasizes how much of *all* discourse is formulaic and conforms to social and cultural expectations.

Lemke (1995b) observes that most theories of discourse have not been social, but linguistic and psychological, rooted in a view of one single, universal “human nature” (reflecting the dominant ideology). He views meaning as a “social practice in a community,” and not something that an individual mind does (a “mentalist” view) (p. 9). The social practice of meaning helps constitute a community (p. 9). Communities are “a system of interdependent social practices” (p. 9) rather than individuals acting together.

Major discourse theories that have a social aspect begin with Bakhtin (1935), whose contributions include the concepts *dialogicality* (the degree to which a text is a dialog between communities or points of view) and *heteroglossia* (the different and often opposing “voices” in a text). Bakhtin described heteroglossia as, “social class dialects, languages of special groups, professional jargons (including those of lawyers, doctors, teachers, and novelists), genre language, the languages of generations and age groups, of the authorities, of literacy, and political movements, historical epochs, etc.” (pp. 262-3). He observed that “all the languages of heteroglossia ... are specific points of view on the world” (p. 291).

In describing the voices present in texts, Lemke (1995b) observes that, “there are very few matters in a complex and diverse society about which there is only one discourse” (p. 9). (Certainly there are opposing discourses about faculty status for librarians, for example). These different discourses use different intertexts, networks of texts known to the voices, communities, and ideologies represented in the text. The analysis of meaning in texts uses Halliday’s Field,

Tenor, and Mode to uncover ideational, interpersonal, and textual meaning (p. 40). Lemke also divides meaning into three types: presentational, orientational, and organizational. Presentational meaning includes “participants, processes, relations, and circumstances,” while orientational meaning shows the text’s “stance toward ... addressees and audience,” and organizational meaning is found in the “construction of relations between elements of the discourse itself” (p. 41). These have a rough correspondence to Halliday’s categories, with presentational corresponding to ideational (Field), orientational to interpersonal (Tenor), and organizational to textual (Mode).

Lemke asserts that we need a social theory to explain and understand the role and influence of discourse in a community (p. 19). Fairclough (2003) states that, “social events are shaped by networks of social practices” (p. 25). He describes a framework for discourse analysis that includes social structures (languages), social practices (orders of discourse), and social events (text) (p. 24). He adds that the “linguistic elements of networks of social practices” are “orders of discourse,” which consist of “discourses, genres, and styles.” Orders of discourse are the “social organization and control of language variation” (p. 24). Genres are “ways of acting,” and discourses are “ways of representing,” (i.e., a discourse is a voice or ideology) (p. 26).

Intertextuality is an essential principle of social semiotics. The term was coined by Kristeva (1984), who saw meaning as something “mediated” by texts and their relationship to each other. Fairclough (2003) states that mediation occurs through chains or networks of texts, and “orders of discourse associated with networks of social practices specify particular chaining and networking relationships between types of text” (p. 30).

Lemke (1995b), states that, “each community has its own system of intertext, its own set

of important or valued texts, its own preferred discourses” (p. 10). Fairclough (2003) discusses intertextuality in terms similar to Lemke’s “intertext.” saying that “for any particular text or type of text, there is a set of other texts and a set of voices which are particularly relevant, and potentially incorporated into the text” (p. 47). The notion of ideology is crucial to the discussion of “intertext.” Ideology is a “single concept which links the textual and the political” (Lemke 1995b, p. 2). Lemke discusses the ideology of modern society, the assumptions that underlie our beliefs, the development of modernism (and postmodernism), particularly a faith in logic and science, as well as the postmodern questioning of this positivist approach. In discussing intertextuality, Fairclough (2003) talks about assumptions that are present in discourse, including presuppositions (given information) and implicatures (meanings implied by not directly stated) (p. 40). Intertextuality contrasts with assumptions, however, in being dialogical, bringing in other voices and orientations. Fairclough defines dialogicality as the “openness to difference” found in a text (p. 41). He states that “implicitness is a pervasive property of texts, and a property of considerable social importance,” because “fellowship, community, and solidarity depend upon meaning which can be shared and can be taken as given” (p. 55). The idea of assumptions that are present in text is closely related to intertextuality. Types of assumptions include existential, propositional, and value. These may be marked or triggered by features of texts (p. 56). Evaluation may be implicit, but is mostly found in assumptions contained in texts. Pragmatics, the aspect of linguistics “concerned with bridging the explanatory gap between sentence meaning and speaker’s meaning” (“Pragmatics”), i.e., the assumptions present in texts. For example, for the speaker, the pragmatic meaning of “I’m cold” may be that the listener should close the window. Grice’s (1975) conversational maxims may account for some of a text’s assumptions as

well.¹

Fairclough emphasizes dialogicality and difference as an essential aspect of CDA. He states that, “social events and interactions vary in the nature of their orientation to difference.” These orientations can be viewed as a continuum, and include dialog, conflict or struggle, resolution of differences, focus on commonality, and consensus (p. 41). Fairclough asserts that monological texts, which supposedly have only one point of view, also contain difference (p. 42), since Bakhtin has stated, “any utterance is a link in a very complexly organized chain of other utterances” (Bakhtin 1986, p. 69).

Hodge and Kress (1988) discuss social semiotic systems, including language. They see ideologies of both dominant and dominated groups encoded in “ideological complexes” that “constrain behavior by structuring the versions of reality on which social action is based” (p. 3). They describe language as an example of a “logonomic system,” with rules about the “production and reception of meaning” (p. 4). They define text as a “structure of messages ... which has a socially-ascribed unity” (p. 4).

Critical Theory is associated with Habermas (1981), and other Frankfurt School sociologists, and is a lens for social theory that analyzes the power relationships in the

¹ Grice’s Conversational Maxims are a product of his philosophy of language. They are:

Maxim of Quantity:

1. Make your contribution to the conversation as informative as necessary.
2. Do not make your contribution to the conversation more informative than necessary.

Maxim of Quality:

1. Do not say what you believe to be false.
2. Do not say that for which you lack adequate evidence.

Maxim of Relevance:

Be relevant (i.e., say things related to the current topic of the conversation).

Maxim of Manner:

1. Avoid obscurity of expression.
2. Avoid ambiguity.
3. Be brief (avoid unnecessary wordiness).
4. Be orderly.

institutions of society, and often as a Neo-Marxist critique of capitalism. CDA (discourse analysis with a basis in critical theory) is associated with the work of Fairclough (1989; 1995; 2000; 2003), Weiss and Wodak (2003), Wodak and Meyer (2001), van Dijk (1985, 1993, 1995, 1998), and Chouliaraki and Fairclough (1999), among others. CDA in the field of education is discussed by Rogers, ed. (2004), including the discourse of educational policy texts, and, specifically, the presentation of new information in these texts.

Lemke (1995b) describes Fairclough's (1989) views on CDA, saying that "discursive, ideological modes of power are modern alternatives to the use of material force and physical violence" (p. 12). Lemke asserts, however, that "ideology supports violence" (the threat of pain is social control) (p. 12). He states that Fairclough draws on Habermas, who created "criteria for truly democratic or egalitarian discourse" (p. 14) and that Fairclough, Hodge, and Kress have a Neo-Marxist social theory, with "social injustice as a central phenomenon to be accounted for" (p. 15).

Lemke (1995b) states that Hodge and Kress (1993) "take the broad view that all discourse is ideological" (p. 10) but sees Fairclough (1989) expressing a view that is narrower, defining ideology as "common sense assumptions which assist privileged interests to establish and maintain unequal power relations" (p. 11). Fairclough (2003) sees discourse and meaning being used in the service of cultural hegemony, which is "a matter of seeking to universalize particular meanings in the service of achieving and maintaining dominance" (p. 57).

Hodge and Kress (1988) discuss the way the Durkheim's (1893/1997) dichotomy of solidarity and power is expressed in language. For example, formal and familiar forms of the second person pronoun (e.g., French *vous* and *tu*) can show either solidarity or power, depending

on the context, i.e., the familiar *tu* can be used to show either friendliness or contempt. Solidarity is expressed through markers of group membership. They contrast “monologic codes” which “rest on strictly-policed logonomic rules (rules for the production of meaning), which do not allow opposition or even participation by the non-powerful” with “dialogic and pluralist codes” that “signify the existence of various kinds of opposition, resistance, negotiation” (p. 83).

Van Dijk (1985, 1993, 1995, 1998) writes prolifically on CDA and related topics. He describes ideology as a sociocognitive phenomenon, in which the assumptions, values, biases, and so on, of groups, are communicated and maintained through social cognition. The mental models of group members form the basis for their interaction through discourse. These models influence discourse at the level of syntax, lexis, and larger discourse structures, which are the levels or aspects of analysis.

Text Semantics and the Analysis of Written Texts

Halliday (1978) defines text as the “basic unit of semantic structure,” which has “no connotation of size” (p. 60). Hoey (2001) describes text as a “site for interaction” (p. 11). He views text as, “purposeful interaction between ... writer and ... reader in which the writer controls the interaction.” Although he critiques the notion of writer control, he observes that writers and readers both “draw upon models that have become normal within their culture” (p. 12). There is a great deal of complexity in the interactions of participants, and Hoey contrasts author and writer, audience and reader, personal and corporate author (p. 15). There are “signals from writer to reader” anticipating the reader’s questions (p. 27), whether a “signal in advance” or a “retrospective clue.” There is lexical and syntactic signaling, for example, such as repetition or parallelism, as well as intertextuality.

Hoey describes “culturally popular patterns of text organization.” These are “templates, schemata, scripts” which are lexically signaled, i.e., we recognize the pattern because of lexical choices and their “matching relations.” Examples are Problem-Solution (p. 123); Goal-Achievement (p. 145); Opportunity-Taking (p. 150); Desire-Arousal-Fulfillment (p. 155); Gap in Knowledge-Fitting (p. 161), and the “pattern as dialogue” Question-Answer pattern. The patterns can be identified and analyzed by asking questions such as “What problem arose for you?” “What did you do about this?” “What was the result?” to identify the Problem-Solution pattern (p. 123). Some texts are “colonies” (pp. 74-75). A colony is a text whose meaning does not derive from its sequence, such as a newspaper, cookbook, journal, reference book. Colonies are read in a particular way: skimming, a focused search, etc.

Hoey incorporates views from Halliday and Swales in the interpretation of written texts. Texts are interactive, and both author and reader have expectations that they bring to the interpretation of a text. Texts are organized according to patterns that express these expectations, and which may be culturally biased (pp. 16-17). The expectations of author and reader may not be the same, although successful interpretation of a text requires shared knowledge and assumptions between author and reader. Texts may have multiple audiences and purposes. Cohesion is an important element in textual analysis, as is intertextuality. Hoey (1991) deals with lexical cohesion in text, particularly with patterns of repetition and how they create organizational links. The types of repetition that he describes are lexical repetition, paraphrase, substitution, co-reference, and ellipsis (p. 83).

Lemke (2003) discusses ways of analyzing verbal data. He discusses “Structural-Textural Analysis,” asking, what binds the units of a text together?” He discusses genre in this context,

describing genre as “a text-type specified by identifying a common structure of functional units (obligatory and optional) that is repeated again and again from text to text” (p. 1179).

Lemke (1995b) describes “thematic patterns,” which are “the most linguistically and culturally salient contextualizations of a wording in terms of which it has meaning for us” (p. 43). The analysis of orientational meaning shows what is “evaluative” rather than what is “true” (p. 43). “Evaluative attributes” of a statement or proposition include warrantability (reliability of a statement), probability, and certitude, and show the “attitudinal stance” of a speaker (p. 43).

Texts contain “heteroglossic oppositions” and their interpretation varies according to the social situation of individuals and groups, i.e., “what intertexts ... we use.” (p. 53). Text semantics uses the “interplay of thematic (presentational), attitudinal (orientational), and structural-cohesive (organizational)” aspects of meaning, which are evaluated through the values and assumptions of the intertext of each community or voice (p. 58).

Oriental meaning is “how one discourse voice constructs its relationship to others” (p. 66). It is “how a text constructs an evaluative stance” (p. 66). There are “chains of positively and negatively valued elements constructed across texts” (p. 66). There are “value chains” (p. 66), which are similar to Halliday and Hasan’s (1976) concept “semantic chains,” and Hoey’s lexical signaling and lexical matching. Lemke states that orientational meanings “position the text and its discourses in the larger system of social heteroglossia” (p. 76).

Modality is an important element of texts. It is the expression of both evaluation and “truth.” Hodge and Kress (1988) discuss a semiotic theory of modality, which they call, “social definitions of the real” (p. 121). They state that, “appeals to ... truth and reality are ... fundamental in the social construction of meaning” (p. 121). Truth and reality are part of

semiosis (the process of making meaning), as is modality, which is part of the stance taken by participants in discourse. Truth and reality are “categories ... which mark agreement ... or a challenge” to semiotic systems (p. 122). Modality is the “affinity” or lack thereof between speaker and hearer, and therefore an indicator of solidarity or power. If affinity is high, so is solidarity. If it is low, there is a power differential. Modality is an “indicator ... of political struggle” (p. 122).

Hodge and Kress (1988) discuss Halliday’s linguistic view of modality, which goes beyond modal verbs (e.g., *may*, *must*, *can*). They describe “modality signs and their structures,” for example, the use of present tense is a signifier of “proximity in time, and hence, verifiability” (p. 124). Structures such as *if*, *then*, *would*, on the other hand, signify, “ontological distance,” as well as “uncertainty, tentativeness” (p. 126).

Modality structures encode power relationships and may be explicit or subtle. Hodge and Kress state that “modality is pervasive” and it “both reflects and organizes the reality of the participants” (p. 127). The modality of a text may be a “complex, even contradictory package of claims and counter-claims” (p. 127). Moreover, “markers of modality often signify not only a final modality value, but also the sequence of the claims” (p. 127). Fairclough (2003) states that modality and evaluation are essential to the analysis of texts (p. 165). Knowledge exchange is “epistemic” modality, while activity exchange is “deontic” (p. 167-168).

Fairclough (2003) approaches the analysis of text using SFL categories and techniques. He discusses Giddens’s (1984) concept “structuration,” the relationship between the agency of individuals and the structures of society. Structures are potentials for action, and social practices control the choices and options of individuals. He also discusses types of meanings found in

texts, including action, representation, and identification (p. 27).

Fairclough approaches text analysis by defining “levels,” his framework for discourse analysis and CDA. Levels of text analysis include social structures (languages), social practices (orders of discourse), and social events (text). Social events include solidarity (or lack thereof) expressed by actions, personal identities, and the way the world is represented. Discourse is a kind of social event whose orders are genres, discourses (voices and ideologies), and “styles” (p. 36). Styles or voices are represented in text by levels of abstraction, the degree of dialogicality, and the linguistic realization of those styles, which is the register (p. 159).

Fairclough looks directly at the syntax and lexis of text, the “meaning relations between sentences and clauses” (p. 87). The semantic and grammatical relations between clauses are elements of SFL: causal, conditional, temporal, additive, elaborative, and contrastive, i.e., clauses encode meaning about things like causation or time, or provide additional or contrasting information. Clauses encode knowledge and activity exchange, and speech functions such as demand, statement, or question, and grammatical mood (e.g., declarative) (p. 104).

The representation of social events is an important aspect of text analysis. Elements include processes (what), participants (who), and circumstances (how/why/where) in clauses; whether representation is abstract or concrete; time and space; and so on (p. 135). Social relations are a background to the social events expressed by discourse. Fairclough describes social relations as seen through the lens of Critical Theory. They include legitimation (the process of making an ideology or act part of the norms of a culture), hegemony (the dominance of one set of beliefs and marginalization of others), and appearance and reality, which are realized through processes of authorization, rationalization, moral evaluation, and narrative (p.

98).

Genre and Register

Lemke (1995b) states that register consists of the grammatical and semantic features which identify the language of different social situations, and which is analyzed and identified using Field, Tenor, and Mode. The register, plus a text's internal structure, equals its genre (p. 27). Martin (1997) also takes this SFL approach to genre, and Christie and Martin (Eds.) (1997) look at genres in educational settings.

Swales (1990, 2004) looks at genres of discourse. Swales's (2004) discussion of genre focuses on the socially-situated academic environment of research and teaching. He describes four phenomena that influence the use of genres by discourse communities, particularly academic communities. They are generification, commodification, technology, and globalization.

"Generification" is the increasing prominence of genres of organizational communication. It is seen in the elaboration of performance evaluations and similar activities in universities, with "probationary periods, conflict resolutions, claims of discrimination, and attempts at dismissal have become document-rich, multi-stage administrative undertakings" (p. 5). Swales discusses the effect that technology has had on genres used in higher education, for example, the effect that PowerPoint has had on the communicative environment of lectures and similar things (p. 7).

"Commodification," as described by Swales, is similar to Fairclough's (1995) observations on the "marketization" of universities, in which higher education is a commodity to be marketed, and in which students are also a commodity, although Swales critiques Fairclough and CDA in general for its "selectivity in texts" and the assumption that higher education and

university structures are monolithic.

Swales describes “constellations of genres” and “hierarchies” (p. 12). The hierarchy varies across disciplines. In botany, for example, the monograph remains an important genre, while the research article is pervasive elsewhere in the sciences. Genres differ “in terms of their *perceived* qualitative differences and rankings” (p. 18, emphasis in original).

Much of the literature on genres considers groups of related genres. An important concept in Swales’s work is the genre chain. A genre chain is a “chronological ordering, especially when one genre is a necessary antecedent for another” (p. 19). For example, the set of genres used in filling a vacant position might include vacancy announcement, search committee screening forms, letter of offer, and so on. There are some “occluded” genres in chains, which are not visible to outsiders, for example research grant proposals or peer reviews of scholarly articles. Fairclough (2003) also discusses genre chains, describing them as, “different genres which are regularly linked together, involving systematic transformations from genre to genre” (p. 31). The chains of genres link social events and practices across space and time.

Swales (2004) also describes the “genre set,” the genres of an institution or occupation. For example, there is a “steadily expanding genre set as graduate students move through the system” including “course assignments, term papers ... posters ... conference presentations, research articles, and on to the dissertation” (p. 20). A set is not necessarily linked chronologically or associated with one process or event like a genre chain.

Genre networks are “the totality of genres available for a particular sector,” (p. 20). Swales calls them a “key Bakhtinian notion of intertextuality.” They are combinations or influences of genres on other (or new) genres, e.g., “incorporation of speech elements in ... e-

mails, the emergence of the new genre, the conference poster out of elements of the research paper.” Like language in general, they are constantly changing through use by communities.

Swales spends a great deal of time on theoretical approaches to genre and methods of analysis for those theories. He re-examines his 1990 definition of genre: “a class of communicative events, the members of which share some communicative purpose” (p. 61), which he has come to see as a metaphorical concept, something like “genre as frame.”

He cites Bazerman (1991), who sees genres as “frames for social action” and “locations within which meaning is constructed.” Swales calls the frame a “starting place.” The frame is bound by community culture (p. 62), or to use Hyland’s (2000) phrase, “disciplinary culture.”

Another metaphor is “genre as standard” (p. 62). Swales cites Devitt (1991) on the “etiquette” of genres, looking at genres as constraints rather than choices, which is how they are often described, although Devitt believes that there is both constraint and choice in the use of genres.

Genre as biological species emphasizes how genres “evolve, spread, and decline” (p. 63). Swales cites Yates (1989) on the development of carbon paper in the late 19th century, which contributed to the emergence of the “memo” genre, and the development of filing systems. There are other biological metaphors, including “population pressure.” For example, the conference poster session as a genre grew out of the need for more people to make conference presentations, to report on work in progress, and a “semiotic shift to multi-modal” communication (p. 64). The “splitter-lumper” dichotomy is also found in genre analysis. Some people consider the research article to be one genre, others see separate genres (such as review article, report of research findings, and so on). In considering a dissertation that is a series of articles, for example, should

we lump by purpose or split because of textual differences?

Another metaphor for genre is that of family (p. 65). Fishelov (1993) explores this metaphor from a literary point of view, based on Wittgenstein's (1953/2001) philosophical exploration of the "family resemblances" of things like games, and Rosch's (1973) discussion of semantic prototypes, e.g., that a robin or sparrow is a prototypical bird, while an ostrich or penguin is more peripheral, but still has some essential qualities of "birdness."

A genre can be seen as an "institution" (p. 66). Just as a university is not just its buildings, but has "an institutional life of its own," so a genre is not just a product, "but a complex institution involving ... typified processes of production and reception and forming part of larger networks and the values they support." The lecture course, for example is "embedded within the institutional process of getting a degree" (p. 66).

Swales finds the metaphors powerful, enlightening ("thick," though he does not use this term), but still finds value in his original definition (communicative purposes) (p. 68). In looking at linguistic approaches to discourse analysis, he describes a continuum with formal and functional grammar at one end and "analyses of institutionalized use of language in socio-cultural settings with heavy emphasis on communication as social action" at the other (pp. 3-4). Examples of linguistic approaches are the register and genre analysis of SFL. The genre analysis of Swales and Bhatia are placed at the sociocultural end of the spectrum.

Bhatia (1993) describes "surface" and "deep" poles of analysis, similar to the thin vs. thick ethnographic description of Geertz (1973). The surface description consists of formal grammatical and syntactic characteristics, while "deep" description is of functional discourse characteristics. Register is a formal (thin) description of Field, Tenor, and Mode (p. 6).

Bhatia remarks that, “language description as explanation is genre analysis” (p. 10). Explanation is “thick” description. He describes three approaches to genre analysis: linguistic, sociological, and psychological. The psychological approach is “tactical” (p. 19), and “tactical choices” and “strategies” are available to members of discourse communities in manipulating genres.

Fairclough (2003) states that, “genres vary ... in their degree of stabilization, fixity, and homogenization. Some ... are well-defined almost to the point of being ritualized. Others ... are quite variable, and in flux” (p. 66). He also discusses genre mixing, and “interdiscursivity,” in which genres take on characteristics of other genres (pp. 34-35). Fairclough asserts that “genres are important in sustaining the institutions of contemporary society – structural relations between ... government, business, universities, the media” (p. 32), and says that “genres are a specifically discursive aspect of ways of acting and interacting in the course of social events” which vary in the degree of stability they display (p. 66).

Fairclough describes a number of aspects of text that are dependent on genres, including general structure, the semantic relations between sections of text, grammatical features, and intertextuality. Fairclough distinguishes “pre-genres” as described by Swales (1990), which include very general or abstract forms such as narrative, conversation, report. He also describes “disembedded genres” which are extracted from the network of social practices in which they originated and made available to other situations, e.g., the use of corporate advertising genres for self-promotion by cities (p. 69). Fairclough disagrees with Swales’s (1990) description of a genre as a “class of communicative events,” (p. 68), saying that “actual events ... are not ‘in’ a particular genre, they do not instantiate a particular genre – rather they draw upon the socially

available resources of genres in potentially quite complex and creative ways” (p. 68). Genres can be analyzed in terms of activity, social relations, and communication technology (p. 70).

Hodge and Kress (1988) discuss genre in the context of social semiotics and of “conformity and resistance” (p. 7). They describe genre rules as “exemplary instances of logonomic systems” and add that “genres are socially ascribed classifications of semiotic forms,” which “only exist insofar as a social group declares and enforces the rules that constitute them” (p. 7). Genres are normative logonomic systems, which are “imposed and resisted” (p. 7). They also discuss “style,” (which they use in the sense that it was used by Labov [1973]), “variation [which] serves to mark specific social agents and occasions within a broader language community” (Hodge and Kress 1988, p. 7), i.e., a register, although they do not use this term. “Genre regimes” are part of logonomic systems, which “use categorizations of texts to enforce constraints on the possibilities of meaning” (p. 266).

Miller (1984) takes a rhetorical approach to genre. She remarks that “the urge to classify is fundamental,” (p. 151), but resists that urge when defining rhetorical genres, asserting that a definition of genre “must be centered not on the substance or the form of discourse but on the action it is used to accomplish” (p. 151). Miller sees genre as a response to a “recurrent rhetorical situation” (p. 155), and refers to Halliday’s views on the semiotic structure of language in recurrent situations that are socially constructed (p. 157). She summarizes the implications of this theory of rhetorical genres, saying that genres are a “category of discourse based in large-scale typification of rhetorical action,” that genres have rules for interpretation and use, that “genre is distinct from form” but that it “serves as the substance of forms” and “help constitute the substance of our cultural life” (p. 163). Moreover, genre has a mediating role, between

“private intentions and social exigence” (p. 163).

Bazerman (1994, 1997, 2004) takes a rhetorical approach to academic and scientific writing, and views genre through the lens of activity theory, which originated in the psychological theories of Vygotsky (1978) and others. Bazerman (1997) looks at activity that is “discursively structured.” Important concepts from activity theory include the intentionality of human activity, the tools that humans create, and the mediation of activity by things such as discourse (Andersen, 2006; Russell, 1997). Scientific writing, in particular, is a means of making authoritative claims. Bazerman (2004) describes the sciences as a social semiotic system, whose code can be analyzed using SFL techniques. Bazerman observes that Saussure isolated *langue*, the linguistic code, but others brought linguistics forward, including the philosophical tradition of Austin (1962) and Searle (1969) (speech act theory), and later the sociolinguistic tradition of Malinowski, J. R. Firth, and others.

Andersen (2006) states that, “activity theory’s view on activity and tools comes close to rhetoric’s understanding of communication as purposeful activity and texts as something humans produce and use intentionally as tools in order to, change, shape or affect a given state of affair achieved by persuasive or strategic communication.” Andersen notes that SFL contrasts with this rhetorical view, since it “puts emphasis on formal textual features and thus expresses a more linguistically oriented concept of genre,” although both the rhetorical and SFL approaches see language as socially-situated. Andersen states that, “the concept of genre covers the characteristics that differentiate texts ... from each other. But this ... is not a matter of ... purely textual and formal features. To recognize a particular text type is to recognize a particular communicative situation and activity in which that type of text (genre) is used to accomplish a

given task.”

Genres in Organizations and Professions

Yates and Orlikowski (1992, 2002) and Orlikowski and Yates (1994) write about the use of genres in organizational communication. They write variously of genre repertoires, sets, and systems. They situate genres “within processes of organizational structuration” (1992, p. 300). Genres are “typified rhetorical action in the context of socially defined recurrent situations” (1992, p. 300). “A genre of organizational communication ... is a typified communication in response to a recurrent situation” (1992, p. 300).

Structuration (Giddens 1984) looks at “social practices ordered across space and time” (Yates & Orlikowski, 1992, p. 314) and the “balancing of agency and structure” results in the “duality of structure” (p. 314). There are “social rules” along with options to be chosen. Templates and forms embed rules, and there are degrees and types of “normative scope,” a continuum from universal to very limited (such as an internal genre used by one working group) (pp. 302-304). The level of abstraction in defining a genre is an important issue. For example, if “business letter” is a genre, is a “recommendation letter” a separate genre or a subgenre? To preserve the usefulness of the genre concept, one must balance definition with abstraction (p. 305). Yates and Orlikowski state that, “in structurational terms, genres are social institutions that are produced, reproduced, or modified when human agents draw on genre rules to engage in organizational communication” (p. 305). Genres change over time, as people interact with genre rules. They maintain, elaborate, or modify existing forms (p. 306).

The development of the genre “memo” is an illustration of this process of change. The memo is a genre with a “wide normative scope” used in organizations worldwide. Ideology led

to the emergence of this genre from the business letter. The form and register of the business letter were formal and polite, and used to communicate outside the organization. The memo is an internal genre, which emerged from the ideology of “systematic management.” Organizations needed to keep track of “documentation and use of internal information” (p. 314). There were “agents of standardization,” including technology such as the telephone and typewriter, as well as new occupational categories such as typist. Filing systems influenced the genre as well, and led to genre rules such as “one subject per memo,” so that it could be filed easily (p. 314). Recently we have seen the elaboration of the memo genre in email, which retains some conventions of the memo (addressing and subject lines) (p. 316).

Orlikowski and Yates (1994) describe genre repertoires. They view communication as action, and part of the emergent organization. Genres are a “recursive relationship between action and structure,” similar to Bourdieu’s (1977) concept of *habitus*. Genre is a “socially recognized type of communicative action.” Genre repertoires reveal things about organizations. The “repertoire” is similar to Swales’s use of “genre chains.” Communities use “multiple, different, and interacting genres over time.” The genre is a product of the community not the individual. Genres are “typified responses to recurrent situations within organizations.” Bazerman (1994) uses the term “genre system,” while Devitt (1991) uses “genre set.”

Yates and Orlikowski (2002) discuss “genre systems,” which are sequences of genres, again like Swales’s “chains.” They can be analyzed by answering the questions “who, what, where, when, why.” The authors state that, “genre systems are ... ways of organization the temporal, spatial, and social dimensions of interactions” (p. 14). They use the example of “job ad, job letter and résumé, invitation to interview” and so on (p. 15).

Yoshioka, Herman, Yates, and Orlikowski (2001) posit a “genre taxonomy,” which they describe as “a new type of knowledge repository ... which represents know-what (the constituent elements of genres of communication) and know-how and know-why (the typified social context of genre use)” (p. 341). They add that “the genre taxonomy represents the purpose, content, participants, timing, location, and form of communicative action” (p. 341).

Devitt (1991) looks at the function of texts in a professional community by examining the importance of text for tax accountants, whom she describes as “a professional community that is highly intertextual as well as textual” (p. 336). The types of intertextuality are generic, referential, and functional (p. 337). Of generic intertextuality, Devitt observes that “the understanding of genre as social action requires that a genre be defined by the genre’s users” (p. 338). She states that “texts form the accountant’s genre system, a set of genres interacting to accomplish the work of the tax department” (p. 340). Moreover, the genre set reflects, defines, and stabilizes the profession.

Referential intertextuality is the way texts refer to other texts. This reflects the nature of texts as resource and authority in the community (pp. 342-350). Functional intertextuality is the relationship among the texts that are assembled in the course of tax accounting, the documents, records, receipts, and so on, that are created by accountants and clients. These texts help create knowledge in the community (p. 351).

Russell (1997) looks broadly at genres in education, particularly in the context of teaching writing and research on writing. He looks beyond the metaphor of genre-as-conversation suggested by Bakhtin’s concept of dialogicality to genre as a system of activities used by organizations and communities. He uses the Activity Theory of the Russian psychologist

Vygotsky, who described tools and activities that are mastered as part of a child's development and are part of the resources of a culture, to explain genre as action.

Spinuzzi and Zachry (2000) speak of "genre ecologies," in an "open-system" model in which genres are dynamic but relatively stable. The ecology responds to "contingency," i.e., how people use the genres and how they change in response to use. The authors describe a genre ecology as an "interrelated group of genres ... used to jointly mediate the activities that allow people to accomplish complex activities" (p. 172). Spinuzzi (2004) examines four frameworks of genre "assemblages," contrasting perspective, model of action, agency, relationship between genres, and foregrounded genres. Spinuzzi looks at Devitt's (1991) genre sets, the genre systems discussed by Bazerman (1994, 2004), the "repertoires" of Yates and Orlikowski (1992, 2002) and Orlikowski and Yates (1994), and Spinuzzi's own genre ecologies. The axes of comparison are perspective, the point of view that determines the "assemblage"; model of action, i.e., how users and genres interact; agency, the actors in the genre framework ("asymmetrical" indicates that individuals are in control, while "symmetrical" indicates mutuality between individuals and genres); relationship between genres (sequentially in time or overlapping and simultaneous); the relationship between official, stabilized genres and unofficial, dynamic ones in the determination of which genres are foregrounded.

Organizational Communication

The workplace is a fruitful area for discourse analysis, and the conversations, interactions, and documents of the workplace are the subject of a number of analyses and approaches. Silverman (1993) discusses the ethnographic analysis of documents generated by organizations. Watson and Seiler (1992) use a Hallidayan linguistic analysis and help place texts

in their social context.

The analysis of spoken discourse is also relevant, since ideas such as turn-taking, etc., provide some interesting contrasts with written discourse. Goffman (1959, 1981), Boden (1994), and A. Firth (1995) provide some fascinating discussions of talk in the workplace and elsewhere. Tannen (1984) discusses cohesion in spoken and written discourse, with a focus on spoken interaction that provides an interesting background for a Hallidayan analysis of cohesion in written documents.

Other studies look more broadly at communication in organizations. Taylor and Van Every (2000) use a linguistic, systems theory, organizational development, and communications approach to assert that communication creates the organization, that the connections that people form is how the organization emerges. They extensively treat the linguistic topic “transitivity” (who is the agent, who is performing the action, who is undergoing the action, etc.) Yates and Van Maanen (2001) look at the role of information technology in the organization and its relationship to communication.

Academic Discourse

Hyland (2000) explores “social interactions in published academic writing” (p. 1). He looks through the lens of social interaction rather than that of cognitive moves or linguistic features. Texts “reveal something of the sanctioned social behaviours, epistemic beliefs and institutional structures of academic communities.” (p. 1). Bhatia takes a cognitive/mentalist view, while Lemke and Hyland look at text as collective action, and Swales takes a middle ground between the psychological and social.

Hyland discusses the social construction of knowledge, and contrasts models of

interaction, including Grice's (1975) cooperative principle, Brown and Levinson's (1987) work on politeness, and Goffman's (1959) views on the "presentation of self" (p. 15).

Academic writing adds to authorized knowledge, but discourse communities are not monolithic. There are disputes and marginalized views. Hyland suggests that they are like "tribes" or "cultures" (p. 8). In moving from ideational to interpersonal meaning, Hyland discusses the ideal presented by philosophical models such as Grice, vs. the more complex reality, described by Fairclough and others, who look at power relationships and the power differential of interactions (pp. 16-17). Bhatia (1993) also discusses interaction in texts, asking whether the author writes for an ideal reader. He cites Fairclough's discussion of the view that Grice's four maxims operate in texts. In order to apply them, writer and reader must be equals (p. 9).

In discussing academic genres, Hyland explores "disciplinary realities," and "discipline-approved realities" that are part of the social construction of knowledge within disciplines. He discusses the political aspect of academic communities. The political aspect of academic interaction is shown privileged genres, such as the research article (p. 155).

Bazerman and Paradis (1991) look at the use of texts in the workplace and in professions. They see writing as a "social action" that "structures our relationships with others and organizes our perceptions of the world" (p. 3). Like Halliday, Bazerman and Paradis place texts in a social context, and view "written discourse" as "produced by a complex of social, cognitive, material, and rhetorical activities," stating further that "professions maintain their organization, power, and activity ... through networks of texts" (p. 4).

Techniques for Discourse Analysis of Written Texts

The authors discussed here present a number of different approaches to the analysis of written texts. Many of them are based on SFL and an analysis of Field, Tenor, and Mode. SFL analysis (Halliday 1985) begins with constituent structure, the analysis of grammatical constituents (nominal, verbal, adjectival, and adverbial groups) and labeling them by their class or function, e.g., Noun/Adjective (class), or Head/Modifier (function). Syntactic and semantic analysis of the properties of clauses includes things like Subject (grammatical role), Actor (representation of a process), Theme (message). Clause structure consists of elements such as subject, predicator (verb), and complement (e.g., direct object or predicate adjective). The analysis of thematic structure (Theme/Rheme, i.e., new information and “residue”), voice, mood, and transitivity are also part of SFL analysis.

Transitivity encodes ideational meaning (Field): the processes that are occurring. Ideational meaning in a clause consists of Process, Participants and Circumstances. Process types include Material, Relational, Mental, Verbal, Behavioral, and Existential. Participants have roles such as Agent and Goal. Circumstances include indications of time and space.

Mood and Modality encode interpersonal meaning (Tenor): participants and their relationship and interaction. These aspects of meaning are encoded through grammatical mood (declarative, interrogative, imperative) and the modality indicated by the participants’ attitude (certainty, approval, etc.)

Theme and Rheme (given and new information) encode textual meaning (Mode): the syntactic and cohesive options that make a text fit together. Theme is the topic of a clause, while Rheme is the “residue.”

Swales (2004, p. 72-73) outlines two procedures for genre analysis. The first is text-driven and begins with a Field, Tenor, and Mode analysis, followed by a preliminary identification of the genre, the first iteration of the process of analysis, then analysis of the social or organizational context of the text, “repurposing” the genre (confirming or adjusting the preliminary placement) then putting the genre in its place in the chain or set of genres.

The second procedure is situation-driven and begins with identifying the discourse community and its communicative purpose, then analyzing “context of situation,” the “goals, values, materials conditions of groups in the situation, and the rules, expectations, and resources of community and communicative event. This approach ends with placing the text in a genre and then analyzing Field, Tenor, and Mode (step one of the text-driven approach). Swales uses “repurposing,” for “capturing ... investigative experience.” Repurposing is part of the iterative nature of genre analysis (p. 72). Swales considers the roles of participants in defining genre, including writers, readers, consumers, experts, and the texts themselves (p. 74).

Bhatia (1993) outlines seven steps in analyzing an unfamiliar genre. The analyst may use some or all of the steps (p. 22). His approach is “situation-driven.” It begins with analyzing the social context, seeking advice from the discourse community that uses the genre, tentatively placing the text in a genre and the genre in a context (social, cultural, professional), analyzing the intertextual relationships and the topic, subject, and extra-textual reality which the text is trying to represent, change, or use, and the relationship of the text to that reality (p. 23). After a preliminary definition of the genre, choose one “long, single typical text” (p. 24). Analysis includes Field, Tenor, Mode, and patterning of the text as a whole.

Bhatia uses as an example Swales’s (1981a) analysis of chemistry textbooks and the use

of nominalization as a characteristic of that genre (for compactness of meaning). Significant features vary across genres. For example, the use of Noun Phrase (NP) and nominalizations (creating a noun from a verb or process, e.g., “discourse analysis”) is very different in advertising, because adjectives are very important, and are “facilitators ... for positive product descriptions” (p. 28). Swales (1981b) describes a “four-move cognitive structure” for research articles. The rhetorical moves “realize a particular communicative intention.” Bhatia (1993) describes “moves” as rhetorical choices that are part of the cognitive aspect of language. The “analyst double checks his findings against reactions from a member of the discourse culture in which the genre is routinely used” (p. 113). The check is for “validity” and “psychological reality,” and for “explanation” and not just “description” (p. 113). (Bhatia advocates “thick” or “emic” analysis).

Bhatia’s approach to genre analysis can be summarized as identifying a communicative purpose, providing a structural description, and describing “cognitive structuring” (p. 113). There is a correlation between form and function (p. 83). Swales (1990) outlines the CARS model: “Creating A Research Space.” He identifies three (cognitive) moves: establish a territory, establish a niche, occupy the niche.

Lemke (1998b) discusses how language creates relationships between participants. One way is through evaluative meaning Lemke states that we take a stance toward the text, content, and reader/listener. He identifies the following “classes of evaluative attributes,” which he discusses in the context of the heteroglossic discourse voices found in social communities. Discourse encodes ideational meaning, but also “axiological” meaning; that is, value-orientation.

Lemke’s seven dimensions of value orientation are:

Desirability / Inclination: *Wonderful / Horrible*
 Warrantability / Probability: *Possible/Doubtful*
 Normativity / Appropriateness: *Necessary/Appropriate*
 Usuality / Expectability: *Normal/Surprising*
 Importance / Significance: *Important/Significant*
 Comprehensibility / Obviousness: *Understandable/Mysterious*
 Humorousness / Seriousness: *Hilarious/Ironic/Serious*

Lemke illustrates these pairs with model sentences: *It is very [wonderful/horrible] that John is coming.*

Lemke points out the similarities of his categories with “Halliday’s analysis of *modality* in the clause” (Halliday 1985, p. 334-340). He adds that, “there are many lexicogrammatical ways to realize these semantic options, e.g.:

John must be coming. (Modal auxiliary)
John is certainly coming. (Modal adverb)
It is certain that John is coming. (Evaluative epithet/Objective orientation)
I am certain that John is coming. (Evaluative epithet/Subjective orientation)
It is a certainty that John is coming. (Evaluative nominalization)
I know that John is coming. (Modal projection: mental process)

Fairclough (1989) uses a method influenced by SFL to analyze discourse. His purpose is more pointed—to discover and critique power relations. His model of analysis is based on the idea that discourse consists of options chosen from the resources available to discourse communities (pp. 110-111). He presents an instrument for analyzing texts that asks questions about Field, Tenor, and Mode: vocabulary, grammar, and text structures, including experiential, expressive, and relational values of the lexicogrammar of the text, what modes (declarative, imperative, etc.) and modalities are present, what cohesive devices and structural elements are present in the text.

Fairclough (2003, pp. 191-194) has a checklist of questions to be used in analyzing a text that cover the questions about Field, Tenor, and Mode from the 1989 questionnaire, as well as adding questions about social events, practices, and actors, genres, discourses, assumptions, and intertextuality:

Selected Applications of Discourse Analysis

There are many studies that use SFL or an analysis of Field, Tenor, and Mode. The applications reviewed here are primarily those that look at the discourse of the academy, science, research, or librarianship. A number of studies have used these discourse analysis techniques on written and spoken texts from various communities. Yeom (2005) looks at the discourse of teacher education through the lens of CDA. Vaughan (1994) also uses Fairclough's CDA approach to analyze newspaper editorials. Morrow (1989) attempts to describe an English "business register" by examining written texts.

Holschuh Simmons (2005) discusses the application of genre theory to instruction in information literacy by librarians. She proposes using genre theory to introduce students to the discourse of various disciplines and move toward Critical Information Literacy, a version of Freire's (1970) critical pedagogy.

Lemke (1999a) writes interestingly of the heteroglossic discourse formations found in an academic library. He observes that, "every library function, from the circulation of materials to reference assistance and instruction in library use, is affected by the digital revolution." He describes the efforts of an academic library to revamp its website, and how this undertaking revealed the institution's predominant discourse voices, those of reference, instruction, and collection development. Lemke describes the discourse formation associated with those voices

and how they are represented in the discussion.

Leino and Lundmark (2006) look at discourses of librarianship through the lens of Fairclough's CDA and gender, and find a traditional discourse, an information technology discourse, and a market economy discourse. The authors looked at the literature of public librarianship in Sweden and examined the description of the responsibilities of librarians. The discourses were found in librarians' own description and discussion of their work. The discourses create heteroglossic oppositions, with the traditional discourse feeling the profession threatened by information technology, while the discourse of information technology seeks to free librarians from mundane tasks and leave them free for truly professional responsibilities. The market economy discourse is in opposition to both these, and sees librarianship as an "enterprise," in which users are "customers."

Reid (2005) illustrates Lemke's (1995b) use of the term "discourse formation." He analyzes texts produced by Australian universities to, "discern the dialogical relationships between distance education and quality assurance." He takes a CDA approach to analyze the discourse formation of online education and that of quality. Lemke (1995b) uses both "discourse formation" and "voice" to refer to the way separate ideologies and points of view are represented in texts. Reid found heteroglossic opposition in the texts he examined between the desire to adopt new technologies and new practices as part of the world of online education, and universities' ideas of what constitutes "quality." He observes that, while these discourse formations have been generally unrelated, they will certainly influence each other in the future.

Ostrow (1998) discusses library culture in the electronic age. Her study is not specifically an analysis of discourse, but its approach uncovers the heteroglossia of the organization. She

explores the effect of computerization on library organization and culture, describing the “occupational culture” (p. 9) of librarians, which she claims resists change and technological advances, although the reaction of individual librarians varies. She discusses the “sense-making apparatus ... affected by technology” (p. 10).

In studying the culture of “Minerva College,” she uses Giddens’s (1984) structuration theory, in which an “organization’s culture is an ongoing process continually creating and recreating itself through interaction between members of the organization.” The culture includes, “norms, values, heroes, rites and rituals, communication network.” The theory includes a three-dimensional “thick” description: of the dominant culture, the differentiated culture, and the fragmented culture, i.e., the heteroglossic opposition in the ideology of the organization.

Most Minerva librarians were tenured assistant professors who had been grandfathered into the tenure system in the 1960s. Those hired after 1991 had a newer outlook and approach. The library at some point decided that a bibliographic instruction program and the adoption of technology would “legitimize” their faculty status (p. 100). Bibliographic instruction is described as a “belief system” in which the public services part of the organization dominates. The librarians’ instructional role grew as technology was implemented.

Ostrow discusses the values of the library vs. institutional values in the promotion and tenure process, i.e., “service” vs. scholarship (p. 119-128). The library developed guidelines that recognize the nature of librarianship and the professional activities and contributions of librarians, but which also required scholarship, an attempt to preserve the unique character of librarians but integrate that into a model of faculty status. This took place in the 1980s and 1990s, when teaching faculty were having their own struggle with things like the role of teaching

itself (p. 124). Ostrow concludes that, “despite the fact that the guidelines document seeks to establish librarianship as a parallel accomplishment, the lure of the classroom remains strong” (p. 128).

Bernhardt (1981) looks at scientific prose from an SFL point of view, examining structure and rhetoric. Form follows function, and scientific texts are “visually informative,” with white space, indents, and so on. The author describes three systems of text organization: visual, conventional, and participant, which are three continua of rhetorical organization. Participant organization is dialogic. This dissertation is an extension of Halliday and Hasan (1976) that looks at the patterning of whole texts, which was not addressed by Halliday and Hasan.

Bernhardt explores register and sees situations as sources of language variation. He looks specifically at scientific writing about ecology. Influences include things like the documents such as environmental impact statements that are required by the National Environmental Policy Act (NEPA) (pp. 78-79). Bernhardt begins with the visible text, including analysis of paper, graphics, etc., which give information about provenance and authority. He discusses the concept of “corporate authorship” of these texts (p. 89). He looks at representative texts and measures how conventional or normative they are.

Bernhardt looks at the patterning of whole texts. Patterned texts become “conventionalized forms,” which leads to “ossification” (p. 131 ff.). “Stock formulae” (p. 132) emerge over time in both written and spoken texts and “existing forms can be examined and adapted to better suit new situations” (p. 133). (This is what other authors have termed the “elaboration” of genres).

The visible organization and conventional organization of texts are related and primarily

reflect Field and Mode (p. 131). The participant organization reflects Tenor and interpersonal meaning (p. 172). There is a continuum in texts from Interactive to Impersonal, identified by characteristics such as the use of pronouns. Interactivity is a measure of Bakhtin's "dialogic qualities" (p. 186). He sums up genre and register, saying, "to write of genre, or register, determining conventions is to suggest that appropriate linguistic behavior must be judged within a situational context. What a reader may tolerate in the newsletter register ... is surely quite different from what the same reader would tolerate in another register, such as a laboratory report" (p. 192).

Beene (1981) examines student papers, looking at cohesion. She states that, "text is not a quantifiable unit of language, but one describable in terms of the pragmatics of written English and the cohesive structure for which pragmatics is the framework" (p. i). She defines pragmatics as "how language is used by humans to communicate" (p. 2). "Quantifiable" refers to content analysis and syntactic analysis techniques, used to measure maturity of student writing style, and so on. Beene proposes a "discourse model" (p. 16) of text analysis, using pragmatics and cohesion. "Pragmatic constraints" (p. 11) include register, interaction, and cohesion. "Cohesive markers" (p. 12) must be appropriate, in that the content must match the register. Beene uses the Halliday and Hasan (1976) taxonomy of cohesive markers, e.g., conjunction, ellipsis, etc. She analyzes the texts according to context and communicative purpose, i.e., a functional and semantic analysis.

Couture (1986) uses a system network identify ideational, interpersonal, and textual meaning in student papers. She states that, "we judge texts based on our expectations of genre and function" (p. 82). System networks are semantic. Student papers were judged high, middle,

or low based on how well they met the expectations of genre and register. Those that did not meet expectations had more than mechanical errors—they did not match genre and register expectations for mode.

Shaw (1983) takes an Ethnography of Speaking approach to the language of engineering professors, particularly in the lecture genre. He does a register analysis of the lecture genre. The literature proposes two styles, formal and informal, as well as phonological styles: reading, conversational, and rhetorical (the lecturer as performer) (pp. 65-66). Intonation, lexis, organization, and syntax of lectures have been studied. The lecture has been critiqued as a teaching method, and the critique is implicit (or explicit) in the analyses.

Shaw uses Hymes's "SPEAKING" analysis of a speech event. (Hymes [1974, p. 55] used the mnemonic "SPEAKING" to analyze a speech event in this way: Setting and Scene, Participants, Act Sequence, Key [tone or manner], Instrumentalities, Norms, Genre). Shaw compares the engineering lecture to a kind of "master-apprentice" interaction with talk and demonstration (blackboard work). He does a Gricean analysis of Quality, Quantity, Relation (relevance), and Manner (clarity). Shaw covers engineering instruction from the ESL point of view, teaching non-US students to use the academic register, the genres of academe, including syntax, lexis, discourse markers, interaction, and so on.

Rottweiler (1984) analyzes the devices of systemic cohesion associated with the register used in "general academic written texts," using excerpts from two scholarly journals. She finds that lexical cohesion is most common, more common than grammatical cohesion, such as conjunction, or ellipsis, etc. She lists ways of classifying language variation: style, a "continuum of social distance between speakers-writers and hearers-readers"; level, a "continuum of social

acceptability”; and register, not a continuum, but based on “discrete units” (of Field, Tenor, Mode). The register analysis is mostly set in the context of teaching EAP and ESP to students who are not native speakers of English. Rottweiler’s study has quantitative, frequency-analysis aspects.

Chapter 3: Methodology

Introduction

This study has its origins in a frustration with academic library websites and with surveys of faculty status for librarians. It began with the question, “Can I find out from the library’s website whether the librarians at a particular university are faculty?” In many cases, the answer was either, “no,” or “not very easily,” although the answer could generally be found elsewhere on the university site. The original question, however, had as much to do with the presentation of faculty identity by librarians as it did with the information itself. Published surveys of librarian status seemed equally opaque and uninformative, although in a different way. The studies present the information free from any organizational context. While that data is useful, there are still questions about what it really means.

The questions needed both quantitative and qualitative methods to find a satisfying answer. The websites of the libraries and their parent institutions could be searched to yield data about status, rank, tenure, and so on, and that data could be further illuminated by an analysis of the texts which represent librarians as a collegial or professional body.

Research Design

Mixed Methods

This is a mixed methods study with both quantitative and qualitative components. A mixed methods approach was chosen to shed more light on the question of librarian status than could be accomplished with either of the methods alone. The quantitative data is similar to surveys that appear periodically in the professional literature, and it demonstrates significant trends in the population. Likewise, a genre and register analysis of appointment documents

reveals interesting things about the communicative event and the discourse community. The two kinds of data together, however, have more explanatory power and provide a “thicker” description of the culture and community.

Creswell (2003, p. 217-218) describes two mixed methods strategies that are applicable to this study. The first is concurrent-triangulation (p. 217), and the second is concurrent-nested strategy (p. 218). Using a concurrent-triangulation strategy, the researcher gathers quantitative and qualitative data concurrently, with more-or-less equal weight given to both. The strategy is used to “confirm, cross-validate, or corroborate findings” (p. 217). Characteristics of concurrent-triangulation can be seen in this study. The “flatter” quantitative data is strengthened and enhanced by the multidimensional qualitative data. The more subjective qualitative data is strengthened by the relative objectivity of the quantitative data. At the same time, the study has characteristics of a concurrent-nested strategy, in which one method is predominant, and the other method is “nested” in it. The qualitative data is predominant in this study (if one must choose), and the quantitative data is used to provide one kind of structure for it.

As the quantitative data was gathered, a corpus of texts was also assembled. The quantitative data was then analyzed to devise a status typology, and the discourse of the texts began to be analyzed. As the analysis of each type of data progressed, it had an influence on the other type. The typology data was changed and updated during the qualitative phase, because the qualitative data provided further information and clarification. Likewise, the emerging typology data had an effect on the analysis, coding, and categorization of the characteristics of the texts being analyzed. A typology of librarian status at land grant universities (n=50) was created by gathering data on rank, tenure, governance, and administration. Representative appointment

documents, which give criteria for appointment to particular ranks, and for promotion and tenure, from libraries in each of the status types were analyzed using the FTM/G-R instrument. This design provides a map of the landscape of librarian status in a coherent and homogeneous population, and illuminates that status further by analyzing the texts that encode the implementation of that status.

Restatement of the Problem

Academic librarians have sought recognition of their expertise and qualifications and a role that gives them participation in the teaching and research mission of the institution. Librarians at US colleges and universities frequently have faculty status. Faculty status for librarians is still a topic for debate among some librarians, administrators, and teaching faculty. The debate is over the qualifications, characteristics, and responsibilities of faculty, and whether librarians share them. The implementation of faculty status for academic librarians is not uniform. Data on what models exist and how they are distributed might clarify the arguments for and against faculty status.

This study has a two-fold purpose. The first is a description and categorization of librarian status at American land grant universities. The second is an examination of the discourse of that status. This is a mixed methods study that uses social constructivist and pragmatic knowledge claims (Creswell 2003) to explore the status of academic librarians at land grant universities in the United States, using both quantitative and qualitative methods. The quantitative portion is descriptive in nature, using data gathered from the institutional websites of the primary 1862 land grant institution in each state. The data is used to create a typology of librarian status.

The second purpose is a qualitative examination of the discourse of librarian status using written texts from land grant universities. The discourse analysis instrument examines Field-Tenor-Mode /Genre-Register (FTM/G-R). Documents that describe criteria for librarian appointment, promotion, and tenure from institutions that represent categories in the status typology have been analyzed.

Research questions:

1. What are the types of status for academic librarians in land grant institutions?
2. What are the characteristics of those types?
3. How do the texts of appointment documents reflect librarian status?
4. What are the Field, Tenor, and Mode characteristics of the texts?
5. What genres are represented?
6. What registers are used?

Delimitations and Selection of Population

When this study was first undertaken, the population included all public universities in the US whose libraries are members of the Association of Research Libraries (ARL), plus any land grants whose libraries are not ARL members (n=89). That population was subsequently limited to the 1862 land grant university in each state (n=50). The land grant institutions created by the Morrill Act of 1862 are shown on a map published by the US Department of Agriculture (2003). Limiting the population to land grants provides a manageable number of institutions that have a common mission. The population presents basic similarities as well as interesting differences. They are geographically diverse and vary widely in size. They are all state universities with the exception of Cornell University.

Instrumentation and Materials

The instruments used to analyze the data are a Microsoft Excel spreadsheet and SPSS for the quantitative data, and the FTM/G-R discourse analysis questionnaire for the qualitative data. The quantitative methodology is a variation of the survey method. The population is small enough that sampling was not necessary. Rather than creating a questionnaire and asking libraries to self-report this data, it was sought on websites that provide information about the institution. The questions had a limited number of possible answers, either Yes/No (e.g., tenure status) or three to four possibilities as with administrator title or rank system. With each of the questions, the number of possible answers was not predetermined, i.e., there could have been any number of possible administrator titles or rank systems.

The qualitative methodology is a standard approach to discourse analysis. The literature of linguistics has numerous examples of Hallidayan Field, Tenor, and Mode studies of many kinds of texts from different communities, with resulting register and genre analysis, e.g., Bernhardt (1981), Beene (1981), and Rottweiler (1984). The instrument was adapted from a text analysis instrument for students, which succinctly summarizes the most important elements of Field, Tenor, and Mode. It is congruent with textbooks and other sources that describe SFL and Hallidayan register analysis. The researcher has piloted this technique of discourse analysis five times: using academic librarian vacancy announcements, school district diversity policies, library paraprofessional staff job descriptions, University of Idaho *Faculty-Staff Handbook* 1565, “Academic Ranks and Responsibilities,” and academic library strategic planning documents as the texts being examined.

The researcher role is to gather and interpret all the data. The researcher has been a

library faculty member at three of the libraries in the population, and has knowledge of the organizational and governance characteristics of land grant universities. In addition, the researcher has a master's degree in English whose course content and thesis topic were all in linguistics, as well as fifteen hours in linguistics beyond the master's.

Answering the Research Questions

The research questions are:

1. What are the types of status for academic librarians in land grant institutions?
2. What are the characteristics of those types?
3. How do the texts of appointment documents reflect librarian status?
4. What genres are represented?
5. What registers are used?
6. What are the Field, Tenor, and Mode characteristics of the texts?

Questions 1 and 2 are answered by the quantitative data. Questions 3-6 are answered by the FTM/G-R analysis of appointment documents.

Procedures for Data Collection

Data Sources and Collection Techniques

University websites were the sources of data on the status of librarians. Data gathered included:

- University employee group (faculty or staff)
- Title of library administrator (dean, director, etc.)
- Rank system (e.g., professorial; parallel: Assistant Librarian, Associate Librarian; Librarian I, II, III; other)

- Tenure eligibility
- Representation on faculty senate

A summary of the typology data is found in Appendix C. The information is readily available on university websites. It is contained in organizational charts, personnel documents (including appointment, promotion, and tenure documents, faculty handbooks, policy manuals), vacancy announcements, and so on, on sites maintained by the library and/or by the provost, president, senate, governing board, or HR office. While the information is not found consistently in the same place or in the same kind of document, it is nearly always stated clearly and unambiguously. There may be other ambiguities in these texts, but the legal significance of appointment, promotion, and tenure procedures has produced documents that make it clear what the faculty ranks are and what the criteria for appointment are (even if there are ambiguities in the interpretation of those criteria). This is descriptive data, factual and non-controversial. Data was found by going to the main university website, e.g., www.unl.edu (University of Nebraska—Lincoln), and using a number of different search strategies, including

- Searching for a faculty handbook, university policy handbook, or similar document.
 - Searching within that handbook for faculty promotion criteria and for specific information about librarian status
- Searching for information on the university's academic affairs website
- Searching for information on the university's faculty senate website
- Searching for information on the library website
- Searching the entire website using a number of sets of keywords, including:
 - librarian criteria

- librarian promotion
- librarian tenure

Documents retrieved included handbook sections on university-wide faculty appointment criteria and appointment documents specifically for library faculty. Both kinds of documents were often embedded in a much longer document that includes timetable, participants, and procedures for conducting faculty appointment, promotion, and tenure.

The data was compiled in a spreadsheet as it was collected. The spreadsheet had university names in rows, with columns that specified the elements listed above (employee group, and so on). More data was collected than was used in this project. For example, the spreadsheet includes columns indicating membership in the Association of Research Libraries (ARL), the reporting line of the university's information technology administrator, and whether the librarians have a research and publication requirement. Those elements were not used in the final study, although the question of research and publication is considered in the analysis of appointment documents. The spreadsheet was imported into SPSS with the following variables:

- Name [University name]
- Group [Employee group]
- Administrator [Library administrator title]
- Rank [Librarian rank system]
- Tenure [Tenure eligibility]
- Senate [Faculty senate representation]
- Type [Status type]

The variables are all categorical. The “name” variable is a string that contains the name

of the university. The other variables were defined numerically according to the number of possible values found in the population. The data was standardized after it was imported into SPSS so that the numerical values could be assigned. For example, in the spreadsheet, specific titles were recorded, e.g., “Dean of Library Services,” “Dean of Libraries,” or “Dean of Libraries and Learning Resources.” In SPSS, those values were all recorded as “Dean.” The “type” variable was added to the data in SPSS after all the other information was collected and analyzed.

Values for numeric fields:

Group:

Faculty = 1

Staff = 2

Administrator:

Dean = 1

Director = 2

University Librarian = 3

Other = 4

“Other” generally indicates “Vice Provost” or a similar title.

Rank:

Professorial = 1

Parallel = 2

Librarian = 3

Other or unknown = 4

Tenure:

Yes = 1

No = 2

Staff with continuing appointment = 3

Senate:

Yes = 1

No = 2

Type:

Professorial =1

Other ranks with tenure=2

Other ranks without tenure =3

Staff (non-faculty) = 4

The second source of data is appointment documents for librarians. The documents were compiled during the same search process that uncovered the quantitative status data. The documents were downloaded, saved, and printed, and their web location was bookmarked and recorded in a list. A list of appointment documents from each institution is found in Appendix F. In seventeen cases, no document that specifically addressed appointment criteria for librarians was found, although in many of those cases, there was specific reference to librarians in the general university appointment document. The printed documents were coded with the number that corresponds to the status typology.

Data Management

The data was stored in Microsoft Excel spreadsheet files, SPSS data and output files, and

Microsoft Word and HTML documents. The tables and charts from the SPSS output were copied into the main Word document that contains the dissertation. Data was backed up in a number of ways, including the UNL University Libraries' employee document server, which is backed up frequently, the use of a web-based file storage site, the use of web-based document editing sites, including the Google Docs and Spreadsheets site, and by using email attachments to create a backup. The Google Docs and Spreadsheets site was also used as a place to store the discourse analysis journal and other notes.

Ethical Considerations

Confidentiality is not an issue in this study. The information is all taken from publicly-available websites. The UNL Institutional Review Board (IRB) stated that this project does not need its approval. Specific texts from particular universities are analyzed. While the texts are discussed candidly and sometimes critically, an effort has been made to do so respectfully.

Bias

There is a potential for researcher bias in this study. The researcher is an academic librarian, a member of the discourse community being examined, and has been employed by three different land grant universities, as well as having been a student at a fourth. While this provides considerable insight and considerable familiarity with the documents and practices being examined, it also presents the danger of a lack of objectivity. Likewise, the researcher's strong belief in faculty status for academic librarians, and in a model of faculty status that is essentially the same as that of teaching faculty, presents an opportunity for bias in collecting and analyzing data. Every effort has been made to remain aware of those biases and to be open to discovering things in the data that do not support them.

The data on librarian status is factual and generally objective, although there is a degree of bias inherent in the framing of questions, choice of population, and decisions about what data to gather. The second part of the project, the discourse analysis, is more subjective, although both are iterative: discerning patterns requires repeated passes through the data, and all data may be reinterpreted as patterns emerge and insights are arrived at qualitatively.

Procedures for Data Analysis

The data on status were first compiled in a spreadsheet as described above. The data was sorted and displayed in charts using Excel. That step helped find and correct errors, and led to the choice of data elements for the typology. Of the data that was initially collected, only the data on employee group, administrator title, rank system, tenure status, and senate representation were retained for analysis with SPSS. The corrected spreadsheet was imported into SPSS with the variables coded as described above. The first step in analysis was the frequency distribution of each variable. A frequency table and pie chart were created for each variable. The second step was cross tabulation of each variable with all the others. This was done using pairwise comparisons, e.g., employee group was cross tabulated with administrator title, rank system, tenure status, and senate representation; administrator title was cross tabulated with rank system, tenure status, and senate representation, and so on. A table and bar chart were created for each cross tabulation.

The result of that analysis was used to create a typology, a system of status types. The typology is based on employee group, rank system, and tenure status. The typology reflects clusters of characteristics. Some combinations are common, others rare or nonexistent. The data is presented as tables and charts, with a narrative that describes each status type. The types are

coded with a descriptive name and a number.

Appointment documents for librarians from institutions that represent each status type were identified, compiled, and sorted into the type categories, i.e., documents were identified as belonging to type 1, 2, 3, or 4. The texts were analyzed using the FTM/G-R instrument to examine linguistic features, and to identify genre and register characteristics. The process is an iterative one, in which repeated passes through the data discover new features and relationships. Features and categories emerged from the iterative approach to analysis.

FTM/G-R Discourse Instrument

([Appendix E] Adapted from Měchura [2005])

Field: What is the text about? Ideational meaning (Experiential and Logical); Semantic domains; Transitivity (Process, Semantic and Grammatical Roles, Circumstance)

Tenor: Who are the participants? Interpersonal meaning. Author, Audience, Relative status (Speech functions), Social distance, Personalization, Standing, Stance (Attitude, Agency, Modality)

Mode: What makes the text a text? Textual meaning. Spoken/written, Action/reflection, Interactivity, Schema, Patterning, Thematic organization (Theme and Rheme, Macro-theme, Hyper-theme, Clause theme), Cohesion (Lexical, Logical), Intertextuality, Discourses (Ideology, Voices)

Genre and Register: What genres are represented by the texts? (Registers are language varieties that underlie genres). What registers are used in the text? (Field, Tenor, and Mode are the variables that determine register).

The procedure for the FTM/G-R analysis is to select a document, and begin asking the

questions posed by the instrument, beginning with the general Field and Tenor questions: what is this text about? Who are the authors and audience of this text? As individual documents were analyzed, and as more documents were examined and compared, answers to all of the questions and all elements of the FTM/G-R instrument were compiled, e.g., what are the cohesive devices present in the text; how is transitivity expressed, etc. Observations were recorded on the printed copies of the documents and in a discourse analysis journal. In that journal, salient features of the texts gradually emerged, along with examples found in specific texts. That procedure can be compared to the “constant comparative” method of Glaser and Strauss (1967) whose description of Grounded Theory—theory that is grounded in the data itself—includes the continuous and iterative examination of data that yields categories, themes, and theory that “emerges” from this process. The phases of analysis included:

- The first passes through all the documents, examining and making notes on all of them at least once
- The close analysis of two to four documents from each category in the status typology, making further notes and observations
- The re-examination of all the other documents, noting further similarities and differences

The process of examining documents, making notes, comparing, and coding could continue indefinitely, until every word of every document had been analyzed and commented on. Practically speaking, however, there comes a point where a sufficient number of documents have been examined a sufficient number of times, and the categories and labels that have been generated are sufficient for producing an analysis of the texts.

After individual documents were analyzed, the FTM/G-R instrument was used to analyze

the documents as a group, integrating the observations that were recorded about particular documents. The analysis of the register variables Field, Tenor, and Mode led to the description of the register itself, and the genre which it is a part of. The discussions of genre and register integrate and synthesize the more atomized discussion of Field, Tenor, and Mode. While the instrument, and the analysis of Field, Tenor, and Mode in general, provide for detailed consideration of every aspect of the lexicogrammar of a text, every aspect is not equally striking, prominent, or interesting. There will be only a passing consideration of some elements, and a more in-depth discussion of others.

Validity, Reliability, Transferability

Validity is the measure of how well an instrument provides the data that is sought (Wallen & Fraenkel, 2001, p. 86). The quantitative instrumentation worked very well. University websites are a source of information for many different audiences. One audience is the employees of the university. Information on appointment, promotion, and tenure, and similar topics, stated very plainly, is readily found on most university websites. While there were ambiguities in some of the data, those ambiguities were revealed by the instrument, rather than being created by it. That is, asking “are the librarians at this university faculty or staff?” led to the revelation that the division between those two categories is not always clear. Reliability is a measure of the consistency of the instrument between subjects (p. 86). The instrument worked very reliably. The information was found consistently on nearly every university website, in one of a number of places. There was only one case (North Dakota State University) in which there was no information on librarian appointment on the university website.

The FTM/G-R instrument proved likewise valid and reliable. It is succinct but

comprehensive, and divides Field, Tenor, and Mode into manageable segments. The questions could be applied to any individual document, e.g., “what are the speech functions in the clauses in this document,” and the observations on individual documents could be compiled and the FTM/G-R instrument used to organize them.

Mississippi State University’s library promotion and tenure document (<http://library.msstate.edu/library/policies/pt2006.pdf>) has a list of Carnegie Research I institutions and their status, and this list was used to triangulate the typology data. It indicates whether librarians at Carnegie I institutions have faculty status, rank, and tenure. It includes both professorial and parallel ranks in the category “faculty rank,” and notes where there are “librarian” ranks. It shows “academic status” and “academic staff” status separately, i.e., in the column where faculty status is indicated with “Y” or “N,” “N” means academic staff, but libraries with “academic status” have a “Y” in that column. Arizona State University says “Y” for faculty status, and Delaware says “N,” as do Massachusetts and Maryland. In the data for this project, librarians at Arizona State University and the University of Massachusetts are designated staff, while those at Delaware and Maryland are designated as faculty.

Member checking on this data was performed by Felix Chu, a library faculty member at Western Illinois University, who has a PhD in Educational Administration in addition to a Master’s in Library Science. He checked approximately 25% (n=13) of the population, which he chose using a random number generator, to determine university employee group, title of library administrator, rank system, tenure eligibility, and representation on faculty senate. The results are found in Appendix D. There are three areas where this data does not match the data compiled by the researcher: the rank system at the University of California, and the employee group of

librarians at Michigan State University and the University of California. Dr. Chu designates University of California librarians as faculty with “professional” rank, and Michigan State librarians as staff. The difficulty of identifying librarians as faculty or staff at certain institutions is discussed in chapters 4 and 5.

The results of neither the quantitative nor qualitative portions of this project are transferable to other populations. The fact that a certain percentage of land grant university libraries is headed by a “dean” does not predict that any other population will show that same result. Likewise, the fact that the documents compiled here have a number of features in common does not predict or assert that documents from another population will show those features. The methods, however, could easily be transferred to another population of libraries, for example, ARL institutions, various Carnegie classifications, institutions in a particular region, and so on. The instruments could be used to compare populations and yield valid and reliable results.

Chapter 4: Results

Introduction to Chapter Structure

This chapter begins by describing the quantitative data and resulting status typology. That data answers research questions 1 and 2:

1. What are the types of status for academic librarians in land grant institutions?
2. What are the characteristics of those types?

The typology is presented first, with a frequency table and pie chart showing distribution. After that, there are frequency tables and pie charts of each data element that was gathered (employee group, administrator title, etc.), followed by cross tabulations of each element with a table and bar chart. This is followed by a general discussion of the typology data.

The qualitative data comes next and answers research questions 3-6:

3. How do the texts of appointment documents reflect librarian status?
4. What are the Field, Tenor, and Mode characteristics of the texts?
5. What genres are represented?
6. What registers are used?

The discourse analysis follows the order of the FTM/G-R instrument. Question 4 is addressed first, followed by questions 5 and 6. Question 3 is an overarching question that is addressed by the analysis as a whole.

Field is analyzed first, considering the following questions and elements, in this order:

Field: What is the text about? Ideational meaning (Experiential and Logical); Semantic domains; Transitivity (Process, Semantic and Grammatical Roles, Circumstance) (Question 4: What are the Field, Tenor, and Mode characteristics of the texts?)

Tenor is analyzed next, in this order:

Tenor: Who are the participants? Interpersonal meaning. Author, Audience, Relative status (Speech functions), Social distance, Personalization, Standing, Stance (Attitude, Agency, Modality) (Question 4: What are the Field, Tenor, and Mode characteristics of the texts?)

Mode is analyzed next, considering the following:

Mode: What makes the text a text? Textual meaning. Spoken/written, Action/reflection, Interactivity, Schema, Patterning, Thematic organization (Theme and Rheme, Macro-theme, Hyper-theme, Clause theme), Cohesion (Lexical, Logical), Intertextuality, Discourses (Ideology, Voices) (Question 4: What are the Field, Tenor, and Mode characteristics of the texts?)

Questions 5 and 6 are then addressed in a discussion of genre and register that synthesizes the elements that were reviewed in the Field, Tenor, and Mode sections.

Genre and Register: What genres are represented by the texts? (Registers are language varieties that underlie genres). What registers are used in the text? (Field, Tenor, and Mode are the variables that determine register). (5. What genres are represented? 6. What registers are used?)

Following the discussion of genre and register are the texts of eight appointment documents, two from each of the status types identified. Those documents are analyzed to illustrate and expand on features that were discussed in the FTM/G-R analysis. Comments and analysis are enclosed in a border, in Arial font that contrasts with the text of the document itself.

Response to Research Questions 1 and 2: Land Grant Librarian Status Typology

The data on librarian status shows interesting patterns that readily yielded a satisfying typology. The analysis of appointment documents sheds further light on that typology, although the similarities among documents are more striking than the differences. The types are not

distributed equally through the population. That is a normal finding in this data, as it would be in typological linguistics. Some types are common, others less so.

The data on employee group, administrator title, rank system, tenure status, and senate representation that was gathered on the fifty land grant university libraries in the population studied is found in Appendix C. The data was analyzed to find frequencies and to cross tabulate results. A typology of status was created after analyzing the frequencies and cross tabs. The typology is primarily based on fundamental status: faculty or staff, and then on a combination of rank system and tenure status.

Table 2. Summary of Frequency Data

Status Type	Frequency	Percent
1: Professorial	21	42
2: Other ranks with tenure	14	28
3: Other ranks without tenure	5	10
4: Non-faculty (Staff)	10	20
Total	50	100
Employee Group		
Employee Group	Frequency	Percent
Faculty	40	80
Staff	10	20
Total	50	100
Administrator Title		
Administrator Title	Frequency	Percent
Dean	30	60
Director	7	16
University Librarian	9	18
Other	4	8
Total	50	100
Rank System		
Rank System	Frequency	Percent
Professorial	21	42
Parallel	13	26
Librarian	14	28
Other or undetermined	2	4
Total	50	100
Tenure Eligibility		
Tenure Eligibility	Frequency	Percent
Yes	34	68
No	12	24
Staff with Continuing Appointment	4	8
Total	50	100
Faculty Senate Representation		
Faculty Senate Representation	Frequency	Percent
Yes	43	86
No	7	14
Total	50	100

Librarian Status Typology

Types:

1. Professorial ranks
2. Other ranks with tenure
3. Other ranks without tenure
4. Non-faculty (Professional or academic staff).

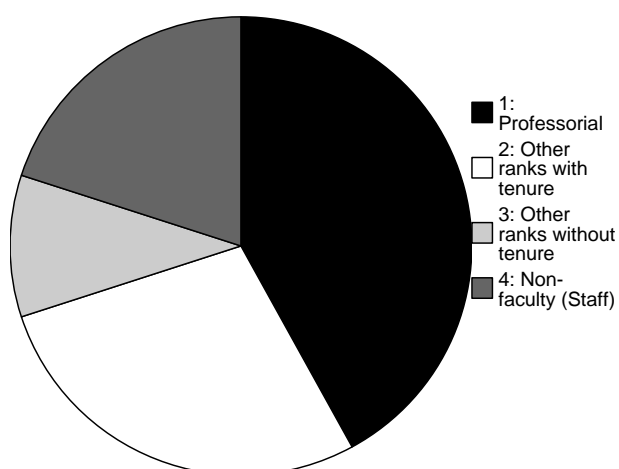


Figure 2. Librarian Status Types

Table 3. Librarian Status Types

	Frequency	Percent
1: Professorial	21	42
2: Other ranks with tenure	14	28
3: Other ranks without tenure	5	10
4: Non-faculty (Staff)	10	20
Total	50	100

The typology emerged from the frequencies and cross tabulations of the data. The frequency data is summarized in Table 2, and the cross tabulations are summarized in Table 8. The rationale for the typology is that professorial ranks (with tenure, although there is one institution that lacks it) is an obvious category, because it is the universal teaching faculty model.

Likewise, academic or professional staff status is another obvious type, because it is the model in which librarians are not faculty at all. The typology has characteristics of both a matrix and a continuum. Seen as a continuum, there are two models between the extremes of professorial ranks and academic staff. They are “other ranks” (parallel, e.g., Assistant Librarian, and librarian, e.g., Librarian I) with tenure and other ranks without tenure. When institutions where librarians are faculty and have parallel or librarian ranks are combined, two-thirds of them have tenure. Parallel and librarian rank systems represent some degree of “equivalence” between librarians and teaching faculty, in which Librarian I or Assistant Librarian are considered the equivalent of Assistant Professor. Seen as a matrix, the typology shows that the combination “Employee Group=Faculty” and “Tenure=No” is rare. Tenure is a very significant aspect of faculty status, so it makes sense to use it in designating types of status.

Type 1 and Type 2 are the easiest to identify. Librarians who are tenure-track faculty clearly identify themselves this way in their documents. Types 3 and 4 are sometimes hard to distinguish, because of the parallel systems that have been constructed. Collective bargaining is a factor in some of these cases, and its effect is not a part of this project. The parallel systems are interesting, however, in that their rationale seems to be that for librarians to “wear our own clothes” (Hill 1994), i.e., be true to our profession and the appropriate roles and activities of that profession, some institutions have given librarians a status that mimics some aspects of faculty status, but which is called “professional librarian,” or something similar, and is a recognition of the education and expertise that make one a member of the library profession. While that may be a comfortable position for some librarians, it negates one of the strong and early rationales for faculty status for librarians: that there is safety in numbers, and that librarians are better off being

part of a larger group (faculty), which will help them reach their goals of recognition, appropriate salaries, and so on (McAnally 1971). On the other hand, the librarians with parallel systems may also be part of a collective bargaining unit that includes faculty or other academic professionals.

Frequencies

Employee Group

The basic separation of librarian status into faculty and staff shows that four fifths of the librarians in the population have faculty status for librarians. The details of that status are described in subsequent tables.

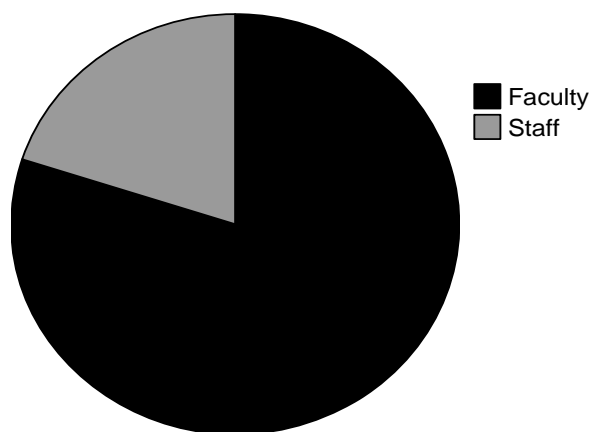


Figure 3. Employee Group

Table 4. Employee Group

Employee Group	Frequency	Percent
Faculty	40	80
Staff	10	20
Total	50	100

Administrator Title

“Dean” is the title of the head of the library in 60% of the population studied. “Director” and “University Librarian” account for more than 30% of the remaining institutions, with “Other,” a category that includes titles such as “Vice Provost,” with 8%, or four institutions. The head of a college is a dean. The title is sometimes used for the head of student services (“Dean of Students”), but is never used for any other unit that is not part of Academic Affairs. All the library administrators in this population report to the CAO, and nearly all are part of a “Council of Deans,” even if they have another title. The University of Wyoming “University Regulations 631: Regulations of the University Libraries” (<http://uwadmnweb.uwyo.edu/legal/Uniregs/ur631.htm>) states that the library director is a dean when dealing with library faculty matters such as appointment and promotion. “Director” is often an academic title that is used for interdepartmental programs, programs or departments called “School,” and units such as the Writing Program, as well as administrative units such as Athletics, Career Services, or Computing. “Director” describes an action, the administrative act of directing, and is a generic title that has no specific connotation of libraries or of academe. “University Librarian” emphasizes the professional role, and is similar to title such as University Counsel, University Attorney, or even Bursar or Registrar.

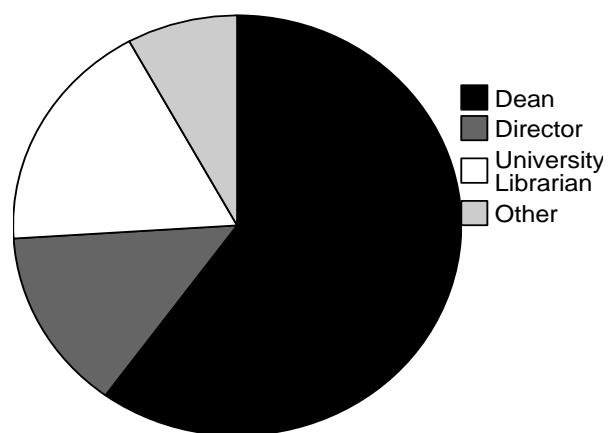


Figure 4. Administrator Title

Table 5. Administrator Title

Administrator Title	Frequency	Percent
Dean	30	60
Director	7	16
University Librarian	9	18
Other	4	8
Total	50	100

Rank System

Faculty rank is one of ACRL's nine conditions for librarian faculty status. Surveys of faculty status generally seem to consider both professorial and parallel (e.g., Assistant Librarian) rank systems to be faculty rank. The professorial rank system is predominant in this population, with more than 40% represented. Obviously, librarians who have professorial rank are faculty. "Librarian" ranks and parallel ranks (i.e. Assistant Librarian parallels Assistant Professor) each account for a little more than one fourth of the population. Twenty percent of the libraries in the population have librarians who are staff rather than faculty (Figure 3 and Table 4). About one-third of the libraries with parallel or librarian ranks have staff librarians rather than faculty (cross-tabulated in Figure 9 and Table 10).

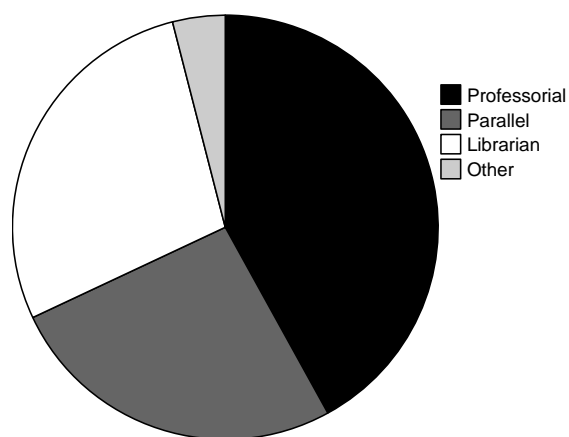


Figure 5. Rank System

Table 6. Rank System

Rank System	Frequency	Percent
Professorial	21	42
Parallel	13	26
Librarian	14	28
Other or undetermined	2	4
Total	50	100

Tenure Eligibility

Nearly 70% of the libraries in the population have librarians who are tenure-track faculty. That includes institutions in which terms like “continuing appointment” or “permanent status” is used instead of tenure. “Continuing appointment” is also used in some university faculty handbooks as a definition or clarification of the meaning of tenure. Some librarians, both faculty and staff, e.g., Wyoming (faculty) and Wisconsin (staff) have multi-year contracts, generally three to five years, instead of tenure. Four of the ten institutions in which librarians are staff have a form of continuing appointment that closely approximates tenure.

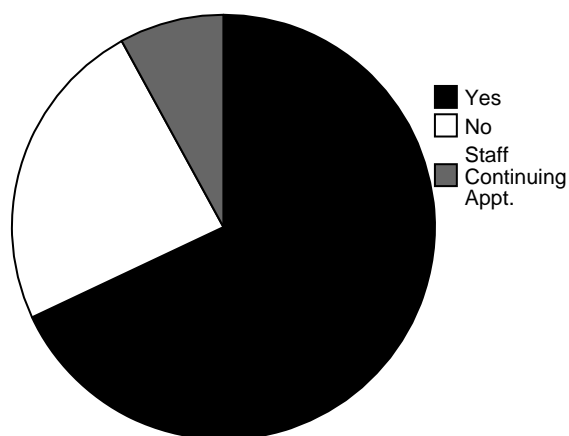


Figure 6. Tenure Eligibility

Table 7. Tenure Eligibility

Tenure Eligibility	Frequency	Percent
Yes	34	68
No	12	24
Staff with Continuing Appointment	4	8
Total	50	100

Faculty Senate Representation

The overwhelming majority of librarians in these institutions serve in the faculty senate, including some who are staff.

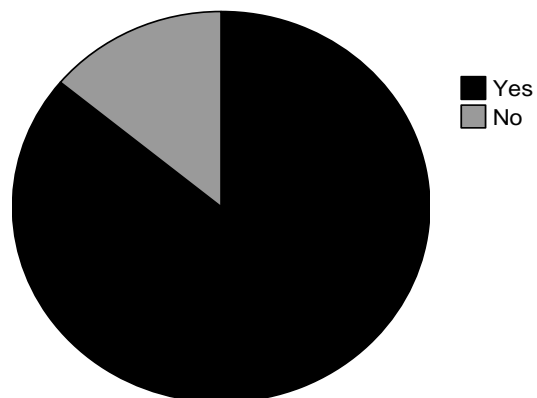


Figure 7. Faculty Senate Representation

Table 8. Faculty Senate Representation

Faculty Senate Representation	Frequency	Percent
Yes	43	86
No	7	14
Total	50	100

Cross Tabulations

The combination of frequency and cross-tabulation is the basis for the status typology. The predominance of certain characteristics (tenure track, dean as administrator, representation in senate) in this data makes some of the cross tabulations less significant.

Table 9. Summary of Cross Tabulations

Employee Group – Administrator Title Cross Tabulation					
	Dean	Director	University Librarian	Other	Total
Faculty	28	4	5	3	40
Staff	2	4	3	1	10
Total	30	8	8	4	50
Employee Group – Rank System Cross Tabulation					
	Professorial	Parallel	Librarian	Other or undetermined	Total
Faculty	21	9	10	0	40
Staff	0	4	4	2	10
Total	21	13	14	2	50
Employee Group – Tenure Eligibility Cross Tabulation					
	Yes	No	Staff with Continuing Appointment	Total	
Faculty	33	7	0	40	
Staff	0	6	4	10	
Total	33	13	4	50	
Employee Group – Faculty Senate Representation Cross Tabulation					
	Yes	No	Total		
Faculty	38	2	40		
Staff	5	5	10		
Total	43	7	50		
Administrator Title – Rank System Cross Tabulation					
	Professorial	Parallel	Librarian	Other	Total
Dean	17	7	6	0	30
Director	1	2	2	2	7
University Librarian	3	3	3	0	9
Other	0	1	3	0	4
Total	21	13	14	2	50

Table 9, continued

Administrator Title – Tenure Eligibility Cross Tabulation				
	Yes	No	Staff with Continuing Appointment	Total
Dean	25	4	1	30
Director	2	4	1	7
University Librarian	5	2	2	9
Other	1	2	0	4
Total	34	12	4	50
Administrator Title – Faculty Senate Representation Cross Tabulation				
	Yes	No	Total	
Dean	29	1	30	
Director	4	3	7	
University Librarian	7	2	9	
Other	3	1	4	
Total	43	7	50	
Rank System – Tenure Eligibility Cross Tabulation				
	Yes	No	Staff with Continuing Appointment	Total
Professorial	20	1	0	21
Parallel	6	4	3	13
Librarian	7	6	0	14
Other	0	1	1	2
Total	33	12	4	50
Rank System – Faculty Senate Representation Cross Tabulation				
	Yes	No	Total	
Professorial	21	0	20	
Parallel	11	2	13	
Librarian	11	3	15	
Other	0	2	2	
Total	43	7	50	
Tenure Eligibility – Faculty Senate Representation Cross Tabulation				
	Yes	No	Total	
Yes	33	0	33	
No	8	5	13	
Staff with Continuing Appointment	2	2	4	
Total	43	7	50	

Employee Group – Administrator Title

“Dean” and “Faculty” appear together most often, and there are only two cases in which the library is headed by a dean, but the librarians are staff. The other administrator titles are more evenly split between faculty and staff.

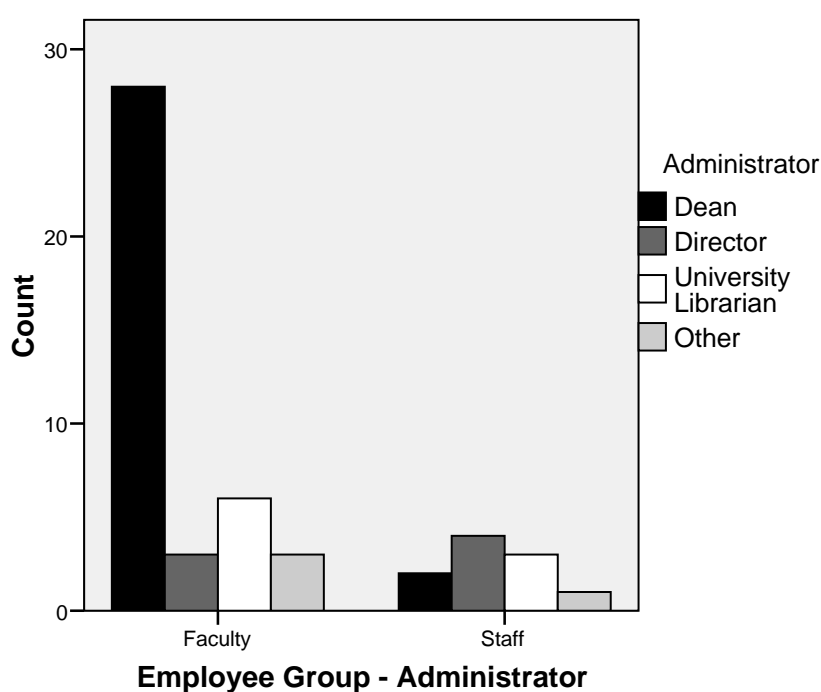


Figure 8. Employee Group – Administrator Title Cross Tabulation

Table 10. Employee Group – Administrator Title Cross Tabulation

Employee Group	Administrator Title				Total
	Dean	Director	University Librarian	Other	
Faculty	28	4	5	3	40
Staff	2	4	3	1	10
Total	30	8	8	4	50

Employee Group – Rank System

Only faculty members are called “professor,” so the co-occurrence of professorial rank and faculty status is not surprising. Parallel and Librarian ranks are split about two-to-one, with two thirds of those rank groups being faculty, and one third staff.

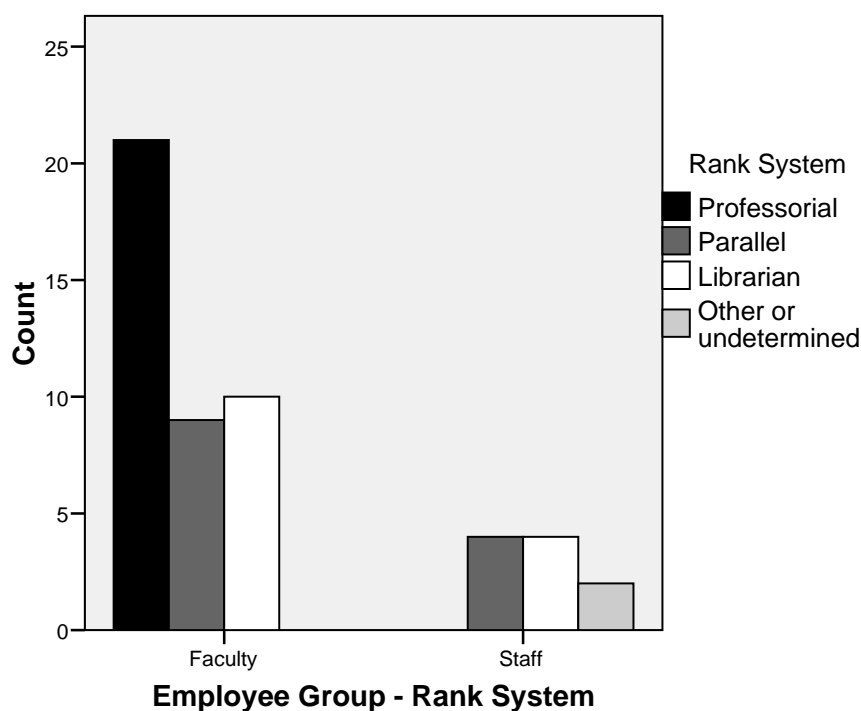


Figure 9 Employee Group – Rank System Cross Tabulation

Table 10. Employee Group – Rank System Cross Tabulation

Employee Group	Rank System				Total
	Professorial	Parallel	Librarian	Other or undetermined	
Faculty	21	9	10	0	40
Staff	0	4	4	2	10
Total	21	13	14	2	50

Employee Group – Tenure Eligibility

A large majority of the librarians in the population who are faculty also have tenure.

Among the librarians who are staff, 40% have a form of continuing appointment.

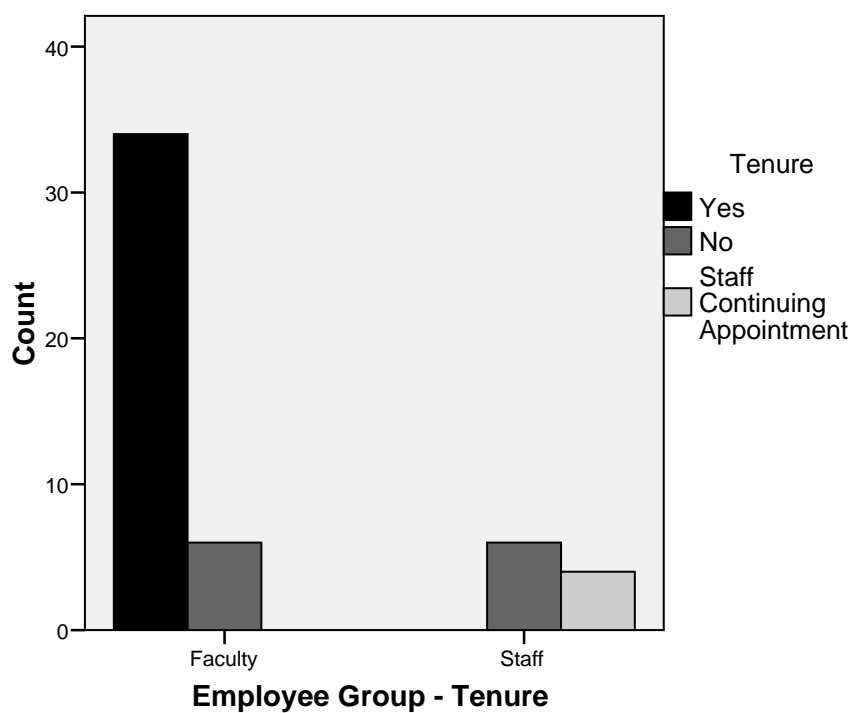


Figure 10. Employee Group – Tenure Eligibility Cross Tabulation

Table 11. Employee Group – Tenure Eligibility Cross Tabulation

Employee Group	Tenure Eligibility			Total
	Yes	No	Staff with Continuing Appointment	
Faculty	33	7	0	40
Staff	0	6	4	10
Total	33	13	4	50

Employee Group – Faculty Senate Representation

Only a small number of the librarians who are faculty are not represented in the faculty senate. Fifty percent of librarians in the population who are staff are represented in the faculty senate.

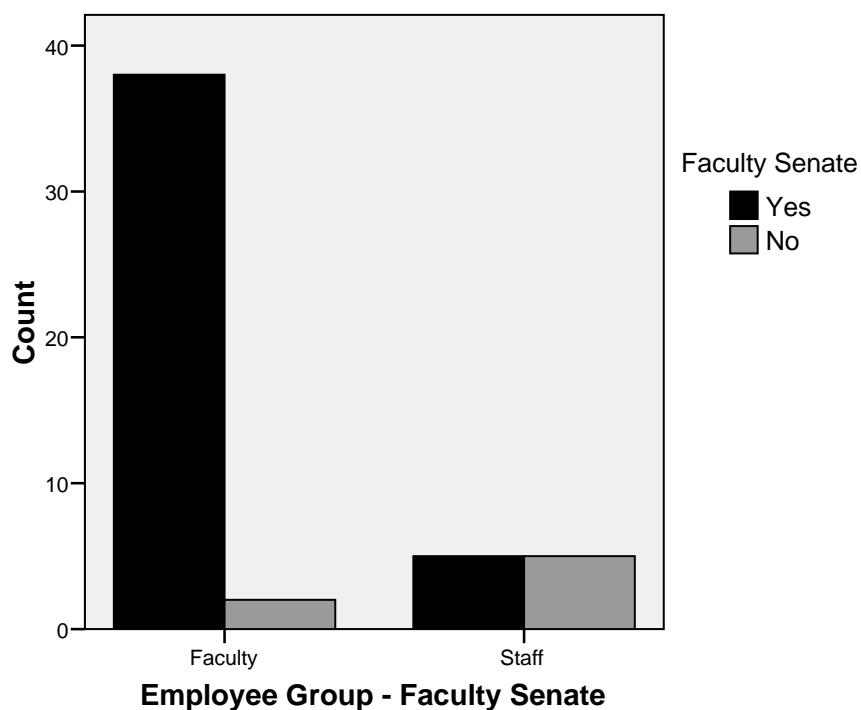


Figure 11. Employee Group – Faculty Senate Representation Cross Tabulation

Table 12. Employee Group – Faculty Senate Representation Cross Tabulation

Employee Group	Faculty Senate Representation		
	Yes	No	Total
Faculty	38	2	40
Staff	5	5	10
Total	43	7	50

Administrator Title – Rank System

The administrative title “dean” and professorial rank both appear the most frequently in this data. Therefore, it is not surprising that they also appear together most often, representing one-third of the population.

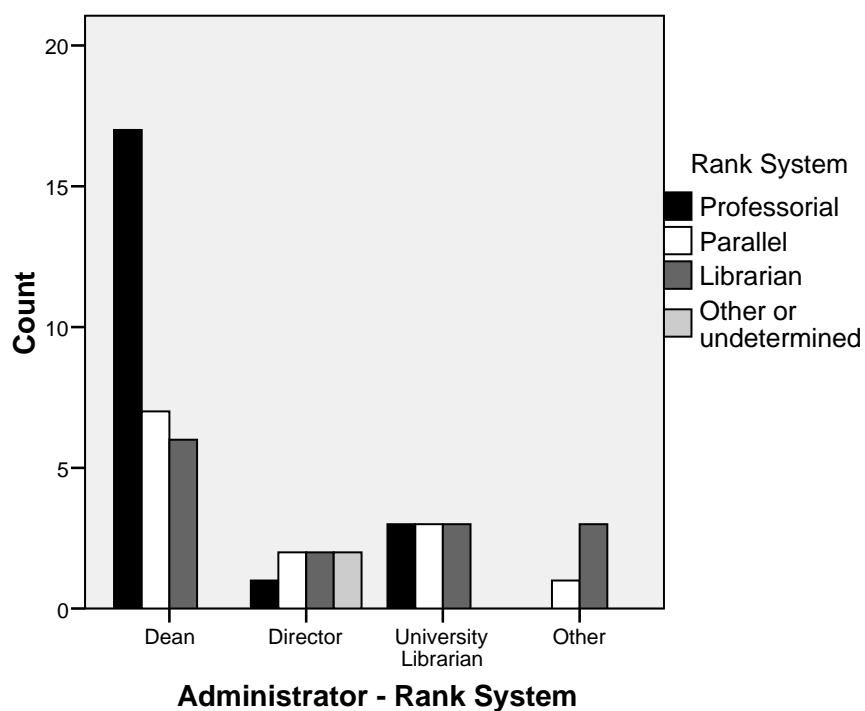


Figure 12. Administrator Title – Rank System Cross Tabulation

Table 13. Administrator Title – Rank System Cross Tabulation

Administrator Title	Rank System				Total
	Professorial	Parallel	Librarian	Other	
Dean	17	7	6	0	30
Director	1	2	2	2	7
University Librarian	3	3	3	0	9
Other	0	1	3	0	4
Total	21	13	14	2	50

Administrator Title – Tenure Eligibility

Most institutions in the population have tenure for library faculty. It is nevertheless interesting that “dean” and “university librarian” represent nearly all of the 70% of tenure-granting institutions, while nearly 60% (four out of seven) of the libraries headed by a “director” do not grant tenure to librarians.

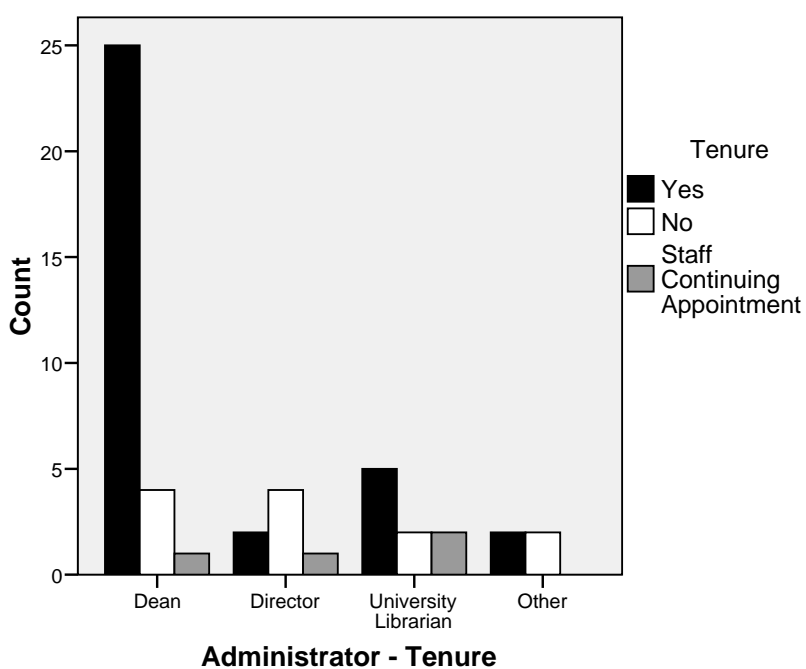


Figure 13. Administrator Title – Tenure Eligibility Cross Tabulation

Table 14. Administrator Title – Tenure Eligibility Cross Tabulation

Administrator Title	Tenure Eligibility			Total
	Yes	No	Staff with Continuing Appointment	
Dean	25	4	1	30
Director	2	4	1	7
University Librarian	5	2	2	9
Other	1	2	0	4
Total	34	12	4	50

Administrator Title – Faculty Senate Representation

Most librarians in the population are represented in the faculty senate. “Director” once again represents a higher percentage of negatives than the other categories.

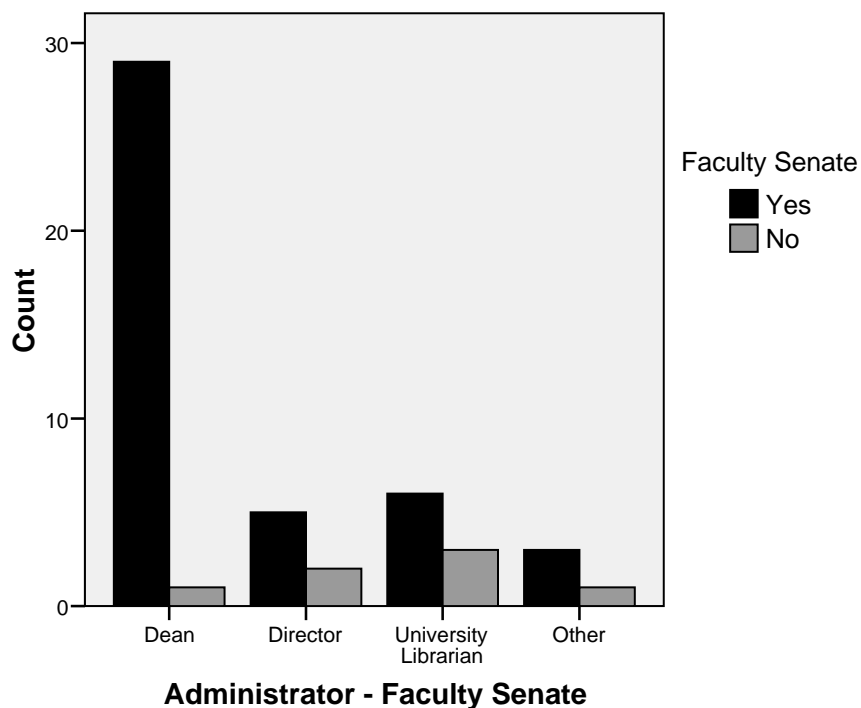


Figure 14. Administrator Title – Faculty Senate Representation Cross Tabulation

Table 15. Administrator Title – Faculty Senate Representation Cross Tabulation

Administrator Title	Faculty Senate Representation		Total
	Yes	No	
Dean	29	1	30
Director	4	3	7
University Librarian	7	2	9
Other	3	1	4
Total	43	7	50

Rank System – Tenure Eligibility

The co-occurrence of professorial ranks and tenure is almost without exception. Librarian ranks are almost evenly split, while parallel ranks have tenure in a majority of cases. In two of the institutions where librarians are staff with continuing appointment, they have parallel rank, and in the other they have librarian rank.

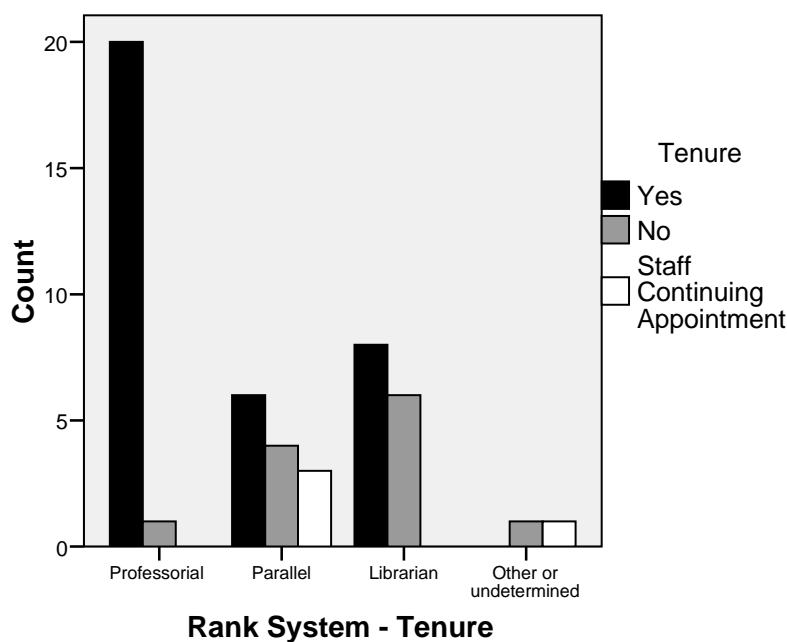


Figure 15. Rank System – Tenure Eligibility Cross Tabulation

Table 16. Rank System – Tenure Eligibility Cross Tabulation

Rank System	Tenure Eligibility			Total
	Yes	No	Staff with Continuing Appointment	
Professorial	20	1	0	21
Parallel	6	4	3	13
Librarian	7	6	0	14
Other	0	1	1	2
Total	33	12	4	50

Rank System – Faculty Senate Representation

Since most institutions have librarians in the faculty senate, these results are not particularly interesting. In all rank systems where all or most librarians are faculty, they are overwhelmingly represented in the faculty senate.

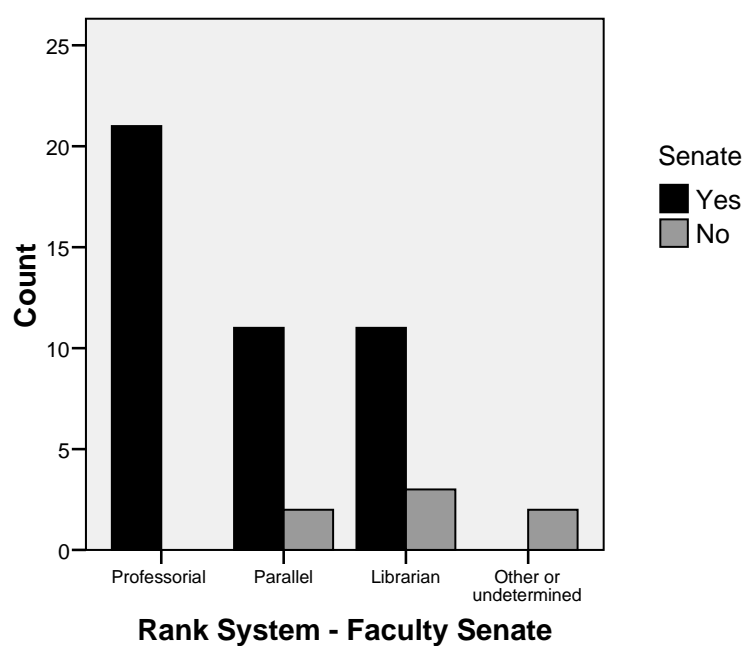


Figure 16. Rank System – Faculty Senate Representation Cross Tabulation

Table 17. Rank System – Faculty Senate Representation Cross Tabulation

Rank System	Faculty Senate Representation		
	Yes	No	Total
Professorial	21	0	20
Parallel	11	2	13
Librarian	11	3	15
Other	0	2	2
Total	43	7	50

Tenure Eligibility – Faculty Senate Representation

Tenure and senate representation have a 100% overlap, and even librarians without tenure serve on the senate more than 60% of the time.

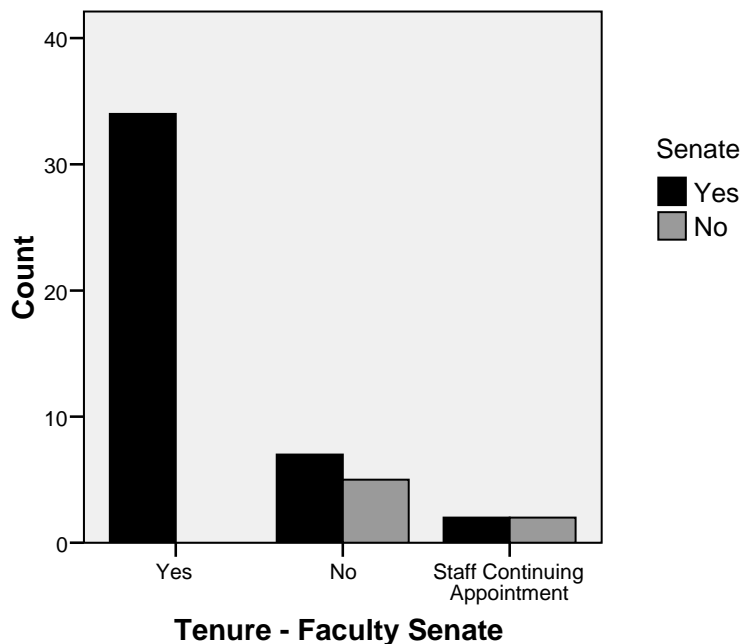


Figure 17: Tenure Eligibility – Faculty Senate Representation Cross Tabulation

Table 18: Tenure Eligibility – Faculty Senate Representation Cross Tabulation

Tenure Eligibility	Faculty Senate Representation		
	Yes	No	Total
Yes	33	0	33
No	8	5	13
Staff with Continuing Appointment	2	2	4
Total	43	7	50

Discourse analysis is an iterative process: there are repeated passes through multiple documents as new themes and insights are identified. Working with the more quantitative typology data is also iterative. In a number of institutions, the librarians were initially identified as faculty. As the data was analyzed, it became clear that they were actually staff. Drawing the

line between faculty and staff is not as easy as it would appear. Librarians with professorial rank and tenure are easily identified as faculty. In other cases, they may have ranks such as Librarian I, II, III, or Assistant and Associate Librarian, but their documents explicitly and repeatedly refer to them as faculty. There are cases, however, in which librarians have many of the characteristics of faculty, including a form of tenure (“continuing appointment,” for example), are represented in the senate, have responsibilities for teaching, research, and service, but are, in fact, staff. The University of California System is an excellent example of this. Librarians in that system have a status that parallels faculty in nearly every way, but they are staff. In other cases, such as the University of Georgia, librarians have almost none of the characteristics of faculty, but they are faculty, and refer to themselves this way. Another interesting wrinkle is the differences among university administration and governance systems. Some universities use a phrase such as “continuing appointment” rather than “tenure.” Some do not have a faculty or academic senate, but a university senate that is administratively-driven, and the fact that librarians are represented there is not an indication that they are faculty. In fact, some faculty senates have representatives from the academic or professional staff, which also means that the presence of librarians is not necessarily a sign that they are faculty. While it is common for universities to have a faculty handbook, which may be available on the academic affairs or faculty senate website, other institutions have “academic personnel” policies or manuals, which may contain promotion and tenure documents. Those policies sometimes put faculty under the umbrella of “academic staff,” i.e., faculty are one kind of academic staff, which can make it hard to identify which group librarians belong to.

Academic Status

Some of the appointment documents compiled for this study never actually say, “librarians are staff” or “librarians are faculty.” Some documents use the term “academic status,” which is an indication that the librarians are not faculty. ACRL has issued guidelines on “academic status” for librarians that parallel their faculty status guidelines (ALA 2006e). While stating its support for faculty status, rank, and tenure, the organization states that the academic status guidelines are “for academic librarians without faculty status to ensure that their rights, privileges, and responsibilities reflect their integral role in the mission of their institutions” (ALA 2006e). Even when they are not faculty, most librarians in the population have some version of the tripartite land grant mission (teaching, research, service) as part of their appointment criteria. Other units in a university may have plans, mission statements, etc., that refer to the university mission and their role in it, but librarians view themselves as an academic unit, with some kind of responsibility for teaching, research, and service, and for supporting other university efforts in those areas. “Academic status” and “academic professional” are concepts that are being applied more broadly in some institutions. Arizona State University is an interesting illustration of this. The category “Academic Professional” includes a number of different groups, including librarians and archivists, but also “learning resources specialists,” “museum professional,” “instructional professional” (i.e., a teacher), “research professional,” and so on. In a very large institution, there are more people who could be in these categories. The rise of academic computing and online education, as well as the use of instructional technology in general, has given rise to a new category of employees, “managerial professionals,” whose emergence in some ways parallels the emergence of librarianship in the late 19th century.

In May 2005, the journal *Academe* devoted an entire issue to the topic of “Shared Governance under Fire.” The issue of academic capitalism was one aspect of changes in governance. Rhoades (2005) is blunt in his assessment of the new environment, in which universities are driven by markets. He also describes the power of a new class of “managerial professionals,” who are not faculty, but whose expertise in assessment, budgeting, planning, and so on, gives them influence that equals or trumps that of faculty.

The University of Minnesota has a long list of Academic Professionals (University of Minnesota (2007)

- Academic Advisor
- Acquisitions Editor
- Attorney
- Business Development Specialist
- Cartographer
- Clinical Specialist
- Continuing Education Specialist
- Counselor
- Counselor/Advocate
- Curator
- Development Officer
- Education Specialist
- Extension Educator
- Fellow
- General Counsel
- Information Technologist
- Lecturer
- Librarian
- Physician
- Psychiatric Social Worker
- Psychologist
- Public Health Specialist
- Research Associate
- Research Fellow
- Teaching Specialist

This list includes mostly professions: medicine, law, social work, librarianship, counseling and psychology, for example, along with specialized occupations such as cartography and museum curation. Along with some venerable academic titles such as “Lecturer” and “Fellow,” there are teachers and researchers, i.e., “Teaching Specialist,” “Extension Educator,” “Continuing Education Specialist,” and “Research Associate.” A number of titles are “managerial-professionals” as described by Rhoades (2005), experts in information technology, development, and business.

At the University of Minnesota,

[t]here are two categories of academic professionals where classification titles may incorporate professorial rank. These categories include instructional (e.g., 9754 Teaching Specialist and Assistant Professor) and extension educator (e.g., 9623 Extension Educator and Assistant Professor) positions. Regulations governing academic tenure do not apply in these cases. (University of Minnesota 2007)

This shows the ambiguity of faculty and staff as categories, as well as the fact that no single characteristic predicts which category someone is assigned to. Not everyone who teaches in a university is a faculty member, and some people who do not teach are faculty. In the University of Delaware document, the phrase “faculty and librarians” is used consistently. Delaware’s faculty constitution lists “professional members of the library staff” as among those who are part of the faculty, along with administrators (including those outside academic affairs) and student counselors. The University of Maryland librarian faculty handbook says, “Persons holding Librarian ranks are Associate Staff employees and are eligible to attain permanent status ...” (University of Maryland 2006a) and the Mississippi State University Libraries list of Carnegie I institutions says “N” in the faculty status column for Maryland. Elsewhere in the Maryland faculty handbook, however, librarians are referred to as “library faculty” (University

of Maryland 2006b).

Semantic Prototypes and Categorization

Work by linguists on categorization includes intercultural studies of color terms, kinship terms, and folk taxonomies of plants and animals. Prototype theory views categories as having central and peripheral members, and, while speakers may not agree on where the boundaries of a category are, there is agreement on where the middle of the category is, or what the best representative of the category is. Lakoff (1986, p. 12) discusses a number of aspects of prototype theory, including:

- Family resemblances: “The idea that members of a category may be related to one another without all members having any properties in common that define the category.”
- Centrality: “The idea that some members of a category may be “better examples” of that category than others.”
- Generativity: “Categories that are defined by a generator (a particular member or subcategory) plus rules (or a general principle such as similarity). In some cases, the generator has the status of a central, or ‘prototypical’ category member.”
- Membership gradience: “The idea that at least some categories have degrees of membership and no clear boundaries.”
- Centrality gradience: “The idea that members (or subcategories) which are clearly within the category boundaries may still be more or less central.”

Prototype theory is very relevant to the question of what it means to be a faculty member. If the prototypical example of a bird is a robin, but a penguin is still a bird, then functional wings, flight, size, feathers, beak, egg-laying, and habitat may be among the characteristics

considered in determining “birdness,” but it is not necessary to have all the characteristics in order to belong to the category. In the case of faculty, and English professor or chemistry professor may be prototypical. The characteristics that give them centrality in the category are teaching, being members of a teaching department and college that generate credit hours, the PhD as a terminal degree, pursuing research and scholarship, and being part of the “academic side” of the organization. Librarians have made the case based on a number of these characteristics. On the other hand, deciding whether a penguin is a bird is not the same as deciding whether a librarian is a faculty member, because it leaves out the political struggle that is part of university governance. Librarians are faculty because there is a certain semantic logic, but also because they have worked on winning that status for themselves, because it helps universities add to the numbers of women faculty and tenured women, and so on. Organizations can change categories, redefine them, and invent new ones. The “academic professional” category that is found at larger universities illustrates that. Nevertheless, librarians could never have achieved faculty status if there were not some cognitive semantic basis for accepting them in that category.

The status of librarians can be viewed through several of the aspects of prototype theory. While they are not central or prototypical members of the “faculty” category, it can be argued that there is a family resemblance among teaching faculty and librarians, that in some institutions faculty status is a graded category, with librarians having a lesser degree of membership (with their status qualified by an adjective such as “special”), and that a prototypical teaching faculty member is the generator for the category, with librarian membership generated by the application of rules. It can also be argued that the true category is actually something broader, such as

“academic” or “academic staff/professional” and that librarians and “faculty” or “teaching faculty” are both members of that category, along with other groups. Moreover, librarians may, in fact, be the robins of the “academic professional” category: the central and prototypical example of staff with specialized expertise who participate in and support the academic program.

Response to Research Questions 3 through 6: Discourse Analysis

The documents listed in Appendix F were analyzed using the FTM/G-R instrument. In most cases, the documents listed there specifically address appointment criteria for librarians. In a number of instances, there was not a separate library document, but a university handbook with a faculty appointment document that explicitly included librarians in the discussion of criteria. In a few cases, there was no specific discussion of librarians in the faculty appointment document. It was possible to determine that librarians were faculty in those institutions from things like the university constitution and by-laws, and vacancy announcements or directories that had librarian titles and ranks. In a small number of cases, there was no document that specifically addressed librarian appointment, whether in a separate document or one in which librarians are discussed along with other kinds of faculty or staff. In those cases, it was inferred that librarians were staff from their absence in the university constitution, by-laws, and faculty senate.

In his approach to genre analysis, Bhatia (1993) advises choosing one “long single typical text” (p. 24). That was the approach taken here. All the documents that describe librarian status and appointment received some level of analysis, but several “long, single, typical” texts were chosen from each of the four types for multiple iterations of very close and detailed analysis. To an extent, all the librarian appointment documents are “typical,” because they share so many features.

FTM/G-R Discourse Instrument

(Adapted from Měchura [2005])

In the analysis of Field, Tenor, Mode, Genre, and Register, some features are more salient than others. Those features vary from one text type to another, and are part of determining and describing genre and register. In the use of the FTM/G-R instrument and in the analysis of sample documents, more salient features are discussed at length and mentioned many times, while others are mentioned less frequently and in less detail. Specific examples of the features described below (e.g., the expression of deontic modality or of evaluative attributes such as normativity) are noted in the detailed analyses of sample documents later in this chapter.

Field

(Research questions 3 and 4: How do the texts of appointment documents reflect librarian status? What are the Field, Tenor, and Mode characteristics of the texts?)

What is the text about? Ideational meaning (Experiential and Logical); Semantic domains; Transitivity (Process, Semantic and Grammatical Roles, Circumstance)

What is the text about?

The social setting of texts is part of the ideational meaning. The texts compiled for this dissertation play a role in the recruitment of new members into the academic community, and in socializing them into the norms of the community. They are part of the network of social practices associated with education and with the workplace.

Ideational meaning: Experiential

The experiential aspect of ideational meaning encodes speakers' experience of the world. The experiential content of these documents is the responsibilities of librarians, specifically

university librarians. They describe what librarians do and how those things fit into the university mission. The documents are about the collegial environment of the university's academic side. The appointment documents use words that describe work, expertise, and obligation. They are about hiring and promotion, and the work of higher education: teaching, research, and service, and how those responsibilities are assigned, carried out, and evaluated. They are about what the university expects and how departments and colleges respond to those expectations.

Academic librarians use these texts as part of the construction of their social identity. They express the values of the academic community, of "excellence," the value of teaching, the role of research in society, the life and obligations of a scholar. The words in these documents are sober, earnest, and formal.

The texts are carefully, exhaustively, rather pedantically worded. Legalism and a formal and impersonal tone are obvious characteristics. Parallel constructions (so that one can easily compare assistant and associate professor, for example) are very common, and there is an effort to cover everything and close all loopholes, while at the same time remaining somewhat general. There are areas of ambiguity, where people could strongly disagree about the meaning (of words like "substantial," or "scholarship," for example).

Summary of Experiential meaning

- Higher education
- Librarianship
- Academic libraries
- Employment

- Responsibilities and requirements of librarians
- Teaching
- Research and Scholarship
- Service
- Governance

The Experiential meaning in these documents is reflected by certain concepts or ideas that recur frequently. (The word “theme” is not used to describe these concepts, because “Theme” has a specific meaning in SFL that will be used in the analysis of Mode). The concepts use elements of the discourse formations (the social semiotic uses of language, expressed in the “single nouns and phrases, shorthand to be interpreted by intertextual reference to the full clauses and typical textual contexts,” described by Lemke [1998c]) that are recognizable to librarians.

Recurring concepts include:

- continuity
- sustained effort
- increasing expertise
- substantiality/significance
- responsibility and accountability
- service to library users
- competence/ “competencies”
- equivalence of librarians and teaching faculty
- areas of librarian specialization
- roles of faculty

- institutional mission
- the importance of research and scholarship
 - hedging about publication
- practice
 - performance
- librarianship as a profession
 - “professionalism”
 - professional activities
- ranking
 - progress through the ranks
 - hierarchy
- independence vs. collegiality

These concepts are part of the discourse formations of academic librarianship, and contain elements of the language of higher education, HR, and important parts of the intertext of academic librarianship: the ALA Code of Ethics and other similar documents.

Library documents tend to be exhaustive in listing examples of librarian expertise and specialization, as well as examples of activities that are evidence of teaching, research, or service, while at the same time cautioning the reader that the examples are just that, and not intended to be literal or exhaustive.

Classification is part of the ideational content of discourse that is both logical and experiential. The classification systems are generally clear: faculty and staff, tenure-track faculty and others, teaching faculty, clinical, extension, and library faculty, Assistant, Associate, etc. The

documents contain classifications of areas of responsibility, of kinds of responsibility, and of approaches to, and examples of, teaching, research, and service. The tripartite land grant mission is a basic form of classification that permeates these texts. The classification of activities into teaching, research, or service is found in all the documents, even though the terminology varies. It is phrased in a number of different ways (“scholarship” vs. “research,” for example) and the concept of teaching as a basic university mission, and the role of librarians in that mission, is expressed in several different ways as well. Library appointment documents may use “librarianship” instead of teaching, or explain how librarianship *is* teaching, or implicitly include librarianship in teaching without further explanation. Words that explain levels of performance such as “outstanding,” “notable,” “excellent,” etc., are a form of classification as well.

Ideational meaning: Logical

The logical aspect of ideational meaning includes the assumptions that are present in discourse. These documents make assumptions about the world, particularly the world of education. They make existential assumptions about a range of phenomena and social constructs such as teaching, research, and service; the idea that information is a commodity that library users can be given “access” to; fields and disciplines such as those represented by university colleges and departments. Promotion and tenure as concepts are social constructs as well, as are the typical university administrative structure: the idea of deans, provost, vice presidents, and so on, as well as governance by the board of trustees or regents. Existential assumptions about libraries and librarians include organizational elements such as reference, instruction, cataloging, etc.

Propositional assumptions are about what is, can, or will be the case. These documents are about the possibility of appointment, promotion, and tenure. Their propositional assumptions are about how these processes work. The documents assume that the processes are logical, comprehensible, and that they can and will be accomplished.

Semantic domains

Semantic domains are the general subject categories from which lexical items are drawn. The semantic domains of these documents are higher education, librarianship, and HR.

Transitivity: Process, Semantic and Grammatical Roles, and Circumstance

Process

In SFL, the process type is an attribute of the verbal constituent of a clause. The processes found most often in these documents are material processes of *doing*: performing the activities of librarianship (organizing material, creating databases and other means of access, instructing users, and so on), and the activities that faculty do that earns them reappointment, promotion, and tenure. Mental processes are also found in these texts. They include the process of weighing evidence on candidates for promotion: “consider,” “evaluate,” etc.

Semantic and Grammatical Roles

SFL assigns semantic roles to the participants in different process types. In a material process, the doer of an action is the Agent, while the object of that action is the Goal or Beneficiary. Those semantic roles often correspond to the grammatical subject and object. In a mental process, the “doer” of the process is the Senser, while the object of that process is the Phenomenon.

“The candidate,” “librarian,” “faculty member,” who will perform the activities described in the material processes is the Agent in those clauses. The candidate is also the Beneficiary of the material process of being appointed, promoted, or tenured. The librarians as a collegial group are the Sensors of the mental processes of judgment and evaluation whose phenomena are the “quality” or “significance” of the accomplishments in a dossier. Social actors (candidate, dean, provost) are named in procedural aspects of the documents.

Circumstance

Circumstance includes the representation of time and place. These documents are situated in both time and place. Time is represented in the schedules, deadlines, and timetables that are associated with appointment, promotion, and tenure. Place is represented by references to the university and the library. Each document pertains to a single institution and that institution’s practices, even though all the documents have much in common. They are set in the context of a promotion timetable, which may be five to seven years “up or out,” or may only be a suggested number of years in one rank before promotion to another. Promotion and tenure have a detailed yearly calendar as well.

Tenor

(Research questions 3 and 4: How do the texts of appointment documents reflect librarian status?

What are the Field, Tenor, and Mode characteristics of the texts?)

Who are the participants? Interpersonal meaning. Author, Audience, Relative status (Speech functions), Social distance, Personalization, Standing, Stance (Attitude, Agency, Modality)

Who are the participants? Interpersonal meaning

The participants in spoken conversation and their relationship can be observed by

analyzing turn-taking, the use of formal titles or other signs of an unequal relationship, and other features. There are also features of written texts that encode interpersonal meaning. Those features obviously vary among written genres. They vary in their degree of formality and interactivity, and the presence of one or more named authors.

Author

These texts have no personal author. They are official texts of the universities that issued them. Explicit and implicit corporate authors are the librarians and administrators who composed and approved them. The documents are the product of a continuous process of writing, updating, and revision. The changes reflect changes in university policy (to incorporate post-tenure review, for example) and changes in practice (e.g., to incorporate emerging programs or electronic scholarship).

Audience

The audience for these texts is everyone involved in the appointment, promotion, and tenure processes. That includes librarians, library and university administrators, candidates for positions, librarians seeking promotion or tenure, and those involved in peer review of colleagues.

Relative status (Speech functions)

Speech functions include statements, demands, offers, and questions. Virtually the only speech function found in these documents is the statement, i.e., declarative clauses. Part of the distance between participants that these texts represent, however, is the cloaking of commands in the form of declarative statements.

Social distance

Social distance is a concept more easily observed or explained in spoken texts. Participants in conversation may demonstrate familiarity or distance through the use of first names or titles, and through lexical choices that show closeness, solidarity, and degrees of politeness or distance. The degree of social distance can also be observed in written texts such as appointment documents, however. These documents maintain a high level of social distance between the “candidates” who will be appointed and the organization that has created the criteria for appointment. The vocabulary is often stilted, officious, and inspirational, full of nominalizations, metaphors, and abstractions that put distance between author and audience. Solidarity between writer and reader is low. Modal verbs such as “must” encode the power of the institutional author.

Personalization

The documents are written in the third person, with very few pronouns. “He/she” or “he or she” are sometimes found as alternatives to “the candidate,” “librarian,” “faculty member,” and so on. The author is not present in the text in a personal way.

Standing (The author’s knowledge and authority)

The author is not a single person, but an organization or collegial body. The library documents represent the mission, standards, regulations, etc., of the university, governing bodies, and so on, and therefore have a high degree of both knowledge and authority.

Stance (Attitude, Agency, Modality)

Stance is the text’s degree of dialogicality, and includes attitude, agency, and modality.

Stance: Attitude

Attitude is expressed through lexical choices, and may be asserted, assumed or triggered, a continuum of explicitness with asserted being the most explicit (Měchura 2005).

Nominalization is one way in which attitude is communicated. Nominalization is the expression of a process as a noun instead of a verb, e.g., “promotion,” is a nominalization of the verb “promote.” Nominalization is ubiquitous: promotion, appointment, etc. Swales (1990) describes its use in scientific prose, as a way of condensing information. It has that effect in these texts, but also lends an officious and impersonal tone.

These texts are low in dialogicality, low in their openness to difference. The documents are the embodiment of the collegial process: a peer group of scholars, who use the values of the academy and of their particular discipline to create standards for judging and admitting new members. These collegial texts are used by the university organization to achieve organizational goals. The collegial genre is “colonized” by a corporate purpose. At the same time, in order to partake of the collegial faculty system, librarians use these documents to draw a parallel or equivalency between themselves and teaching faculty.

While they are not dialogical, the documents frequently refer to the varied approaches that individuals may take in carrying out their responsibilities: different mixes of research and service, different approaches to scholarship. This represents a way of overcoming the difference between librarians and teaching faculty, to define the ways in which librarians are like other faculty.

Librarian appointment documents focus on the qualities of librarians and aspects of their education, expertise, and responsibilities that are similar to those of teaching faculty, and they

draw comparisons that bring out those similarities. At the same time, they describe and recommend ways in which library faculty can and must engage in teaching (librarianship), research, and service in order to help carry out the organizational mission

The texts contain numerous value judgments. They are communicating the values of the organization to new or potential members. They state what the organization values, including abstract qualities such as “excellence,” but also what constitutes scholarship, which activities fulfill responsibilities better than others, etc. The most prominent evaluative statements in these texts are those describing the importance of “job performance” in meeting the criteria. Those statements contain descriptions of the contributions librarians make, their specialties and expertise.

A number of Lemke’s (1998) “classes of evaluative attributes” are very common in these texts.

Desirability / Inclination (Wonderful / Horrible)

The desirability attribute is expressed in descriptions of the qualities and activities sought in appointees, which are those that are desirable to the organization, including expertise, scholarship, service, and so on.

Warrantability / Probability (Possible/Doubtful)

These texts are high in warrantability. They state what must and will happen or be the case.

Normativity / Appropriateness (Necessary/Appropriate)

A high degree of normativity and appropriateness are present in these texts. Along with the certainty of what must or will happen, there is the certainty that those qualities and activities

that the organization needs are fitting and proper.

Usuality / Expectability (Normal/Surprising)

Along with normativity comes usuality. These texts describe a range of what is appropriate or normative, but also what is likely to be the general, average, or usual situation.

Importance / Significance (Important/Significant)

The texts are high in this dimension of evaluative meaning. The express importance in at least two ways: they describe something extremely significant: the conditions for career success, as well as the idea that achievements must be significant.

Comprehensibility / Obviousness (Understandable/Mysterious)

These documents attempt to make things extremely clear. While they try to avoid giving a recipe for promotion, they attempt to make the criteria clear and to make expectations known and comprehensible.

Humorousness / Seriousness (Hilarious/Ironic/Serious)

The only humor in these texts is unintentional. Seriousness is related to significance. The texts have legal weight. They have a real impact on the lives of those who are affected by them.

Stance: Agency

Mental and Material processes are the most common types found in the texts examined here, but Agency is reduced in these documents, primarily by the passive constructions that do not have a subject with the semantic role of Agent, and an impersonal tone that emphasizes “what” more than “who.” The documents are the collective thought, will, and action of the faculty and administration of the university. This is clear even though agency is not explicit.

Stance: Modality

The documents express both activity exchange (authority: deontic modality) and knowledge exchange (certainty: epistemic modality). The organization expresses its needs as teaching, research, and service. The organization wields its power through these standards. The texts express a great deal of certainty. The declarative statements are often demands stated declaratively (what one “must” do to be promoted). The texts emphasize individuality, options, balance, and choice, but their purpose is to tell people what to do. The texts seek to avoid giving an exact formula for promotion and tenure, but speak with certainty on the qualities, attitudes, activities, and expertise that are required. They speak with certainty about the mission and values of the institution. The documents were written for the purpose of communicating obligations to members of the organization. Epistemic modality is generally expressed through statements, while deontic modality is expressed through modal verbs. *Should, must, and may, shall, and will* are very common.

Mode

(Research questions 3 and 4: How do the texts of appointment documents reflect librarian status?

What are the Field, Tenor, and Mode characteristics of the texts?)

What makes the text a text? Textual meaning. Spoken/written, Action/reflection, Interactivity, Schema, Patterning, Thematic organization (Theme and Rheme, Macro-theme, Hyper-theme, Clause theme), Cohesion (Lexical, Logical), Intertextuality, Discourses (Ideology, Voices)

What makes the text a text? Textual meaning.

The texts have a recognizable and consistent structure, and recognizable lexical and grammatical choices that create textual meaning.

Spoken/written

These are all written texts. They often include the document's history of writing and revision and the individuals and groups who have written and approved it.

Action/reflection

This axis is a measure of spontaneity. Any written text is lower in spontaneity than a spoken one, but appointment documents are obviously the antithesis of spontaneity. They are produced through a careful editing and revision process, and must be approved by several groups and individuals. Moreover, they are tied to the contents of other written texts (e.g., governing board regulations), which further reduces their spontaneity.

Interactivity

Spoken discourse may have multiple participants with immediate and overlapping interaction. Written texts (online chat, for example), can be nearly as interactive as a spoken conversation. Other written texts are far less interactive but may have one obvious personal author and other clearly-identified participants (a letter or message from one person to another), and other examples move farther along this continuum (e.g., a novel may have one author but a large anonymous audience). Appointment documents have neither a single personal author nor a single audience or recipient.

The texts are consulted and referred to during hiring, evaluation, reappointment, promotion, and so on. Copies of these texts may be sent to applicants for a position. They will certainly be consulted during any appeal or grievance procedure. They are written, maintained, and edited by librarians, approved by others in the administrative hierarchy, consulted by candidates for promotion and tenure, library administrators, and faculty voting on promotion.

Schema

These texts follow a prescriptive schema that is very consistent and predictable. They are frequently in outline form. The parts of the texts include:

- prefatory matter that states the content and its provenance;
- a description of the role of the library and librarians in the university; a description of the rank system; criteria for appointment to each rank;
- examples of activities and accomplishments that meet the criteria;
- documentation to support the criteria;
- procedures and timetables for carrying out yearly activities relating to appointment, promotion, and tenure.

These documents are virtually all embedded in other documents. Criteria for appointment and promotion are generally part of a larger procedural document that includes information about the promotion dossier, procedures, appeals, etc. Library documents may be separate and may use, cite, quote, or adapt text from a general faculty handbook. In some cases (Idaho, Rutgers), library faculty are mentioned specifically in the general faculty handbook (and may have their own separate document as well).

Patterning

These texts are “colonies” (Hoey 2001), which are texts that are made up of other texts and not necessarily meant to be read in order. Dictionaries, encyclopedias, and handbooks are other examples of colonies. They have a Goal-Achievement pattern (Hoey 2001). The text answers the questions, “what is the goal?” and “how can it be achieved?” The overall structure of the text is driven by two concepts: the tripartite university mission (teaching, research, service)

and the ladder of faculty ranks (Instructor, Assistant Professor, Associate Professor, Professor).

Thematic organization (Theme/Rheme. Macro-Theme, Hyper-Theme, Clause Theme)

Thematic organization (Theme/Rheme)

“Theme” is the new information presented in a clause, and rheme is the “residue.” Theme is the “topic” of the clause, while rheme is a “comment” on the topic. For example, the following is from the University of Tennessee library faculty appointment document:

UTK librarians [**Theme: new information; topic**] are equal partners with other academic faculty in the pursuit of the University goals for instruction, research, and service [**Rheme: given information; comment; residue**]. The special mission of librarians in the complex, changing environment of higher education [**Theme**], is twofold [**Rheme**]:

The organization of Theme and Rheme creates links and signals that help organize the text. In the excerpt above, “UTK librarians” is presented as the theme, or topic, of the first clause. The role of UTK librarians that is described in the Rheme, is carried forward as Theme of the next clause: “The special mission of librarians.” The Rheme of that clause (“is twofold”) will be carried forward in the next clause, in which the aspects of the twofold mission are topicalized.

Thematic organization (Macro-Theme)

Macro-theme is the theme of the entire text. Macro-themes in these texts are the criteria and process for appointment.

Thematic organization (Hyper-Theme)

Hyper-theme is the theme or topic of a paragraph or section. At the paragraph level, themes include criteria for specific ranks, criteria for tenure, elements of performance

(librarianship, research service), and examples of activities.

Thematic organization (Clause-Theme)

Clause theme is the topic of a single clause. Clause themes are generally presented and carried through the text in as illustrated above in the excerpt from the University of Tennessee document. Nominalization, the representation of a process as a nominal group, e.g., “job performance” (the verb “perform” is nominalized to “performance”), is very common throughout these texts. The process is topicalized through nominalization. The process is then presented as Theme, or new information.

Cohesion (Lexical, Logical)

Cohesion (Lexical)

Several forms of lexical cohesion are found most commonly in these texts. Cohesion is primarily created through lexical repetition (direct repetition and reiteration, i.e., rewording); collocation of words in lexical phrases familiar to members of the academic community; synonymy, and sometimes hyponymy (general-specific relationship). Pairs of two and series of three nouns, adjectives, and verbs are ubiquitous. The concepts discussed in these documents are crucial to the discourse community who uses them. The interpretation of appointment, promotion, and tenure criteria are a vital part of the community’s identity and its work. The importance of the concepts is reinforced by glosses, definitions, interpretations, and examples. The discourse formations of librarianship and other domains, the familiar collocations and phrases, represent the syntagmatic dimension of language discussed by Saussure (1959), in which words are associated with each other by their use in syntactic constructions, e.g., “appointment” is syntagmatically associated with “rank.” These syntagmatic associations are a

way of creating lexical cohesion.

Lexical cohesion is created through the use of metaphor. There are pervasive and overarching metaphors that are found in most or all of these texts. They include the idea of growth and progress as a characteristic of a successful career, concepts such as partnership, and the synthesis and dissemination of knowledge. In addition, there are metaphorical uses of words like *high*, *level*, *depth*, *advance*, *tangible*, *strong*, and *rank* that create cohesion throughout the text.

Semantic relations between words

Semantic relations include synonymy, antonymy, and hyponymy, and meronymy. They represent the paradigmatic relations described by Saussure (1959), in which different words can be fitted into the same paradigm, i.e., synonyms and antonyms can be substituted for each other in parallel constructions.

A hyponym is a word that is a category of a superordinate word (which is called a hyperonym). For example, *cat* is a hyponym of *animal*. Meronymy is a part-whole relationship, e.g., *finger:hand*. All of these are found in the appointment documents, but synonymy is the most common. Synonymy is found in the use of *research*, *creative activity*, and *scholarship*, either together, interchangeably, or with some distinction made among them. Likewise, words like *teaching*, *instruction*, *educational process*, etc., are a form of synonymy and create cohesion.

The words *faculty* and *staff* often appear as antonyms, but they have other relationships as well, which can cause ambiguity. *Staff*, meaning “all employees” is a hyperonym of both *faculty* and *staff*, meaning “not faculty.”

Cohesion (Logical)

Logical cohesion is created in a number of ways in these documents. The most obvious way is the outline form that organizes the contents. That structure is a form of “signaling” (Hoey 2001), letting the reader know what is coming, and connecting it to what has gone before. The use of conjunction (particularly the additive “and”) and adverbials such as “likewise,” or “at least” also create logical cohesion by carrying the hypertheme (the topic of a paragraph or section) forward.

The parallel constructions that are found throughout these documents, in which criteria for appointment to Assistant Professor is described in language that is repeated with appropriate changes in the criteria for Associate Professor, create both lexical and logical cohesion. Like semantic relations such as antonymy, they represent the paradigmatic relations described by Saussure (1959), in which different words can be fitted into the same paradigm, e.g., “Criteria for the Rank of _____”

Intertextuality

These documents draw on an intertext (Lemke 1995b), a network of texts used and recognized by a community, that is familiar to librarians. The intertext has several segments. The first is the profession of librarianship. The ALA Code of Ethics is arguably the primary text that represents the intertext of librarianship as a profession. The language of the Code of Ethics and similar texts permeates the discourse of librarianship. One principle of the Code of Ethics is, “We strive for excellence in the profession by maintaining and enhancing our own knowledge and skills, by encouraging the professional development of co-workers, and by fostering the aspirations of potential members of the profession.” The concepts and vocabulary of this

principle are found over and over again in the appointment documents. The second segment of the intertext drawn on in appointment documents is faculty status for librarians. The ACRL statements on faculty status encode principles and ideas that are echoed in appointment documents. The “Joint Statement” (ALA 2006c), for example, states that, “the college and university library performs a unique and indispensable function in the educational process” and goes on to add that, “[t]he librarian who provides such guidance plays a major role in the learning process.” Those ideas are found throughout library appointment documents. Both the Code of Ethics and the Joint Statement and other ACRL statements and guidelines are frequently cited explicitly in appointment documents. Beyond that, however, the language of those and similar texts is used, paraphrased, and echoed in many places. A third segment of the intertext is HR documents such as job descriptions and performance evaluations which vary from institution to institution, but which are familiar in nearly every workplace. A final segment is the plans, guidelines, and standards issued by universities, the faculty handbook and “visioning” documents, for example, and the texts that inform them, which include things like Boyer’s (1990) model of scholarship, and influential government reports on the future of education.

Those and other intertext segments underlie the heteroglossia, the different voices, found in the texts. The heteroglossia does not represent individuals, but the voices of different groups and points of view in an organization. The heteroglossic opposition between faculty and administration expresses the tension between individual and organizational goals. Many of the texts refer explicitly to the university faculty handbook. Their language is frequently patterned on the criteria for the appointment of teaching faculty that is found there.

The references to the university Faculty Handbook, the By-Laws and Policies of the

university's governing board, and the ALA policies on employment for librarians are used to reinforce the professional and faculty role of librarians. The references to university documents place librarians in the same group as other faculty. The ALA documents are a recognizable part of the intertext familiar to academic librarians.

The ALA sample promotion and tenure documents are a crucial part of the intertext for academic librarian appointment documents. The schema for the sample includes (ALA 2006d):

- I. Appointment
 - A. General Policies
 - B. Probationary Appointments
- II. Promotion in academic rank
 - A. General Professional and Scholarly Qualifications of the Library Faculty
 - B. Criteria for Promotion to Specific Ranks
 - C. Procedures for Promotion to Specific Ranks
- III. Tenure (Continuous Appointment)

This schema is used by virtually all of the documents assembled for this project.

Discourses (Ideology, Voices)

Ideology, discourses, and voices are concepts that are closely-related, intersecting, and overlapping, and all of them are also related to the idea of intertextuality. Ideology is the broadest concept among the four, and can be defined as set of beliefs or principles that guide the thinking and actions of a particular individual or group. There is an ideology of librarianship that has multiple discourses, and texts contain voices that express those discourses. There is also an ideology of American higher education that likewise has multiple discourses and voices. There are also ideologies, discourses, and voices associated with HR, the realm of employment and the rules and practices for hiring, firing, promoting, etc.

The ALA Code of Ethics expresses the basic ideology of librarianship:

- Service to library users
- Intellectual freedom:
 - no censorship
 - confidentiality
- Neutrality
 - Separation between private convictions and interests and professional responsibility
- Professional excellence

The discourses of librarianship differ on how these principles should be interpreted.

While there is significant agreement among librarians about intellectual freedom issues, there are certainly various discourses on the meaning of “service” and “excellence,” and different voices that express those discourses. Among academic librarians, there are the voices of reference, instruction, and collection development that were identified and discussed by Lemke (1999a) in his analysis of an academic library’s re-design of its website. In Lemke's view, “[t]he Reference Orientation voice articulates a discourse formation in which primary positive valuations attach to servicing the user’s needs for information” (p. 30). The voice of the Reference Orientation advocated for a website that would give maximum access to users. In heteroglossic opposition was the Instruction Orientation voice, that advocated the “teach a man to fish” approach, i.e., to instruct users in how to find information rather than simply providing the information to them. This illustrates how contrasting voices and opposing discourses can still be based on the same ideology: the idea that librarians should use their expertise to provide services to users.

The discourses of librarianship found in the appointment documents include:

- Professionalism
 - Librarians are motivated by the values of their profession and do their best when they are acting on those values
- Faculty status
 - The education and expertise of academic librarians should be recognized by giving them the protections of academic freedom and tenure and a status that acknowledges that they are the peers of teaching faculty.
- “Wearing Our Own Clothes” (Hill 1994)
 - The discourses of professionalism and faculty status are both valid. Academic librarians should be faculty, and they are at their best as faculty when they are operating according to the values and practices of the library profession.
- Competencies
 - Education for librarianship and training for professional positions must recognize the needs of employers and organizations for the knowledge, skills, and qualities that are crucial for the fast-changing library environment. Competencies include specific technological and other professional knowledge, but also general qualities such as collegiality, adaptability, and so on.
- Librarianship as teaching
 - The various expressions of the tripartite land grant mission Teaching, Research, and Service generally either equates librarianship with teaching or substitutes librarianship for teaching, in both cases asserting the librarian’s role in the university’s teaching mission

- Scholarship
 - Academic librarians have the obligation to engage in research that will benefit the profession and to communicate the results of that research to their colleagues.

Genre and Register

(Research questions 3, 5, and 6: How do the texts of appointment documents reflect librarian status? What genres are represented? What registers are used?)

What genres are represented by the texts? (Registers are language varieties that underlie genres).

What registers are used in the text? (Field, Tenor, and Mode are the variables that determine register).

The documents compiled for this dissertation are from a genre that is being called “University Appointment Document.” The genre might be called “Promotion Criteria” or “Promotion and Tenure Criteria,” but the “Appointment Document” is broad enough to encompass organizations that do not have tenure. The register is “academic” language, which is a mix of higher education, HR, and librarianship, with a ceremonial and legalistic tone created by the formal lexis. The mixture varies from one document to another, with some emphasizing HR more than higher education, for example. Genre and register go together. A genre is a type of text, and the language variety – the register – is a characteristic of that type. Appointment documents constitute a recognizable and separate genre. Their characteristics and uses are recognized by the discourse communities that use them.

The metaphors of genre that have been explored by Swales and others are applicable to this genre. The well-known definition by Swales (1990, p. 61), “a class of communicative

events, the members of which share some communicative purpose” is a basic and useful approach. Appointment documents can be seen as a communicative event used by a discourse community for the purpose of making the criteria for appointment, promotion, and possibly tenure known to candidates and other members of the institution. Other metaphors and definitions are also useful. Swales (2004, p. 61-62) commented that his 1990 definition could be seen as “genre as frame,” or as a “starting place.” Appointment documents as a genre represent a frame, communicative event, or starting place for understanding a university’s standards and procedures for faculty appointment. Swales’s “biological species” (p. 63) metaphor can be applied to this genre. Faculty appointment documents are used in the population being studied for librarians who are not faculty. The species can evolve and adapt for uses beyond its original one. Genre as “institution” (p. 66) is also applicable here. The documents are embedded in the process of getting promoted or tenured in the same way as Swales’s example of a lecture course that is a genre which is “embedded within the institutional process of getting a degree” (p. 66).

Swales (2004) proposes two approaches to genre analysis. The text-driven approach begins with an analysis of the text that is similar to the Field, Tenor, Mode analysis done with these texts. The result of that analysis is a tentative identification of the genre followed by a consideration of the social or organizational context of the text, and then placement of the genre in the set, network, or chain of genres used by the community. Swales’s situation-driven analysis begins with the environment by identifying the discourse community and its communicative purpose, the communicative events and their rules and expectations, then placing the genre in this context and doing an FTM analysis of the text. The situation-driven process was followed in the FTM/G-R analysis of appointment documents. Their context was provided by the typology

data and by the differences among individual texts. Bhatia's (1993, p. 22-34) approach is similar and begins with the communicative situation. One of his steps is "selecting corpus" (p. 23), i.e., assembling examples to analyze, followed by the choice of one "long single typical text" (p. 24) for close linguistic analysis. The steps in Bhatia's procedure were also followed, including the selection of a number of typical texts for close analysis.

Genres are not used in isolation, and that is true for this genre. The documents are embedded in the social practices, groups, and events that produced and use them. The documents and the use that is made of them are influenced by various things, and have a "family resemblance" to other texts. They are used for a particular kind of communicative event, but that event is related to others.

The register and genre represented in these texts have a number of salient characteristics. Salient features include the schema that the documents follow. Nearly all are in outline form, with the university's official seal or logo, an indication of the organization that produced it, and a title that plainly states the contents and purpose of the text. The schema includes prefatory statements about the mission of the university and the library's role in that mission, and sections that describe ranks and criteria for appointment to those ranks, in the areas of librarianship, research, and teaching. The schema is connected to the fact that the text is a "colony" (Hoey 2001), a text that is meant to be consulted in any order. They almost always exist as part of another text such as a faculty handbook. The text and its sections may be numbered or identified in some other way.

Another salient feature is the formal and impersonal tone, with no explicit or personal author, very few pronouns, and numerous passive constructions. Agency is reduced. The process

being described is more prominent than the participants. Nominalization is probably the most significant grammatical feature. Swales (1990) has described nominalization, in which a process is represented in noun form (e.g., “promotion” is the nominal form of the verb “promote”) as a characteristic of scientific prose and a way of condensing information. The use of nominalization in these texts contributes to the impersonal and formal tone.

These texts are very high in both epistemic and deontic modality, the expression of certainty and obligation. The use of the modal verbs *must*, *shall*, *should*, and *will* is pervasive and encodes a high degree of warrantability, the certainty that what is being asserted is true, and a very clear deontic modality. The texts do not contain imperative statements – commands – but they are characterized by declarative statements that say what should, must, shall, or will happen. If faculty are told that they must do something in order to be promoted, it has the effect of a command.

The salient cohesive devices are lexical repetition and synonymy. The synonymy may not consist of words that are normally considered synonyms, but are words that reinforce each other, such as “quality and significance,” “type, scope, and impact.” What Fairclough (1989, p. 110) calls “overwording” is part of these quasi-synonymous collocations. The high lexical density, frequent nominalizations, superfluous adjectives, and collocations of three nouns, verbs, or adjectives exhibit overwording. An example is “Provide leadership in departmental, interdepartmental or university work, committees and projects” (Cornell). This example includes two of these collocations: three adjectives that modify three nouns. This example may represent an attempt to be specific and exhaustive, to display the evaluative attribute Comprehensibility/Obviousness, which is also a characteristic of these texts, but in many cases

these synonyms and collocations have no real purpose but the need to sound authoritative, official, and impersonal.

While the salient register features make this genre recognizable, it is the use of these texts that is crucial. These documents play an important role in university culture. The register and genre are familiar to members of the discourse community, who recognize the triad “Teaching – Research – Service.” Interwoven with the description of faculty responsibilities are Human Resources (HR) jargon and administrative concerns, seen in the discussion of position descriptions and the phrases like “demonstrated effectiveness.” The documents show tension between faculty concerns that their particular discipline or situation be understood by others at the institution and the administrative need for uniformity and assessment. The discourse formations of librarianship and higher education occur throughout. At the same time, the language of personnel: hiring and performance evaluation, is prominent in these texts. The collegial peer review of the faculty model is expressed in terms of “tangible evidence,” “productivity,” and so on. The HR register is also heard in the consideration of whether achievements are “outstanding,” “significant,” etc.

As a communicative event, the texts serve as the collective thought of the university faculty, to encode the consensus of faculty and administration regarding faculty roles, and to entwine the philosophical principles and procedural details of faculty appointment and promotion.

The documents gathered here belong to a genre that displays some variation. Some examples are very formal and impersonal texts that describe criteria for appointment, the appointment processes, the timetable, and roles of participants. Other examples are more like

guidelines, mentoring, advice, or interpretation. They have a slightly more personal tone, with more explicit agency, and provide guidance for new faculty in what the criteria for promotion mean, and how to meet them. Institutions whose appointment documents are of the “guidelines” variety may depend on the university-level appointment criteria as the official text, with the library document serving to interpret the university-level texts. Fairclough (2003, p. 194) refers to texts having “mix of genres.” These documents could also be viewed that way: some of them belong to the genre “university appointment document,” others to another genre, e.g., “promotion and tenure guidelines.” Many texts might have the same Field without sharing the same register or belonging to the same genre. That situation is described by Bernhardt (1981) in looking at writing about science. The Tenor and Mode of the “advice” documents are somewhat different. One could make the case that they are a different genre.

University appointment documents are a stable genre, which is part of a genre set or chain that includes vacancy announcement, letter of application, search committee documents, letters of reference, and other texts associated with hiring. Part of the genre set associated with faculty promotion and tenure, including candidate portfolio, external peer review letters, and so on. We come to this text expecting an unemotional presentation of criteria for appointment and promotion. Some might approach the text hoping for clarity and definiteness, but there is an ambiguous, general, and vague tone that is common and probably essential to this genre. The lack of specificity is a characteristic of the “programmatically” nature of faculty responsibilities, i.e., Veaner’s (1994) assertion that “everything is assigned and nothing is assigned.” These documents are part of the “document-rich” generification discussed by Swales (2004), in which organizations accomplish many things, conduct many communicative events, with the help of

recognizable document genres. Their form is quite regular and recognizable, and is a standard genre used by virtually all institutions in every kind of college or university.

Appointment documents are virtually always part of another text. They may be one part of a university faculty handbook, or part of a separate library faculty handbook, by-laws, or procedures. The actual appointment document is sometimes a separate or separable document, or it may be one section of a longer document that describes procedures, timetables, and deadlines for appointment, promotion, and tenure.

A genre chain is a chronological progression of genres. Appointment documents are part of a genre chain that is used in appointment, reappointment, promotion, and tenure, and is part of the chain of genres associated with each. It uses genres of faculty and academic governance, as well as genres of organizational communication and human resources. The genres include organizational constitution and bylaws, and personnel documents such as performance evaluation and position description. The documents contain advice, interpretation, procedures, and policies.

The librarian voice is presented in the “shell” of the faculty genre. It presents itself by using the elements and language of a fundamental faculty genre. The documents are very similar. They include criteria, procedures, and timetables. They describe the role of each person or group. They give examples of activities that meet the criteria and describe the approach to evaluating them. They describe promotion and tenure dossiers and their contents. They have a strong intertextual relationship with university documents that prescribe the criteria and procedures for the entire university. They have a similar relationship with the ACRL standards and sample documents and the ALA Code of Ethics.

The documents are continuously updated, and many include a provenance with dates of revision and approval. University by-laws, memoranda, etc., are explicitly cited. They represent the authority of the university administration and the collective voice of the faculty. One of the discourses of librarianship is that of service and expertise. As part of that discourse, academic librarians make the case in their documents for their role in teaching and research.

Status Types and Appointment Documents

The four status types were based on the employee group, rank, and tenure eligibility data. The appointment documents do show some differences based on status type, but those findings are too tentative to be reported on here. It was expected that the differences and correspondences between status types and the discourse of appointment documents would be striking and obvious, but at this point in the analysis, they are not. Moreover, the appointment documents could be further analyzed to show not only correspondences with status type, but subtypes or variations on the basic types. This is particularly true in Type 1 and Type 2, the two categories with tenure, which represent 70% of the institutions included in this investigation.

This additional analysis would focus on the content of appointment documents. Such an analysis would be based on a coding scheme that would identify themes in particular areas required to achieve tenure (i.e., teaching, research, and service). An obvious comparison would be the content of the documents relevant to librarians to the content of documents relevant to tenure-track teaching faculty members. While a workable typology emerged from the quantitative data, it is anticipated that further gradations or divisions of those types would be found in the analysis of the appointment documents, and this subsequent exploration would provide even greater understanding of the basic typology presented in this dissertation.

Analysis of Representative Documents from Each Institution Type

What follows is the text of eight appointment documents, two of each status type. Both parallel and librarian rank systems are represented in the examples chosen from types 2 and 3. The documents chosen are very typical in many ways, but each of them also has some characteristics that are less typical. Examples of Field, Tenor, and Mode characteristics are noted below in the texts. Comments and analysis by the researcher are in Arial font and enclosed in a border. The text of the appointment documents is in Times New Roman font, with no border. “...text deleted...” indicates that part of the text of the appointment document (e.g., instructions for forwarding promotion recommendations to the office of the provost) has been removed.

Type 1: University of Illinois

STATEMENT ON PROMOTION AND TENURE TO THE LIBRARY FACULTY AT THE UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN

This text has a Goal-Achievement pattern. It describes the elements necessary for promotion and tenure, and then describes what those elements consist of. The genre has a characteristic structure, a schema that includes prefatory statements about the organization and the appointment, promotion, and tenure process, and then sections that name the ranks and criteria for appointment, followed by examples of evidence of meeting those criteria, and information about assembling a dossier, the timetable, steps, and persons involved in the process, and so on.

The document has a high degree of intertextuality, with references to university promotion and tenure documents in several places, as well as related documents, and previous versions of this document.

“Library faculty” is from the discourse formation of academic librarianship, and it expresses several things: the distinction between the faculty and staff in the library, and the distinction between “librarians” as a professional group and “library faculty” as a collegial one.

This document is written in the voice of the faculty itself. It is high in deontic modality, expressing the obligations of community members and the

requirements for admission into the community. The administrative voice is not prominent in this document. The ideology of librarianship is found in this text. It is seen in the description of the library functions and how they support and carry out the university's mission. The assumptions and beliefs of librarianship include the desirability of organizing and providing access to information, and teaching people how to use information systems so that they can find information independently. That ideology values expertise, cleverness, and efficiency in applying expertise. It sees librarianship as a helping profession as well as one that can use technology to provide that help.

The discourses of librarianship and of faculty obligation are textured together in this document in a way that straightforwardly presents librarianship as a primary educational activity, and, at the same time, presents research and publication as achievable obligations of librarians.

Introduction

The University of Illinois at Urbana-Champaign Library provides professionally managed collections and information services that meet the needs of the instructional, research, and public service constituencies of the University. The University of Illinois Library faculty are partners with other academic faculty in the pursuit of the University's goals for instruction, research, and service. Librarians apply professional knowledge in a series of related functions: selecting, acquiring, and organizing materials; teaching in both formal and informal settings; and providing organization and management of the staff and resources that facilitate access to materials and services for our users.

This is an upfront statement of what the library does for the university and the partnership of library faculty and "other academic faculty." These are active sentences with subjects who are agents: the organization and the people in the organization.

The discourse of professionalism and librarianship as a profession are found here, beginning with the words "professionally-managed collections," which is a common phrase in library texts, and which refers to the expertise of professional librarianship. The brief summary of the domain of librarianship is a part of a discourse formation of the profession: words like *selecting*, *acquiring*, *organizing*, *materials*, and *collection* are all used in ways that have specific connotations in the discourse of librarianship. "Selecting" implies that a librarian with expertise in a particular subject chooses "material," a term which covers books, journals, sound recordings, databases, etc., that it is "acquired" through the professional expertise (knowledge of sources and accounting) of acquisitions librarians and staff, and "organized," i.e., cataloged and housed by those with expertise in those areas. The product of those activities is the "collection."

Librarians give “access” to the collection and other materials, and do “instruction” and “reference” to teach users how to find and use material.

Cohesion is created by the repetition of “library faculty,” “university,” “faculty,” and “librarian” throughout this text. The University of Illinois librarians are always referred to as “library faculty.” The sentence that begins “Librarians apply” refers generally to the profession of librarianship.

The faculty of the UIUC Library have an obligation to remain professionally informed, to pursue the discovery of new knowledge related to their field of expertise, to disseminate the results of their scholarly work, and to seek opportunities for service to the Library, campus, state, nation and profession.

This paragraph expresses deontic modality in assigning obligation to the library faculty. Expertise and service are invoked as values of librarianship. A common theme in these texts is the need to keep learning and acquiring new knowledge and skills throughout one’s career. This is standard advice in any workplace, and also of particular significance in librarianship, which is driven by technology, and informed by many other fields.

The word “pursue” is a common metaphor in this kind of text: it implies zeal in scholarship.

The faculty of the UIUC Library is governed by University statements on promotion found in Article IX of the *Statutes*, in Communication Number 9 from the Office of the Provost, and in Communication Number 13 from the Office of the Provost regarding “Review of Faculty in Year Three of the Probationary Period.”

This is an example of intertextuality which is a common feature of all college or departmental faculty appointment documents: the reference to the university standards on which departmental standards must be based.

Promotion and Tenure

Tenure is granted when retention of the faculty member is expected to advance the quality of the University Library, as evidenced by the candidate’s performance in the areas of 1) librarianship and 2) research, creative, and scholarly activity, with consideration also given to 3) valuable professional service. It is the policy of the UIUC Library that the level or scope of administrative responsibility shall not be a criterion for advancement in rank.

“Librarianship” is used as a synonym for “teaching” in the tripartite university mission. Research is described as “research, creative, and scholarly

activity,” using all the common terms together, in a form of synonymy. Service is downplayed, with the words “consideration also given to” and “valuable.”

The policy that administrative responsibility is not a criterion for promotion is an expression of the discourse of faculty status, the concept of collegial governance, and is a reference to a competing discourse, the traditional hierarchy in library organizations, in which there are “supervisors,” and in which promotion may connote promotion up the hierarchical or managerial chain.

Metaphors in this paragraph include “advance” and “level or scope.”

...text deleted...

For promotion to Associate Professor

Candidates for promotion to Associate Professor shall show tangible evidence of achievement and a high likelihood of sustaining contributions to the field and to the department in the future, including:

1. Excellence in librarianship, including a demonstrated high level of expertise;
2. A strong record of scholarly publishing, constituting a significant contribution to the literature;
3. Evidence of valuable public/professional service at the Library, campus, state, regional, national, or international level.

The concepts of accountability, continuity, and expertise are common in these documents, and are expressed here with “tangible evidence,” “Sustaining contributions ... in the future,” and “demonstrated high level of expertise.”

Research is emphasized in a straightforward way, with high deontic modality, in this document, much more clearly than the hedging found in many examples. “Valuable” service is another way of saying “significant.”

The words “high level”, “strong,” and “tangible” are all used metaphorically.

For promotion to Professor

Cohesion is created by the repetition of “For promotion to ...” from one rank to another.

Candidates for promotion to Professor shall demonstrate promise fulfilled, including:

- Excellence in librarianship through outstanding performance over a sustained period of time;

- A sustained record of research and publication demonstrating a major impact in the field;
- Evidence of attainment of national or international stature in the field, including leadership at local, regional, and national levels or participation at the international level.

“Shall demonstrate promise fulfilled” is very formal and rather stilted. The concept of sustained effort is found in the expectations for both job performance and research. The expectations for “valuable” service are higher at this level. Research must have a “major impact” (beyond “significant”).

Review for Promotion and Tenure

Areas of review for promotion to all ranks are expressed in a general fashion in the *Statutes*.

Section 3e of Article IX states:

In determining appointments to, and salaries and promotion of the academic staff, special consideration shall be given to the following: (1) teaching ability and performance; (2) research ability and achievement; and (3) ability and performance on continuing education, public service, committee work, and special assignments designed to promote the quality and effectiveness of academic programs and services.

There is an intertextual reference to university documents. “Academic staff” refers to all the faculty of the university. “Staff” is used both as a hyperonym (word above in the hierarchy) of faculty and as an antonym of faculty.

Within the UIUC Library, these areas are defined as librarianship; research, creative and scholarly activities; and professional service. Elements of these areas for review are described below:

The library defines teaching as librarianship, and broadens research to include other creative and scholarly activities. It narrows or condenses the university’s description of service.

A. Librarianship

The educational role of academic librarianship is evidenced in the following: developing, providing access to, managing, and preserving the Library’s diverse collections and instructing students, faculty, and others in the use of the Library’s collections, services, and resources. These activities support the University Library’s primary role in providing service to the instructional, research, and public constituencies of the University, and may include a combination of, but are not limited to, the following:

Theme and rheme (the presentation of new information) are seen above in “The educational role of academic librarianship” (theme) “is evidenced ...” (rheme), and “These activities” (theme) and “support ...” (rheme).

- Selection, evaluation, acquisition, and preservation of Library materials;
- Analysis, cataloging, classification, description, and indexing of materials to provide access to the collections;
- Leadership in administrative and operational responsibilities;
- Organization and retrieval of information;
- Design and development of new electronic resources;
- Reference service; interpretation of the Library’s collections, procedures, and services to library users; and related public service functions, such as exhibits, newsletters and other library publications;
- Instruction of library users in research methods and in the selection and evaluation of relevant information resources;
- Instruction of students in credit courses offered through teaching departments;
- Development of instructional materials in print as well as electronic formats;
- Development and/or presentation of workshops and lectures on the Library’s resources and programs.

This list defines “librarianship,” by enumerating the areas of specialization that are found in an academic library. Nominalization is found throughout the list, e.g., “selection,” “organization,” “development.”

The description of responsibilities is written in the language of job descriptions: “Selection, evaluation, acquisition, and preservation” and other exhaustive lists.

There is a form of synonymy and what Fairclough (1989, p. 110) calls “overwording” in phrases such as “design and development.” The words are not true synonyms, but essentially refer to the same thing.

The section begins by saying “the educational role of librarianship,” equating librarianship with the university’s teaching function, but not construing it narrowly to include only activities such as library instruction. It also says that librarianship “supports” the university teaching function (along with research and service), rather than asserting that it is part of it. That ambiguity and ambivalence about whether academic librarianship is a form of teaching or merely supports the university’s teaching mission, illustrates several aspects of the discourses of faculty status: is librarianship a form of teaching, the “equivalent” of teaching, or not teaching or like teaching at all, but another academic pursuit that need not make comparisons?

B. Research, Creative, and Scholarly Activities

A candidate's scholarly and creative work shall be evaluated in terms of its originality, depth, and significance in the field. There should be evidence that the faculty member has been continuously and effectively engaged in scholarly activity of high quality and significance. The Faculty Review Committee and the Promotion and Tenure Advisory Committee shall look for evidence that the scholarly accomplishments of the candidate make a significant contribution to the field of librarianship or other discipline.

"Shall be evaluated" has a high degree of warrantability, but is really a statement with deontic, rather than epistemic, modality. It cloaks a command rather than making a prediction. The word "shall" is rarely found in American English in any context other than formal legal, religious, or other ceremonial texts.

"Evaluate" is a mental process, as is "look for." "Engaged" describes both material and mental processes.

"Depth" and "high" are used metaphorically.

"The Faculty Review Committee and the Promotion and Tenure Advisory Committee" are the Agent in the last sentence of the paragraph, as well as being the Theme of the sentence.

"Evidence" connotes accountability

"Originality, depth, and significance" is a series of three which are largely synonyms in this register, expanding on the notion of quality.

"Significant/significance" appear three times in this paragraph, emphasizing the concept and creating cohesion.

The Committees shall consider the type, scope, and impact of the research or other creative work, and consider both the evidence offered by the candidate and that solicited by their members from external referees at other research universities. The dossiers of candidates should demonstrate a strong record of publication. The faculty member's degree of responsibility for jointly produced scholarship and creative works shall be considered in the evaluation.

"Consider" is a mental process.

"External referees at other research universities" describes a different community than simply librarians or even academic librarians. "Peers" may imply that they should have faculty status if they are acting as outside peer reviewers for promotion.

The Themes in this paragraph are: “The Committees,” “The dossiers,” and “The faculty member’s degree of responsibility.” The themes in each clause move topics through the text.

Research may be theoretical or applied, and may be specific to the fields of library science and information studies or may pertain to a disciplinary area to which the faculty member brings particular expertise. Methodologies shall be based on standards used in social science and humanities research.

This is rather prescriptive, but also meant to explain to both those outside and those inside the library what the norms for library research are.

Articles formally accepted for publication will be considered. Books or other monographic material will be considered when the final manuscript has been accepted by the publisher. Uncompleted or works not accepted for publication will be considered only as supplemental evidence in the promotion decision. In general, works that undergo considerable scrutiny before publication (e.g., by referees, editorial boards, anthology editors, etc.), will be deemed of highest value. Consideration will be given to the significance and reputation within its field of a journal or publisher.

This paragraph illustrates the use of repetition as a cohesive device. The word “considered,” along with “consideration” and “considerable,” are repeated throughout.

The passive voice and nominalizations: “Consideration will be given,” “works not accepted for publication will be considered” contribute to the reduced agency of this text. The lack of explicit agents is part of the impersonal and formal tone, but also due to the topicalization of the process, i.e., the theme of this passage is what will happen, not who will do it.

The metaphorical use of “strong” and “highest” are seen again in this paragraph, creating cohesion.

Publications and creative works are evaluated in the following manner:

- Books, monographs, critical editions, refereed articles, chapters in books, and other publications based on original research shall be accorded special importance as evidence of scholarly achievement.
- Reference works shall be judged scholarly works when they present new data, knowledge, or theoretical frameworks, widely disseminate practical or theoretical knowledge in new and needed forms, and/or incorporate scholarly research findings and interpretations.
- Guides to the literature shall be evaluated according to the level of scholarship, the

impact of the work in its field, and the quality of the publication itself.

- Papers in published conference proceedings shall be evaluated in terms of the extent to which they present original research
- Reviews of scholarly works shall be evaluated in terms of the depth and scholarship of the review and the type and quality of the journal in which it is published and the importance of the work being reviewed.
- Editorships shall be evaluated in terms of the depth and degree of scholarship demonstrated and the importance of the publication to the field.

This list describes a rigorous and straightforward view of research, with little special pleading for librarians. Publications are ranked very explicitly. The Scholarship discourse is seen very clearly in this text.

“Depth” and “level” are used metaphorically and their repetition is a cohesive device.

The repetition of “shall be evaluated” creates cohesion.

C. Service

Participation in the work of professional organizations sustains and enhances a faculty member’s capabilities. Professional activities are regularly carried out within organizations at the local, regional, national, and international levels. For these reasons a strong service profile is valued. Special recognition shall be given to committee work and offices held at the state, national, or international level. Participation in faculty governance at the college and campus levels also constitutes an important service component. Service may include such activities as holding offices or committee memberships in professional societies, delivering invited papers or public lectures, serving on editorial boards, refereeing manuscripts or grant applications, organizing conferences, preparing grant proposals for campus or public agencies, and serving as a consultant.

Service is presented here as a way of learning. Many documents include continuous learning or education as an obligation, sometimes under the heading “professional activities” or “professional development.” Continuing education is part of the discourse of professionalism: the need to keep knowledge and skills up-to-date. For librarians, it is also the need to bolster scholarly credentials and to be informed by other fields.

The paragraph Theme moves from “Participation” to “Professional activities” to “For these reasons, etc.”

Supplemental documentation:
[University Library Bylaws](#)

Communication Number 9: Promotion and Tenure
Communication Number 13: Review of Faculty in Year Three of the Probationary Period
University Library Calendar for Promotion and Tenure
University Library Strategic Plan

This document supersedes the following previous statements:

“Statement of Criteria and Procedures for Faculty Appointment, Promotion and Tenure, and Termination,” adopted April 3, 1981 by the Library Faculty; “Criteria and procedures for appointment, promotion, and tenure approved by the University of Illinois Library faculty February, 1975,” and “Criteria for tenure below the rank of associate Professor” adopted April 30, 1976 and amended July 28, 1976; Statement on Promotion, Tenure, & Appointments to the Library Faculty at the University of Illinois at Urbana-Champaign” adopted June 17, 1994. This final version of the document was approved and adopted by the University of Illinois Library Faculty February, 2000.

<p>The links and citations to other documents and history of writing and revision are typical of this genre. The links demonstrate intertextual relationships and the notes on revision is an indication of authorship and standing.</p>
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Type 1: University of Tennessee

Promotion and Tenure Criteria: Guidelines for Library Faculty

This is one of the least verbose of any document examined. It parallels the University of Tennessee general criteria very closely.

I. Introduction

A. MISSION OF THE UNIVERSITY OF TENNESSEE

The University of Tennessee, Knoxville has a unique mission as Tennessee's state university and land-grant institution. UTK is the state's premier comprehensive institution, providing excellence in teaching, research and creative activity, and public service. The University's high standards are enforced through a rigorous system of program review and assessment. UTK provides a broad range of programs of high quality and with high creative energy. Its students have opportunities for personal and professional fulfillment in regional, national, and international leadership.

B. ROLE OF THE UTK LIBRARY IN FULFILLMENT OF THE MISSION OF THE UNIVERSITY

The UTK Library is the premier research library for Tennessee. The role of the UTK Library is to provide professionally managed collections and information services that meet the needs of the instructional, research, and public services activities of the University.

“Professionally-managed collections” is a common discourse formation in librarianship. It means that a library is more than a building full of books, and that its collections are selected and organized according to professional standards.

C. ROLE OF THE LIBRARY FACULTY

UTK librarians are equal partners with other academic faculty in the pursuit of the University goals for instruction, research, and service. The special mission of librarians in the complex, changing environment of higher education, is twofold: 1) selecting and maintaining the library's collections, and 2) providing access to information and the required supporting services.

This is a felicitous expression of the balance of partnership and equality with a particular role and expertise. The discourse of faculty status for librarians is clearly expressed in these three paragraphs, which describe the programmatic role of librarians as well as their professional and scholarly obligations.

Specifically, librarians apply professional knowledge in a variety of functions: selecting,

acquiring, and organizing materials and services; teaching in both formal and informal settings; providing organization and management of the staff and resources that facilitate access to materials and services for our community of users.

Finally, UTK librarians have an obligation to remain professionally informed, to disseminate the results of their scholarly work, and to seek opportunities for service.

II. Criteria

The following criteria are modeled on Chapter 3 of the Faculty Handbook.¹ All who are appointed as tenure-track and tenured faculty are expected to contribute to the University's missions of teaching, research /scholarship/creative activity, and public service. While the general scope of performance at a particular rank is consistent across the University, the particular requirements of the varying ranks are a function of the discipline. Within the University Libraries, the exact apportionment of effort in performance, research/scholarship/creative activity, and service is a function of the skills of the faculty member and the needs of the Libraries and the University. All tenured and tenure-track faculty, however, are expected to pursue and maintain excellence in research/scholarship/creative activity.

The tripartite mission is expressed as “teaching, research – scholarship – creative activity, and service,” which is what the university calls it.

1. Please see web version, released March 9, 2005, at <http://chancellor.tennessee.edu/facultyhandbook/>

Intertextual relationship with the faculty handbook.

Criteria for Appointment or Promotion to Faculty Rank

These criteria begin with “Professor,” rather than “Assistant Professor,” which is unlike any other document examined here. It violates our expectations of this genre, which has an overarching metaphor: moving up the ladder, starting with the entry-level appointment rank. The university-level standards also have the ranks in this order.

A. PROFESSORS are expected:

1. To hold at least the master's degree from an ALA accredited program or present equivalent training and experience appropriate to the particular appointment.

The basic qualification for librarianship.

2. To be accomplished librarians.

“Accomplished” connotes experience, knowledge, and expertise.

3. To have achieved and to maintain a nationally recognized record in disciplinary research/scholarship/creative activity.

This is an unequivocal statement of the publication requirement, stated with no qualifications, which is rare among these documents.

4. To have achieved and to maintain a record of significant institutional, disciplinary, and/or professional service.

5. To serve as mentors to junior colleagues.

6. Normally, to have served as an associate professor for at least five years.

The evaluative attributes Normativity and Usuality are expressed here, and the Temporal Circumstance (time served in a rank that has not yet been discussed) of the clause points out the “backwardness” of this document.

7. In accomplishing the above, to have shown beyond doubt that they work well with colleagues and students, in performing their University responsibilities.

“To have shown beyond doubt” is high in both epistemic and deontic modality and might be thought to show the value that librarians place on collaboration and collegiality, although, in fact, it is a direct quote from the university-level standards

- B. ASSOCIATE PROFESSORS are expected:

The parallel construction among the descriptions of the ranks creates cohesion.

1. To hold at least the master's degree from an ALA accredited program or present equivalent training and experience appropriate to the particular appointment.
2. To have demonstrated a growing expertise and professional reputation as a librarian.
3. To have achieved and to maintain a recognized record in disciplinary research/scholarship/creative activity.

The publication requirement is stated unequivocally in this rank as well.

4. To have achieved and to maintain a record of institutional, disciplinary, and/or professional service.
5. Normally, to have served as an assistant professor for at least five years.
6. In accomplishing the above, to have shown beyond doubt that they work well with colleagues and students, in performing their University responsibilities.

C. ASSISTANT PROFESSORS are expected:

The differentiation of the ranks is shown here. Professors must have “achieved” and be “accomplished.” Associate professors must have “achieved” and have a “growing expertise.” Assistant professors must show “promise.”

1. To hold at least the master's degree from an ALA accredited program or present equivalent training and experience appropriate to the particular appointment.
2. To show promise as librarians.
3. To show promise of developing a program in disciplinary research/scholarship/creative activity that will gain external recognition.
4. To have a commitment to developing a record of institutional, disciplinary, and/or professional service.
5. In accomplishing the above, to show evidence that they work well with colleagues and students, in performing their University responsibilities.

D. Criteria for Tenure

Tenure is awarded after a thorough review, which culminates in the University acknowledging a reasonable presumption of the faculty member's professional excellence and the likelihood that excellence will contribute substantially over a considerable period of time to the mission and anticipated needs of the academic unit in which tenure is granted. Professional excellence is reflected in the faculty member's performance as a librarian, research, and service or other creative work in the discipline; participation in professional organizations; willingness to contribute to the common life of the University; and effective work with members of the University community.

More specifically, at the University of Tennessee, Knoxville, tenure is granted on the basis of a demonstrated record of achievement and the promise of continued excellence. A decision not to award tenure is not necessarily a judgment of incompetence. Not all competent persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically

fitted to serve needs of the University's programs. Faculty at the University Libraries are expected to become excellent librarians who work enthusiastically with the University community, try new approaches to librarianship, and contribute to the missions of the Libraries and the University. Faculty must also establish an independent record of accomplishment in scholarly work, appropriate to the standards of the discipline, that can be documented and validated by peers. In most cases, tenure-track faculty should be encouraged to develop first as librarians and scholars, leaving serious involvement in service until after establishment of a professional and scholarly record is underway.

This language closely parallels the general university criteria. It expresses the concept of continuity and also clearly expresses a concept that is frequently found in these documents: the need to balance independence as a scholar with the need to contribute to the mission of the entire organization.

It is unusual to see the advice that service should wait until “after establishment of a professional and scholarly record” in a librarian document. It is evidence of a strong adherence to the university standards.

III. ASSESSING PERFORMANCE, ORIGINAL WORK, AND SERVICE

The three areas in which library faculty are expected to devote their time relate to the mission of the University with the assumption that performance of a librarian's assignment involves the major amount of effort. Proportionally less is available for original work and service. Both the candidate for promotion and/or tenure and the candidate's supervisor are responsible for explaining the constraints and expectations of the candidate's position. It is the candidate's responsibility, however, to provide an assessment of the significance of his or her professional accomplishments.

The idea that “performance of a librarian's assignment involves a major amount of effort” is a pervasive assumption of most models of librarian status.

A. PERFORMANCE

Library faculty are responsible for a variety of functions and an individual's responsibilities may change over time as the Library responds to both internal and external demands. Although there may be librarians whose positions appear similar within a particular category, there are many library faculty positions that are unique. Some librarians have primarily administrative responsibilities and others have either very little or none. Therefore, not all of the following statements will apply when judgments are made by candidates and evaluators during the process devoted to promotion and/or tenure deliberations.

The following guidelines provide examples of representative activities for the evaluation

of performance:

As stated, the list below is like one that would be used for performance evaluation by supervisors. The description of library responsibilities is rather general, but this is one place where this document deviates distinctly from the university-level document, which has no sections on assessing teaching, research, and service.

Communicates and cooperates with faculty, students, and library staff in furthering the objectives and priorities of University, academic departments, and the Library.

Demonstrates understanding of the operations and services of the Library divisions and their inter-relationships, and one's position within the Library organization, by an ability to interpret, integrate and promote these operations and services.

Translates knowledge of the curriculum and University policies into effective Library services.

Demonstrates effective teaching methods in classroom settings or other group presentations.

Stimulates use of libraries and other information resources by integrating effective formal, instructional materials (e.g. videotapes, slides, etc.).

Remains aware of professional librarianship interests by reading and attendance at conferences and courses.

Cooperates with other libraries and institutions to facilitate research and to develop regional and national library services.

Demonstrates familiarity with information retrieval techniques.

Assesses and evaluates skillfully the literature of disciplines in order to anticipate needs and build Library collections

“Assesses and evaluates” is an example of synonymy and is a good example of overwording.

Analyzes the organization of library materials and services to ensure they meet the present and future needs of the University community.

This is an expression of the contemporary discourse of cataloging quality. An important aspect of that discourse is the consideration of user needs.

Manages competently the Library resources under one's supervision.

“Manages competently” is overwording. It demonstrates one reason for the overwording in these and similar documents, which is the desire to be explicit. Not just “manages” but “manages competently,” in case there was any doubt on the part of the candidate.

Maintains and monitors the quality of Library services.

“Maintains and monitors” is overwording and quasi-synonymy. Monitoring should be understood to be part of maintaining. This could be seen as an example of meronymy, a part:whole relationship.

Shows an awareness of community and University issues and concerns as they affect the Library and University.

Effectively initiates, revises, and disseminates departmental routines by directing staff and determining work flow.

This statement takes many words to say “manages” or “supervises.”

Encourages staff to reach their highest potential by participation in staff development and by creating an atmosphere of open communication and receptiveness to suggestions and criticism.

Evaluates staff performance in a positive, constructive manner.

Demonstrates flexibility in meeting and dealing with daily problems within the framework of established library policies and procedures.

The three statements above summarize several aspects of managerial and supervisory responsibilities. The language of job descriptions and performance evaluation is very prominent: “in a positive and constructive manner,” “established library policies and procedures,” etc.

Accepts the collegial responsibilities of the faculty.

The wordy descriptions of managerial responsibilities contrast sharply with this very brief description of faculty responsibilities.

Exhibits high personal standards for the quality of one's own performance.

Demonstrates maturity and objectivity appropriate to situations.

The language of “competencies” is seen in some of these aspects of performance, including maturity, objectivity, flexibility, open communication, and so on.

B. ORIGINAL WORK

It is expected that faculty will produce original work that furthers knowledge in their respective fields. Members of the library faculty should seek to advance the discipline and state of the art of librarianship by engaging in significant research, scholarship, and professional activities. Reflecting the individual's professional expertise, such activities may be in disciplines other than librarianship.

This is a straightforward statement of the research requirement, and, although it is softened by the words “professional activities,” those activities are *in addition to* research and scholarship, not an alternative to them.

Meaningful research and professional growth may originate or be accomplished as part of a normal assignment and are represented by but not limited to the following:

The preparation of substantial internal and external reports involving research or the application of the librarian's professional abilities.

The publication of scholarly books, chapters in books, articles or reviews in professional and scholarly journals; the editorship or translation of a publication.

Preparation of grant proposals for submission to external funding sources.

The presentation of research papers at professional conferences, conventions, seminars, workshops, or meetings.

The compilation of significant bibliographies, guidebooks, indexes, special catalogs, manuals, etc., whether for internal or external use.

The design and production of instructional media on the use of the Library and its resources.

The development of subject indexes and classification schemes.

Preparation of scholarly exhibits.

Organization of professional meetings, seminars, institutes, workshops, etc.

Substantial contribution as a committee member or officer in professional or learned societies.

The inclusion of this and similar items under "original work" somewhat undermines the strong statements on research and publication made earlier in this document.

Special recognition inside or outside the university for excellence in librarianship.

The development of new or innovative approaches to problem-solving in specific areas of librarianship which will further enhance professional techniques and services

C. SERVICE

Service involves activities which are related to a faculty member's area of expertise. Although service is considered integral to much of the librarian's day-to-day professional work, to qualify for consideration in this category, such activities must be in addition to the duties assigned to the position held by the librarian.

Upon entering the profession, it is anticipated that librarians will concentrate their efforts in the area of performance and in beginning a program of original work. For untenured faculty, therefore, and for those seeking promotion to the associate rank, public service is of low priority. The UTK Faculty Handbook, however, calls for "...willingness to contribute to the common life of the University." As our faculty become more accomplished librarians, then, they are expected to recognize and take advantage of opportunities which enable them to contribute to the diverse and complex role of the University in society. The examples listed below represent professional activities viewed as service. This list is intended to be suggestive only and not comprehensive.

This is a very candid statement about the relative importance of service. One of the major heteroglossic oppositions in the discourse of librarianship is between service and scholarship. This document includes some kinds of work in professional organizations as "original work" in the section above that also includes research and publication. Service includes university service, but also seems to include some work in professional organizations.

Consulting work for other UTK departments or units as well as agencies, institutions, and firms not related to the University so long as it involves the librarian's area of professional expertise.

Contributions to cooperative programs or interdisciplinary activities on campus or elsewhere.

Active participation and leadership in committee work in the Library, elsewhere in the University, or in state, regional, or national organizations.

This may be considered different in nature or degree from the “substantial contribution” listed above in “Original work.”

Activity generally construed as advancement of the profession other than scholarship and research.

Type 2: Louisiana State University

**LIBRARY FACULTY GUIDELINES:
REAPPOINTMENT, PROMOTION, AND TENURE**

I. INTRODUCTION

This document uses the term "library faculty" throughout, which is from the discourse formation of faculty status. The word "librarian" is not used in this text.

The tripartite mission is expressed as General/Teaching, Research/Creative, and Service.

"Job performance" is the most important criterion. "At least notable" is the standard for job performance and for either research or service, the other of which must be satisfactory.

The characteristic Goal-Achievement pattern is seen in this document. This document focuses on pre-tenure library faculty as an audience. It is intended to advise them, to interpret the criteria for them, and to help them achieve the goal of promotion and tenure. It is high in deontic modality, communicating obligation, but it is also particularly high in epistemic modality, communicating with certainty about which activities are most valuable, and what constitutes "notable" performance.

This document is intended primarily to assist tenure-track Library Faculty who are preparing for reappointment, tenure and promotion review by the Eligible Voting Library Faculty. No statement or example in this document in any way supersedes any part of PS-36, the University's Policy Statement 36: Criteria for Evaluating Academic Performance, and Policy and Procedures on Faculty Appointment, Performance Evaluations, Reappointment/Non-reappointment, Promotion and Tenure, Appeal Procedures (Revision 5, effective 7-1-97). Library faculty are reminded that PS-36 governs the reappointment, promotion, and tenure review process. These guidelines are supplemental to PS-36.

The citation of university promotion and tenure documents is a characteristic intertextual relationship.

In Section II of PS-36, the Criteria for Evaluating Academic Performance are presented under the following subsections: A. General; B. Teaching; C. Research and Other Creative Activity; D. Service. For Library Faculty the University substitutes "Job Performance" for "Teaching" in subsection B. When setting priorities, tenure-track Library Faculty should remember that job performance **must be at least notable** in order for a candidate to achieve reappointment or promotion and tenure. (see Appendix C)

This document expresses the university's teaching mission as "job performance" for library faculty.

In addition to notable job performance, candidates for reappointment must demonstrate achievements in research/creativity and service activity that indicate progress toward promotion and tenure. In addition to a sustained record of **notable** job performance, candidates for promotion and tenure must demonstrate at least **notable** achievement in either the research/creativity or service components, and at least **satisfactory** achievement in the remaining area.

Note: The term, "documentation," shall be used within these guidelines to refer to "all material used in the promotion and/or tenure review process specified in Appendix B [of PS-36] as Documentation."

The term, "notable," when used in this document operates under the definition outlined in the Library Faculty Performance Appraisal Process for the annual evaluation of faculty. This excerpt refers explicitly an intertextual relationship. The word "notable" has a specific meaning that is used in other texts and is understood by members of the organization. The repetition of "notable" also creates lexical cohesion in this passage.

GOALS OF THIS GUIDE:

- (1) To help tenure-track Library Faculty understand the tenured Library Faculty's expectations with regard to job performance, research/creativity and service activities:

"Goals of this guide" describes the experiential meaning of the document.

Recommendations for reappointment, promotion and tenure are based on the Eligible Voting Library Faculty members' analysis of a candidate's total record, both quantitative and qualitative, as it is documented in a candidate's dossier. The tenured Library Faculty value quality of achievements more than quantity of activities. In addition, a candidate's record **must** show a pattern of on-going professional growth, indicating the candidate is currently active and productive and will continue to be so.

This passage illustrates a number of things. The first sentence contains numerous nominalizations: recommendations, reappointment, promotion, tenure, and analysis.

Agency is unusually prominent. The Library Faculty (tenured and untenured) are mentioned several times as Sensors in the mental processes of analyzing, valuing, expecting, and understanding. The sentence that begins "The

tenured Library Faculty value quality” is unusual. Agentless passive constructions such as “Quality is valued ...” are far more common in these texts.

The concepts of sustained effort and continued learning and growth are expressed with strong deontic modality: “candidate’s record *must* show a pattern.”

- (2) To help tenure-track Library Faculty understand the role and importance of the annual performance evaluation in reappointment, promotion and tenure:

Although the primary purpose of the annual performance evaluation is to assess job performance, the performance evaluation also plays an important role in determining the progress being made toward reappointment and/or promotion and tenure. Tenure-track Faculty submit their vitas to the tenured Faculty who evaluate their progress in research and service. Together these annual evaluations provide guidance for tenure-track Library Faculty in achieving a record of performance that will ensure success in attaining reappointment or promotion and tenure.

This document describes a collegial, faculty-driven process. Agency is relatively explicit: “Tenure track faculty submit their vitas to the tenured faculty, who evaluate ...” rather than “vitas are submitted for evaluation,” or “the evaluation of vitas takes place ...”

- (3) To help individual candidates prepare an organized, credible, and succinct dossier:

“Organized, credible, and succinct” is a form of synonymy, and an example of the series of three collocations that are very common in bureaucratic and official texts.

...text deleted...

II. JOB PERFORMANCE

PS-36 details the three areas in which faculty will be judged: teaching, research and other creative achievement, and service. Since many Library Faculty do not teach, the University substitutes job performance for teaching in evaluating candidates for reappointment or promotion/tenure (approved in memo dated 7-31-97 from Interim Vice Chancellor for Academic Affairs and Provost, Carolyn H. Hargrave and appears as Appendix C). Library Faculty **must have at least notable job performance** in order to be considered for reappointment or promotion and tenure. Annual performance evaluations are included in the dossiers of candidates for reappointment as well as for promotion/tenure. Job descriptions are also included in the dossiers. Notable job performance indicates that the individual candidate has a sustained record of surpassing the merely satisfactory level of job performance.

Much of the information in this paragraph has already been stated in this document, in the introduction. The repetition of such stretches of text is very typical of these documents. It creates a kind of wordy cohesion that is not felicitous, but which has a certain logic.

III. RESEARCH/CREATIVE ACTIVITY

Research that contributes new knowledge is the most difficult to produce but also the most highly valued type of contribution made by Library Faculty, especially in the area of librarianship. The candidate may also, however, engage in original research in other scholarly disciplines. The Library Faculty distinguishes between refereed publications and non-refereed publications, regardless of format. While the most important characteristic of an article is its quality, in general, articles in refereed journals with international or national reputations will be considered to be more significant than those appearing in all other refereed journals.

"The most difficult to produce but also the most highly valued type of contribution." This section is straightforward and candid in its view of research. The "desirability" and "significance" attributes are high, with research in library science being evaluated as the most desirable. Agency is again explicit: "The Library Faculty distinguishes ..."

This passage illustrates the process types that are common in these texts: "contributes," "made," and "engage" are all material processes. "Distinguishes" is a mental process.

IV. SERVICE ACTIVITY

Three general categories of service are recognized: service to the profession through active participation in international, national, regional, and state library-related professional organizations; service to the Library exclusive of and in addition to job performance; and service to the University through the Faculty Senate, its committees, and/or other University committees. Active participation in international or national professional organizations is more important than most other categories, but extraordinary contributions at the regional, state, and local levels will be valued accordingly. Likewise, participation in library-related organizations is more important than non-library organizations, but service in professional organizations that relates to librarianship will be valued accordingly.

By the time of the reappointment review, the Library Faculty recommend that candidates should exhibit an increasing involvement in a previously selected primary organization. (The recommendation of selecting a single primary organization recognizes the expense of attending national and regional meetings). Activities undertaken in any appropriate organization will be considered. Membership in an organization and attendance at meetings or conferences do not of themselves constitute service. Participation in the Louisiana Library Association and other state

professional organizations is important. To prepare for promotion and tenure review, candidates should also add participation in a regional or national organization, preferably national.

The last sentence comes close to advising candidates to extend their service involvement just for the purpose of getting promoted. That frank advice is typical of the tone of this particular document, whose purpose is the achievement of a goal.

Evidence of library service is expected, but activities that relate directly to job performance are considered not as service but as job performance.

The Goal-Achievement pattern is illustrated here. Candidates are advised about what they need to do. This document has less of the "varies widely, individual choices, balance of activities," sentiments that are seen in other documents, seemingly because its purpose varies slightly. Many appointment documents have the general purpose of setting out appointment criteria for librarians. In doing so, they tell the story of what librarians do, and the range of activities and achievements that will appear in their promotion dossiers. This document is focused on librarians seeking promotion and tenure, and speaks to them as an audience.

V. REAPPOINTMENT

The successful candidate for reappointment must demonstrate progress toward meeting promotion and tenure requirements. A list of appropriate activities is included below. **The list is not intended to be comprehensive but, rather, to provide an idea of appropriate activities.** Consultation with tenured colleagues and the candidate's supervisor may also be helpful.

The advice-giving nature of this document makes the deontic modality somewhat lower. "May also be helpful" is not as prescriptive as "must."

JOB PERFORMANCE: Library Faculty must have at least notable job performance to be considered for reappointment. Notable job performance indicates that the individual candidate has a sustained record of surpassing the merely satisfactory level of job performance. A thorough knowledge and understanding of one's job responsibilities are essential. Appropriate activities may include:

- a continued record of at least notable job performance as per supervisor's evaluations;
- receiving complimentary, unsolicited letters or email from patrons; documentation of performance as noted by colleagues;
- developing outstanding instructional materials to be used on the job;
- developing expert skills and sharing the knowledge with colleagues and others,

- creating/maintaining outstanding internal Web site(s);
- participation in professional meetings, symposia, conferences, workshops, such as reading a paper, critiquing, organizing or chairing sections;
- creating innovative and effective workflows;
- evidence of continuing professional development;
- developing superior relations with faculty and other patrons, improving communication within the university community;
- award of grants and contracts aimed at improving individual, group, or library activities.

“A continued record of at least notable” repeats throughout this text, as does just the word “notable.”

It is interesting to see that grant activity appears here as well as in the Research category. A distinction is made between grants that improve library services and those that support scholarly activity.

Library faculty may find it more difficult than teaching faculty to separate teaching/librarianship, research, and service. Activities in those areas may be more integrated and hard to distinguish. Library appointment documents may feature this lists of activities in order to address this difficulty. Many of these documents also feature examples of documentation for these activities, and a number of them caution candidates to list activities in only one of the three categories.

RESEARCH/CREATIVE ACTIVITIES: Candidates will need to demonstrate progress in the area of professional research and publication. Appropriate products and activities may include:

“Will need to” in the sentence above is a softened modal, lower in deontic modality than “should” or “must.” “Appropriate products and activities” describes the material processes listed below.

- book, book chapter, or database;
- research article in a refereed journal;
- scholarly editorial contributions to a refereed journal;
- electronic databases or similar information tools that are widely used and disseminated,
- substantive, significant analytical or comparative reviews of the literature or bibliographical essays;
- scholarly presentations before professional meetings, learned societies, or before audiences where rigorously reviewed;
- award of grants and contracts to finance the development of research or other creative activity;
- creative and artistic contributions.

SERVICE: Progress in this area will include developing involvement in international, national, regional, or state professional organizations. Appropriate goals may include:

- serving as editor or member of the editorial board of a professional journal;
- making an invited formal presentation at a professional conference or seminar;
- holding an elected or appointed office in a professional organization;
- chairing a committee or task force for a professional organization;
- serving as the moderator of an electronic bulletin board or Web site manager for an external professional organization;
- serving as editor or member of the editorial board of a newsletter or service publication,
- writing reports of organizational activities as service publications;
- program participation as an introducer, moderator, panelist or recorder;
- program planning;
- appointment to a committee or task force;
- serving on the Library Faculty Policy Committee, search committees, Schwing Lecture Series Committee, and similar activities not directly job-related;
- serving on University committees, task forces, etc.

VI. PROMOTION AND TENURE

For promotion and tenure, activities should reflect a sustained contribution to the profession. The lists of activities and achievements given here are not intended to be comprehensive. Candidates may identify and pursue other types of activities and achievements. Consultation with tenured colleagues and the candidate's supervisor may help to guide candidates in choosing appropriate activities.

The idea of sustained and continuous effort is seen here. Nominalization is seen in “contribution” and “consultation.”

This document treats reappointment and promotion and tenure separately, with lists of activities in the three areas of the university’s tripartite mission that are not identical. The reappointment lists give guidance to pre-tenure faculty about appropriate activities. The promotion and tenure lists describe “satisfactory” and “notable” achievements, to give candidates more guidance about having “at least notable” performance.

“Consultation with tenured colleagues” repeats from a previous section.

“Identify and pursue” is a form of synonymy.

JOB PERFORMANCE: Library Faculty must have at least notable job performance to be considered for promotion and tenure. Notable job performance indicates that the individual candidate has a sustained record of surpassing the merely satisfactory level of job performance. A thorough knowledge and understanding of one's job responsibilities is essential. Appropriate activities may include:

It might go without saying that, "a thorough knowledge and understanding of one's job responsibilities is essential." This may be a way of saying that increasing expertise is essential.

- a continued record of at least notable job performance as per supervisor's evaluations;
- receiving complimentary, unsolicited letters or email from patrons, documentation of performance as noted by colleagues;
- developing outstanding library resources;
- creating innovative and effective workflows;
- developing superior relations with faculty and other patrons, improving communication within the university community;
- developing expert skills and sharing the knowledge with colleagues and others;
- active participation in professional meetings, symposia, conferences, workshops; such participation including reading a paper, critiquing, organizing or chairing sections;
- evidence of continuing professional development;
- award of grants and contracts aimed at improving individual, group, or library activities.

RESEARCH/CREATIVE ACTIVITY: Satisfactory performance will include activities or publications such as:

- a publication in a refereed national journal, a book chapter, or publications in a refereed state or regional journal;
- creation of a widely used and/or reviewed database, or other informational tool;
- publication of substantive, significant analytical or comparative reviews of the literature or bibliographical essays;
- application for research support/grants and or contracts to fund research or other scholarly endeavor.

The notable level requires a significant and sustained record of accomplishments. For promotion and tenure, notable achievement will include publications and accomplishments such as:

Performance in research and service are differentiated: satisfactory and "notable." Notable is defined as "significant and sustained" in the area of research.

- a book or chapter(s) in a book;
- articles in refereed publications with national or international reputation;

- articles in state and regional refereed publications;
- creation of widely-used and reviewed databases or other informational tools;
- participation in research-related professional meetings, symposia, workshops and conferences; such participation including reading a paper, critiquing, organizing or chairing sessions;
- award of grants and contracts to finance the development of research or other creative activity.

SERVICE: For promotion and tenure review, performance at a satisfactory level will include examples of significant activities and substantial involvement at the national or regional level. Appropriate activities include but are not limited to:

- serving as an appointed member of a committee or task force;
- involvement in planning programs;
- program participation as an introducer, panelist, or recorder;
- writing reports of organizational activities for service publications.

At the notable level, a clear record of significant professional service with indications of continued involvement is expected. In addition to the activities specified for satisfactory performance, a notable level of performance will include examples of significant involvement at the state, regional, or national level, such as:

- chairing a committee or task force;
- holding an elected or appointed office;
- making an invited or refereed formal presentation at a conference or seminar.

The concepts of continuity and significance are seen here.

The contrast of “satisfactory” and “notable” is a form of classification.

The distinction between satisfactory and “notable” shows the particular purpose and audience of this document. It is primarily for the candidates themselves, and is a form of mentoring.

*Type 2: Washington State University***Washington State University****LIBRARY FACULTY HANDBOOK*****CRITERIA FOR MERIT INCREASES, PROMOTION, AND GRANTING OF TENURE***

(Criteria approved 1/5/87 by Library Faculty; subsequent revisions approved by Library Faculty)

“Faculty status entails for librarians the same rights and responsibilities as for other members of the faculty. They should have corresponding entitlement to rank, promotion, tenure, compensation, leaves, and research funds, and the protection of academic due process.” (*Joint Statement on Faculty Status of College and University Librarians*, ACRL, 1972).

The WSU Faculty review process is outlined in the *WSU Faculty Manual* Section III.D (Employment) (http://www.wsu.edu/Faculty_Senate/contents.htm). General guidelines for criteria used in evaluating library faculty are listed in III.D.3.b.3. The general criteria are supplemented by the specific criteria listed below. These specific criteria are supplemental to the *WSU Faculty Manual*, which is the governing document for faculty review.

Intertextual references at the beginning of the document refer to the “Joint Statement,” and the university faculty manual, signaling that the document is based on the discourses of both higher education and librarianship

The granting of merit increases, promotion and tenure should be based on the judgments of Library faculty, members of the University faculty outside the Library, and, in the cases of tenure and promotion, professional colleagues outside WSU. Library faculty will be evaluated on performance according to criteria in the following three categories:

CATEGORY I: PROFESSIONAL COMPETENCE AS A LIBRARIAN;**CATEGORY II: RESEARCH/SCHOLARLY/CREATIVE & PROFESSIONAL ACHIEVEMENTS AND ACTIVITIES;****CATEGORY III: SERVICE TO THE LIBRARY, UNIVERSITY, AND THE PUBLIC**

This explicit classification creates cohesion by outlining the contents of the document. These categories are the “teaching, research, service” triad. The tripartite mission is expressed as “professional competence,” research and professional activities, service.

Library faculty must meet expectations in all three categories; achievement in one category

cannot substitute for inadequacies in the other categories. During the first year of service, the emphasis of expectation should focus on Category I criteria. Demonstrated merit and evidence of developing excellence are essential for increases in salary, advances in rank, and the granting of tenure.

The statement that achievements in librarianship, research, and service are all required is followed by the statement that in the first year, the “emphasis of expectation should focus on Category I. “Category I criteria” are those of “job performance.” A pervasive part of the discourse of faculty status is that expertise and performance as a librarian are essential. This passage sets up job performance as a foundation for research and service.

Application of the criteria in each of the three categories will vary depending on individual assignment(s). Many librarians must manage units as part of their primary responsibilities. Management effectiveness is critical to the provision of Library services; thus it is included in the Category I criteria. In addition, top Library administrators will be evaluated on their administrative effectiveness as part of the considerations for the granting of salary increases, promotion, and tenure.

The *WSU Faculty Manual* states that: “Tenure is granted only for academic rank of professional status within programs, departments, or service units. Department Chairs, School Directors, Deans, Directors, and other administrative officers do not acquire tenure in administrative positions.” (*III.D.5.a*)

This particular document is unusual in the emphasis it places on managerial responsibility.

CATEGORY I: PROFESSIONAL COMPETENCE AS A LIBRARIAN

Each librarian must demonstrate competence and evidence of developing excellence in his/her primary area(s) of responsibility, and maintain cooperative relations with faculty and staff. The following are examples of specific criteria for each area of responsibility:

The lists below are taken from position descriptions. Some are common to all areas (“Sensitivity to users’ needs”). Nearly all use “demonstrates,” or “maintains,” two verbs common in HR documents.

This document expresses a true model of faculty status, but it has the voice of an HR document. The ideology of management and efficiency, and values such as accountability are prominent.

The document is also a mix of genres. It includes elements of performance evaluation and job description, as well as the typical appointment document, and the guidance and advice document that interprets the criteria for new faculty.

A. Direct Reference Services

Demonstrates competence and good judgment in assisting all Library users to locate information.

1. Correctly discerns and interprets user requests and questions.
2. Demonstrates competence in using reference materials and other resources.
3. Demonstrates expertise in appropriate academic subject areas.
4. Maintains positive working relationships with personnel in academic departments or programs.
5. Demonstrates a willingness to assist users, persisting beyond conventional sources to provide desired information.
6. Demonstrates sensitivity to and understanding of users' needs.
7. Effectively communicates knowledge of library organization, policy and goals to users and academic departments.
8. Demonstrates understanding of acquisitions, bibliographic organization and control.

This document is full of examples of overwording and synonymy, especially in the descriptions of “competencies” for various library specializations. Examples from this section include “discerns and interprets” and “requests and questions.”

B. Collection Development

Demonstrates good professional judgment, fiscal responsibility, and competence in selecting library materials, in whatever format is appropriate including electronic, in support of the current needs and long-range goals of the Libraries. Demonstrates knowledge of licensing procedures and restrictions appropriate to the librarian's responsibilities.

1. Demonstrates comprehensive knowledge of the library collection, particularly in assigned academic subject areas.
2. Demonstrates knowledge of the curriculum, research, and other library-related activities of the University departments represented within an individual's assigned academic subject areas.
3. Demonstrates competence and good judgment in selecting and deselecting materials in all formats, both in assigned subject areas and interdisciplinary fields.
4. Maintains positive working relationships with personnel in academic departments or programs in assigned subject areas.

Overwording and synonymy are illustrated here by “good professional judgment, fiscal responsibility, and competence” and “competence and good judgment.”

C. Instruction in Library Use

Demonstrates competence in instructing users on the effective use of library resources.

1. Uses knowledge of representative literature and current trends in the subject areas of an individual's library division during instructional sessions.

2. Instructs users on accessing specialty resource collections within the WSU Libraries and on relevant external collections.
3. Effectively communicates knowledge of applicable resources within appropriate academic subject areas.
4. Develops effective instructional materials relevant to the needs of the individuals and groups served.
5. Demonstrates competence in the presentation of instructional sessions to the individuals and groups served by the Library.
6. Demonstrates knowledge of research strategies and the teaching of research skills.

“Applicable resources” and “appropriate academic subject areas” are examples of overwording. The word “appropriate” is frequently used as a kind of padding or emphasis.

D. Bibliographic Organization and Control

Demonstrates competence in establishing and maintaining bibliographic systems that facilitate the organization and control of library resources.

1. Demonstrates in-depth knowledge of past and present cataloging rules.
2. Competently applies currently accepted cataloging rules to produce high quality cataloging for all types of materials.
3. Demonstrates comprehensive knowledge of classification tables and subject heading schedules.
4. Demonstrates knowledge in the creation and application of metadata to facilitate effective access to digital information.
5. Demonstrates competence in the use of automated library systems and knowledge of current developments.
6. Demonstrates sensitivity to the needs of library users.

“In-depth,” and “comprehensive,” are overwording.

“Creation and application” is synonymy.

E. Acquisition of Library/Media Resources

Demonstrates competence in establishing and maintaining procedures for the effective and economical acquisition of library or media resources.

1. Demonstrates in-depth knowledge of the book or media trade and other sources of library/media materials.
2. Demonstrates competence in ordering, receiving and paying for library/media materials.
3. Demonstrates understanding of bibliographic citation techniques and descriptive cataloging.
4. Demonstrates competence in the use of automated systems and knowledge of current developments.
5. Demonstrates sensitivity to the needs of library users.
6. Successfully monitors budgetary expenditures and reports the results.

F. Access Services

Demonstrates competence in establishing and maintaining procedures designed to facilitate user access to WSU library collections and resources, and to the collections and resources made available through agreements with other colleges, universities, organizations, and institutions.

1. Demonstrates in-depth knowledge of automated circulation, reserves, and/or interlibrary loan systems.
2. Demonstrates understanding of agreements governing resource sharing among WSU campuses and programs, between WSU and relevant library consortia, and between WSU and providers of Direct Document Delivery services.
3. Demonstrates competence in managing and fulfilling requests for material through circulation, interlibrary loan, and/or document delivery services.
4. Demonstrates understanding of copyright law and licensing agreements as related to access services.
5. Demonstrates understanding of services available to distance users.
6. Demonstrates ability to generate statistical analyses of access services and to communicate relevant information to appropriate units and individuals within the Libraries.
7. Demonstrates competence in space/stacks planning and management.
8. Demonstrates sensitivity to the needs of library users.
9. Demonstrates competence in monitoring financial transactions (e.g., fees, fines, transaction charges) and providing budgetary accountability through appropriate reports.

“Managing and fulfilling” is from the language of HR, and is overwording and synonymy.

The repetition of “demonstrates” creates cohesion throughout. The nominalizations that represent the qualities or achievements that are “demonstrated” are a form of synonymy: “competence,” “knowledge,” “understanding,” etc.

G. Automated Systems Activities

Demonstrates competence in the use, evaluation and/or development of automated systems which support the principal activities and services of the Libraries, including mainframe as well as microcomputer-based applications.

1. Demonstrates understanding of existing system capabilities as well as general knowledge of current developments in library automation.
2. Designs effective and efficient means of evaluating library systems and provides appropriate analyses of such evaluation.
3. Demonstrates effectiveness in undertaking needs analyses, preparing specifications and assisting in the design, testing, and implementation of enhancements to the Libraries’ automated systems.
4. Effectively communicates knowledge of library automated systems activity to staff in the Libraries and to other appropriate departments and individuals within the University.

5. Maintains positive working relationships with Information Technology (IT) personnel as well as with staff in other library units.
6. Willingly assist, when appropriate, in the instruction of library staff in automated systems activities and procedures.

“Effective and efficient” is from the language of HR, and is overwording and synonymy.

“Design, testing, and implementation” is a series of three and a form of synonymy.

H. Management Effectiveness

Demonstrates good judgment and competence in directing and guiding library employees. Some criteria apply only to librarians who supervise library staff, while others also apply to those who have a coordination function without supervisory responsibilities. These criteria will apply to managers who are not unit heads.

1. Establishes and achieves goals and objectives in area of responsibility.
2. Maintains constructive working environment for employees.
3. Effectively plans and coordinates resources within budgetary constraints.
4. Competently monitors and directs the performance of employees supervised.
5. Delegates authority when appropriate or necessary.
6. Communicates effectively with supervised employees and other personnel in the libraries.
7. Effectively represent the libraries to the rest of the university and promote ongoing efforts for cooperation and collaboration.
8. Assists in the selection of competent, well-qualified employees in area of responsibility.
9. Impartially evaluates the performance of supervised employees.

While it is common to find descriptions of specialization in these documents, the descriptions here are more detailed and exhaustive than nearly any other in the examples compiled.

...text deleted ...

CATEGORY II: RESEARCH/SCHOLARLY/CREATIVE & PROFESSIONAL ACHIEVEMENTS AND ACTIVITIES

Since “The everyday professional activities of librarians [may] bring them into contact with the entire realm of knowledge,” (from Geahigan, Priscilla, et al, “Acceptability of Non-Library/Information Science Publications in the Promotion and Tenure of Academic Librarians,” *College & Research Libraries*, Nov. 1981: 571-575) research/scholarly/creative and professional activities in any area will be supported by the Libraries and will be given credit in assignment of merit ratings and promotion and tenure decisions. See Sec. 3.b.1.a. for Professional Activity Time (PAT) Guidelines. Research/scholarly/creative and professional

contributions will be evaluated for quality, quantity, and professional significance. Credit in the form of increased merit rating should be awarded at the time of publication, funding, exhibition, or performance. The following activities are examples and are not listed in priority order.

The idea that librarians might produce scholarly and creative activities from outside the field of library and information science is part of the discourses of librarianship, and contains heteroglossic oppositions. One part of the discourse is the idea that librarianship is informed by many other fields, and that librarians are conversant with many fields. At the same time, librarians come to the field with a variety of educational backgrounds, with other advanced degrees in many cases. A third element is the idea that librarians should do research on topics that will contribute to the theory and practice of librarianship.

A. Formal Publications

1. Publication of a monograph or book.
2. Publication of articles in refereed journals.
3. Publication of articles in non-refereed journals.
4. Contribution of a chapter or an article in a monograph or book.
5. Publication of substantial bibliographies.
6. Editing, compiling or indexing any substantial published work.
7. Production and public release, in an electronic format, of any of the above named “traditional” published products. (*See page 3.b.1.a.1 for “Guidelines for Evaluation of Electronic Publications”*)

“Formal” publications is an example of what Fairclough (1989, p. 110) calls “overwording.” It is used here seemingly to contrast “formal” publications (i.e., publications) with things like procedure manuals or internal newsletters.

B. Presentations

1. Presentations at meetings, conferences, or workshops.
2. Presentations to local groups.
3. Giving workshops.
4. Presentation of research/scholarly/creative exhibits/programs.

C. Professional Activities

1. Active membership in international, national, regional, state, and/or local professional organizations. (*Active membership means holding office, chairing or being a member of active committees, presenting papers at symposia, conferences, annual meetings, conducting workshops, etc.*).
2. Service as moderator or panelist at international or national conventions.
3. Service as moderator or panelist at regional or state conventions.
4. Service as organizer of professional meetings.
5. Service as editor of an academic or professional publication or journal.

6. Service as referee to a professional and/or scholarly journal.
7. Book and audio-visual material reviewing and/or abstracting.
8. Professional consulting or advisory services outside the university. (*See definition of consulting, Sec. 3.b, page 2 of 2*).
9. Substantial contributions to educational, scientific, cultural, civic organizations and/or private or governmental agencies at community, state, regional, national, or international levels.
10. Demonstration of ability to procure funding, grants, or donor gifts.
11. Recognitions and outstanding achievements (awards, honor societies, etc.).

“Professional activities” generally connotes the work of professional organizations. Some appointment documents include “professional activity” in the category of Service rather than Research or Scholarship. In other case, such as this one, it is enumerated and described in a way that puts it in the realm of Scholarship. One of the most prominent heteroglossic oppositions in the discourse of academic librarianship is that of “professional activities” vs. “research and scholarship.” Many documents conflate them in some way, seemingly in order to offer an escape hatch for librarians unwilling to engage in research.

D. Continuing Education

1. Completion of an additional advanced degree.
2. Coursework undertaken to expand professional competence.
3. Attendance at professional or scholarly seminars, workshops, or meetings.

CATEGORY III. SERVICE TO THE LIBRARY, UNIVERSITY, AND THE PUBLIC

Professional service efforts may be at the local, state, regional, national, or international level. The following activities are examples and will be evaluated on a qualitative and quantitative basis.

A. Library Service

1. Active participation on library working groups, committees and task forces.
2. Service as a representative of the library to professional or governmental bodies or agencies.
3. Service as editor or contributor to in-house publications such as *Library Update* and *The Record*.
4. Preparation of exhibits or programs within the Libraries.

B. University Service

1. Active participation on university and university-related committees and task forces.
2. Participation in university governance (Senate officer, Senator, etc.).
3. Presentations or seminars to, or consultations with, faculty and student groups within the university relating to professional matters.
4. Service as an advisor to student groups recognized by the university.
5. Service as a representative of the university to professional or governmental bodies or

agencies.

6. Consulting or advisory service to WSU off-campus programs or research/extension stations.
7. Preparation of exhibits or programs within the university.

C. Service to the Public

1. Presentation of informational public lectures or addresses.
2. Service to community libraries, museums or historical societies.

“Service” is basically confined to committee work at all levels. Publications that are not “formal” are included here.

MODELS FOR LIBRARY FACULTY PROMOTION AND TENURE

(Approved at 5/15/00 Library Faculty Meeting)

The purpose in developing models for Library Faculty promotion and tenure is to give librarians additional information regarding what is needed to achieve tenure. This document is intended to be a supplement to the Tenure Criteria found in the *Library Faculty Handbook*. It must be remembered that while quality is the driving factor in tenure decisions, quantity also contributes to successful tenure consideration. Individualism and diversity are valued in tenure consideration, hence the importance of more than one model as a path to tenure; each librarian selects the model best suited to him or herself, and indicates this model in documents supporting pre-tenure and tenure evaluation.

The individualized models presented here are an expression of the “wearing our own clothes” (Hill 1994) concept that is one prominent discourse of academic librarianship. “Individualism and diversity” are also part of one discourse of general faculty responsibilities and approaches to scholarship.

This part of the document uses a different genre than most appointment documents. It is a form of advice or mentoring, helping new faculty members understand the norms and values of the community.

Models 1-3 relate to tenure and promotion to Librarian 3. Model 4 is for promotion to Librarian 4.

Model 1 - The Balanced Model: A balance of achievement in primary responsibilities, publication and professional participation, and service is in evidence.

Category 1 (Professional Competence as a Librarian) - Strong performance in primary job assignment is essential for positive consideration for tenure and promotion. Annual reviews point up any problem areas that need to receive attention and emphasis. Steady improvement and growth is expected. Examples of this growth would be higher levels of performance, increased sophistication in projects and responsibilities, and leadership activities.

Category 2 (Research/Scholarly/Creative & Professional Achievements and Activities) - Publication usually includes two or more substantial writings such as an article in a refereed journal or a book chapter. Other publications such as book reviews and less substantial articles in terms of audience or length are exhibited during the course of the candidate's time at WSU Libraries. Professional activity includes a record of membership, active participation, and/or leadership in substantial committees of national or international library organizations and/or of scholarly organizations in other disciplines. National or international organization committees, including discussion groups, where a great deal of work is entailed and the candidate has been a fully participating member or chair are given more weight. Of particular note are activities that entail a great deal of time and energy and/or that produce substantive work that is important to the development of the organization and/or the profession. Although not a full substitute for national involvement, it is noted that state and regional organization work is of growing importance so will be given consideration. It is the responsibility of the tenure candidate to document the importance of the organization and the person's contribution to that organization.

The mixing of genres is evident in this passage, which is not carefully worded, but is more like a hastily-written memo: "It is noted that state and regional organization work is of growing importance so will be given consideration." The inclusion of a number of publications is rarely found in official appointment criteria. The sentence concerning, "[o]ther publications such as book reviews" that are "exhibited" is strangely-worded and it is hard to tell what it means. There is some lexical cohesion, but in one case, the idea that some committees "entail a great deal of work" is expressed as "a great deal of work is entailed," a passive construction that would more appropriately be expressed with "required."

Category 3 (Service to the Library, University, and the Public) - Service on Library committees, University committees and to the community is steady over the candidate's years at WSU. Committees that meet often, call for major time commitments, and are important to the mission, governance, and/or structure of the Library and University are more heavily weighted. Community service includes any volunteer activity that benefits the entire community or segments thereof.

Model 2 - The Publication Model: The candidate has chosen to be more involved in publication and less involved in organization work.

Category 1 - Same as Model 1.

Category 2 - Publication usually includes three or more substantial writings such as articles in refereed journals, book chapters, or monographs with a continuing pattern of smaller publications such as book reviews or shorter articles in non-refereed publications appearing in between. Since the emphasis is on publication, there will be a rigorous review of quality,

creativity, originality and quantity. Some professional activity in state or regional organizations must be evidenced.

Category 3 - Same as Model 1.

Model 3 - Professional Participation Model: The candidate has chosen to make significant professional contributions through national or international involvement and has a less extensive publication pattern.

Category 1 - Same as Model 1.

Category 2 - National or international involvement usually includes leadership of two or more important committees, and election to a major post within the organization structure. It is likely that the candidate has served in multiple capacities and/or has led in important activities such as standards, budget, planning, and executive committee work. It is assumed that there will be some publication but not as extensive nor as regular as is indicated in Models 1 or 2.

Category 3 - Same as Model 1.

Model 4 - Promotion to Librarian 4

The Libraries guidelines for promotion to the highest librarian rank, Librarian 4, include achievement of specific criteria for the promotion to Librarian 3, but in each instance more is expected, i.e., high performance as a librarian, more significant publications, and evidence of a national or international reputation. As stated in the *WSU Faculty Manual*, "...Promotion is not to be regarded as guaranteed upon completion of a given term of service. It is rare for a faculty member to attain the level of distinction expected for promotion to professor, or equivalent, before the sixth year in rank as Associate Professor, or equivalent rank. In both cases, demonstrated merit, and not years of service, is the guiding factor." Libraries faculty who are promoted to Librarian 4 have a distinguished record of research and professional activities in addition to excellence in the practice of librarianship.

"Library faculty who are promoted ... have a distinguished record" expresses warrantability, a high degree of epistemic modality: a guarantee that anyone who has been promoted has a distinguished record. The epistemic modality may be intended, or it may be a more typical cloaking of deontic modality as a statement (rather than saying "*must* have a distinguished record), placing obligation upon those who wish to be promoted.

Category 1 - Strong performance in primary job assignment is mandatory for promotion to Librarian 4, with a demonstrated record of progressive growth and excellence in librarianship. High supervisory evaluations, significant levels of performance, favorable assessments by colleagues and other pertinent individuals, major projects and responsibilities, leadership

activities, and awards are indicators of achievement.

Category 2 - Excellence in research, scholarly, and professional performance includes a demonstrated national or international impact on librarianship and favorable comparison to others at a similar stage in their professional careers. Original scholarship or creative productivity is evident through electronic or print publications, reports to professional organizations, performances, exhibits, awards, or similar accomplishments. A consistent pattern of publication and participation should be evident. Typically, a publication record includes a major contribution to the field, such as a scholarly monograph, or usually at least four articles in refereed journals, or the equivalent. Measures by which research and creative activities are evaluated include annual written evaluations, copies of publications, papers, grant applications, published reviews, letters of evaluation from professional associates, and honors or awards received. Measures by which professional activities are evaluated include holding offices in national or international professional organizations, presenting papers at national or international conferences, and substantive participation in national or international associations.

The mixing of genres is evident in this passage. “Typically, a publication record includes ... at least four articles in refereed journals” does what appointment documents try very hard to avoid: prescribing the specific number of publications needed for promotion. This section of the document is giving advice to candidates.

Category 3 - Commendable service on Library committees, University committees, and in community activities is steady over the years of employment. Measures by which service and outreach activities are evaluated include, but are not limited to, annual supervisory evaluations, assessments by colleagues and other individuals who have observed the candidate’s performance; and receipt of honors and awards.

NS: 3b1-Criteria—approved at Lib Fac Mtg 12/9/03

Type 3: University of Wyoming

THE UNIVERSITY OF WYOMING
Laramie, Wyoming

UNIREG 631, Revision 3
November 24, 1997

UNIVERSITY REGULATION 631, Revision 3**Initiating Authority:** University Libraries**Subject:** Regulations of the University Libraries**References:** (a) Regulations of the Trustees, Chapter IV(b) Regulations of the Trustees, Chapter III, Section 5

(c) University Regulation 1, as amended

(d) University Regulation 34, as amended

(e) University Regulation 174, as amended

(f) University Regulation 700, as amended

1. PURPOSE. To promulgate and amend the regulations of the University Libraries, as adopted by the library faculty.

2. GENERAL INFORMATION. Enclosure sets forth the basic organization and processes through and by which the library faculty may function in the exercise of its authority and responsibility as prescribed by the Regulations of the Trustees.

3. DIRECTIVE. In accordance with references (a), (b), and (c), Regulations of the University Libraries, as amended, shall be effective upon approval by the President of the University.

APPROVED: November 24, 1997

Philip L. Dubois
 President

The provenance of this document is very formal and official. While the university regulations have another section on general criteria for faculty promotion and tenure, this section includes the “regulations” of the library, including library faculty appointment and promotion criteria. Librarians at the University of Wyoming underwent a status change in the mid-1980s (Nyren, 1985). Professorial rank and tenure were replaced with parallel ranks and

extended term appointments, and “performance criteria unique to academic librarians” (p. 20) were created.

REGULATIONS OF THE UNIVERSITY LIBRARIES

PART I. PURPOSE

The purpose of the University of Wyoming Libraries is to collect, organize, distribute, interpret and preserve collections designed to meet the present and future scholarly and informational needs of the university community; to provide access to information sources not available within the libraries' collections; and to share the libraries' resources with Wyoming citizens and others.

Cohesion is created by repetition of “libraries” and “collect/collections.”

PART II. ADMINISTRATIVE ORGANIZATION

Section 1. ORGANIZATION

The University Libraries shall be organized to support the programs and functional needs as defined in the statement of purpose, additional statements of goals and objectives, and the Regulations of the Trustees, Chapter III., Section 5.

Section 2. DIRECTOR--APPOINTMENT, DUTIES AND RESPONSIBILITIES

The University Libraries shall be headed by a Director who shall be appointed in accordance with the Regulations of the Trustees, Chapter I., Section B. The Director shall report to the Provost and Vice President for Academic Affairs and shall be responsible for all matters related to the Libraries' programs as developed through its stated purpose, goals and objectives, and in accordance with the Regulations of the Trustees, Chapter III., Section E. The Director shall also function as a dean in all matters related to academic affairs and the library faculty. In the capacity of a dean the Director shall preside at meetings of the library faculty, encourage faculty development, and make recommendations concerning initial appointments, reappointment, extended term appointments and promotions.

This interesting passage makes the distinction between a director and a dean. The title of the library administrator at this university is, in fact, Dean, but the regulations address more generally the idea that the libraries have a chief administrator who directs their operations, and that the administrator reports to the Provost.

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PART III. LIBRARY FACULTY

Section 1. MEMBERSHIP

The faculty of the Libraries shall include the President of the University and the Provost and Vice President for Academic Affairs, *ex officio* without vote; the Director in the capacity of a dean, and all members of the University faculty serving in the Libraries with professorial ranks or the ranks of Assistant Librarian, Associate Librarian and Librarian as defined by this regulation.

Section 2. APPOINTMENT, REAPPOINTMENT, PROMOTION, AND EXTENDED TERM APPOINTMENT--CRITERIA AND PROCEDURES

A. General Information

Since the founding of the University of Wyoming, librarians have contributed to the teaching, research and service missions of the University, and they share the goal of the University to achieve excellence. Accordingly, the criteria for evaluating the University's librarians are designed to contribute to the achievement of this goal by the maintenance of high standards of librarianship.

The idea that librarians have a close association with the university's mission is pervasive in these documents. It makes the case that the university benefits from the contributions of librarians, and that their desire for recognition is not merely self-interest.

The main criteria for appointment, promotion and extended term appointment decisions for the library faculty at the University of Wyoming are creative development, advancement and dissemination of knowledge. These criteria may be demonstrated in the main functions of teaching and contributing to and support of the educational process, administration, extension, scholarship and other University related activities and services. In applying these criteria, however, it is essential to recognize the diversity which exists among the University's library faculty. The demand for excellence should be equally stringent for all library faculty, but flexibility is necessary in defining the specific areas for achievement.

The repetition of "achievement" and "excellence" from paragraph to paragraph creates cohesion.

This document collocates "teaching" with "contributing to and support of the educational process," making the claim that some library activities are teaching, and also making the distinction between those and activities that are related but are not teaching.

The idea of “diversity” in assignment and contribution is frequently found in library appointment documents, as is the idea that rigorous evaluation is applied to all.

The mission of the University and individual assignments and responsibilities should determine the emphasis given to each criterion. Librarians are responsible for acquiring materials in support of the University's programs, organizing them physically and bibliographically, and teaching faculty, students and others to use these materials and services to meet their instructional and research needs. The successful performance of these roles requires that librarians be informed of, involved in, and responsive to the information needs of the academic community. In supporting teaching and research and promoting learning, librarians act in a distinctive role which is part educational, part scholarly, part technical, and part administrative. The criteria for evaluating librarians reflects this complex role.

The description of librarians’ “distinctive role” and the criteria that follow may be the “performance criteria unique to academic librarians” that are described by Nyren (1985, p. 20).

The statement that librarians support teaching and research but “promote learning” addresses the question of how librarianship relates to teaching by describing the librarian’s role is complex, with a number of aspects (“part educational, part scholarly ...”) combined.

B. Library Faculty Ranks

Appointment as a member of the library faculty requires that an individual have the appropriate terminal professional degree: a master's degree in library science from a program accredited by the American Library Association (ALA), or an appropriate equivalent. Experience must be of a type and length appropriate for the particular position or rank.

The ranking structure for the library faculty is as follows:

ASSISTANT LIBRARIAN

ASSOCIATE LIBRARIAN

LIBRARIAN

...text deleted...

1. Assistant Librarian. This rank designates the beginning level of librarianship and generally requires little or no pertinent experience.

“Pertinent experience” is overwording. “Pertinent” is meaningful when experience *is* required, because it specifies that it must be a certain kind of experience, but if experienced is not required, its “pertinence” is irrelevant. “Pertinent experience” is the language of HR, and its use here lends to the authority of the text.

- a. Master's degree in library science from an ALA accredited program, or an appropriate equivalent.
- b. Promise as an academic librarian as demonstrated by performance and experience.
- c. Individuals must be recommended for extended term appointment and promotion from this rank by the end of the sixth year of service in rank, effective no later than the beginning of the seventh year of appointment, or be subject to a terminal contract in the seventh year.

Although University of Wyoming librarians do not have tenure, they have an up-or-out system that results in “extended term” appointment.

“Promise” or potential is part of the expression of the desirability of continuous and sustained effort.

2. Associate Librarian

- a. Advanced education or experience beyond the MLS, such as a doctorate, a second master's degree, a sixth year certificate in library science, or an acceptable equivalent combination of library experience, continuing education courses, and related academic experience.

The need for continuing education is part of the discourse of professionalism. The idea that librarianship is strengthened by advanced degrees in another area is a part of that discourse.

- b. Demonstration of professional expertise and a high level of creative and analytical ability in performing job responsibilities.
- c. Evidence of effective teaching performance.
- d. Evidence of sustained scholarship.
- e. Leadership in the activities of professional or scholarly organizations, University committees, or civic community groups.
- f. Six years of experience as a Senior Assistant Librarian at the University of Wyoming, or its equivalent, is normally required for appointment or advancement to this rank.
- g. Individuals who achieve this rank are eligible for extended term appointments as defined by this regulation.

3. Librarian. Appointment or promotion to this rank is reserved for individuals who have made distinctive contributions over a significant period of time.

- a. Advanced education or experience beyond the MLS, such as a doctorate, a second master's degree, a sixth year certificate in library science, or an acceptable equivalent combination of library experience, continuing education courses, and related academic experience.
- b. Outstanding achievements in areas of professional responsibility.
- c. Evidence of superior teaching performance.
- d. Evidence of significant scholarship
- e. National or regional recognition for leadership in professional or scholarly organizations.
- f. Seven years of experience as a Associate Librarian at the University of Wyoming, or its equivalent, is normally required for appointment or advancement to this rank.
- g. Individuals who achieve this rank are eligible for extended term appointments as defined by this regulation.

The consistent outline form and repetition of criteria from rank to rank creates cohesion.

C. Criteria for Reappointment, Promotion and Extended Term Appointment

In all cases, reappointment, promotion and extended term appointment will require excellence in performance, not merely time in rank. Evidence of achievement since the last advancement in rank is required in each case.

Reappointment, promotion and extended term appointment will be based on the requirements defined in this regulation, and in the two library faculty supplemental guidelines, "Guidelines for the Evaluation of Teaching in the University of Wyoming Libraries" and "Guidelines for Scholarship and Service." In addition to primary job responsibilities, requirements for the various ranks are listed in Section 2.B. hereof. The weight given to each criterion will vary on an individual basis and will be in accordance with an individual's assignments and responsibilities. Professional talents and inclinations, demands of appointment, and opportunities vary.

1. Teaching and Contributing to Support of the Educational Process: The library is a teaching unit and librarians should demonstrate professional and intellectual competence, creativity and initiative in accordance with the library faculty "Guidelines for the Evaluation of Teaching."

The statement that "the library is a teaching unit" draws a direct equivalency between librarianship and teaching, and the teaching mission of the university.

2. Scholarship: Librarians should show a thorough understanding of and commitment to the field of librarianship and continued intellectual growth in their area of specialization. They should demonstrate creative and analytical abilities in developing, evaluating and documenting library programs, systems, theories and procedures. Achievement will be assessed in accordance with the library faculty "Guidelines for Scholarship and Service."

3. Service: Librarians should show evidence of participation in University affairs. They should provide leadership in their areas of expertise to the University, the community and the profession. Achievement will be assessed in accordance with the library faculty "Guidelines for Scholarship and Service."

"Should" is a relatively weak modal. "Must" is more commonly found in these criteria. Presumably, these criteria are required and not merely suggested.

4. Administration

(a) General Criteria

Librarians should demonstrate leadership and sound organizational skills in planning, developing and coordinating library activities and programs. They should also demonstrate expertise in motivating and guiding the work of others, in delegating authority and responsibility, and in fairly and judiciously evaluating personnel.

(b) Representative Measures

- (1) Identification of library problems and the successful promotion of solutions.
- (2) Demonstration of ability to set objectives, express them in meaningful documentation, and plan their execution.
- (3) Demonstration of effectiveness in decision-making and execution of policy decisions.
- (4) Demonstration of ability to prepare budgets for the wise use of limited resources.
- (5) Demonstration of ability to encourage outstanding performance.
- (6) Demonstration of impartial and sensitive treatment of staff.
- (7) Establishment of effective training programs.
- (8) Demonstration of ability to communicate effectively with administrators, colleagues and staff.
- (9) Demonstrated awareness of new methods and technological changes.
- (10) Service on library administrative committees.

Much of this list is in the language of "competencies" and of job descriptions. The concept of "Representative Measures" is used only in this section on Administration, and below in Extension.

5. Extension

(a) General Criteria

Librarians should demonstrate involvement in extended degree programs and in extension services by assisting in making the Libraries' resources, both human and material, available off campus to the people of the State.

(b) Representative Measures

- (1) Planning and implementation of successful outreach programs in support of University extension programs.
- (2) Performance of representative measures as they are cited from the areas of contribution to and support of the educational process, administration, scholarship and service.

D. Extended Term Appointments

Extended term appointments, as defined below, may be granted to librarians who consistently perform the responsibilities outlined in their individual job descriptions in a competent, creative and professional manner; who develop a record demonstrating professional growth in the Libraries, the University and librarianship; and who are promoted to the ranks of Associate Librarian or Librarian.

...text deleted...

Associate Librarians and Librarians holding extended term appointments may be terminated prior to the expiration of said extended term only for cause or due to bona fide financial exigencies of the Library. "Cause" shall be defined to include any conduct in the nature of physical or mental incapacity, incompetency, neglect of duty, dishonesty, immorality, or conviction of a felony, which conduct impairs the ability of the Library or the University to carry out its functions.

...text deleted...

Aside from the fact that extended term appointments are for a period of five years, the description is nearly indistinguishable from tenure, including dismissal for cause or financial exigency only.

...text deleted...

PART V. AMENDMENTS TO THE REGULATIONS

Amendments to these regulations may be proposed by the library faculty at any meeting convened and conducted in accordance with PART III., Section 4 hereof.

Amendments to these regulations, excepting amendments to PART III. hereof, may be proposed by written request of at least three members of the library staff, as defined herein.

PART VI. EFFECTIVE DATE

These regulations and any changes, amendments, or additions thereto shall become effective immediately upon the approval of the President of the University, subject to review by the Trustees of the University of Wyoming.

*Type 3: University of Georgia***University of Georgia Libraries Faculty Guidelines for Librarian/Archivist Rank and Promotion**

The faculty organization is the “Libraries Faculty” but it includes two professional groups: librarians and archivists. Library Science, Archival Studies, and Museum Studies have a great deal in common in their education, aims, and practices, and some libraries employ archivists.

CRITERIA FOR LIBRARIAN/ ARCHIVIST RANKS

The criteria listed under each rank indicate the level of achievement candidates are expected to meet or exceed in order to be promoted to that rank. Prior service as a librarian/archivist or prior service in other professional activities qualifies for consideration in meeting the criteria for length of service, but is not automatically applicable. The typical length of service is indicated for promotion to ranks II, III and IV. These criteria exclude the year in which promotion would be considered. Increasing levels of attainment for these criteria are expected as a librarian/archivist moves sequentially through the ranks. The terminal degree appropriate for all librarian ranks is an ALA-accredited master’s degree in librarianship/information science or foreign equivalent. Equivalency will be determined by the Libraries’ Human Resources Department in consultation with the University Librarian and Associate Provost. The terminal degree appropriate for all archivist ranks is a master’s degree in a subject area related to archival work. Academy of Certified Archivists (ACA) certification is necessary for continuing employment beyond 5 years and for rank advancement beyond Archivist I for archivists. For documentation concerning the named criteria and evidence of fulfillment see “Criteria for Appointment and Promotion.”

The concepts of increasing expertise and sustained effort are clearly expressed in these general criteria.

The repetition of “criteria” throughout this paragraph is a way of creating cohesion.

The discussion of criteria includes the SFL Circumstance function, which expresses the semantic relations between clauses. The discussion of time in rank is Temporal Circumstance, the aspect of experiential meaning that locates a text in time.

Agency is reduced in this text. It is another example of the topicalization of the process, with nominalizations and passive clauses, e.g., “[i]ncreasing levels of attainment ... are expected.” “Equivalency will be determined,” etc.

Librarian I / Archivist I

Definition: Entry-level rank; used for persons with limited or no professional experience.

Criteria:

- ALA-accredited master's degree in librarianship/information science or foreign equivalent for librarians; master's degree in a subject area related to archival work for archivists.
- Exhibit the potential for successful overall performance as a librarian/archivist; demonstrate the ability to meet the eligibility for ACA certification within 2 years of employment and to fulfill the requirements of ACA certification by 4 years of employment as an archivist. Employment will not exceed 5 years unless ACA certification is met.

The parallel constructions in the descriptions of criteria for appointment to each rank are typical of these documents and are one of the major cohesive devices that are found in them. Cohesion is created with the repetition of "Librarian ... Definition ... Criteria"

Librarian II / Archivist II

Definition: Lower intermediate rank.

Criteria:

- ALA-accredited master's degree in librarianship/information science or foreign equivalent for librarians; master's degree and ACA certification for archivists.
- Successful job performance.
- Initial professional growth as evidenced by involvement in any of the following three areas:
 - Service to the University/Libraries;
 - Professional Activities; or,
 - Research and other Creative Activities. Service to the community may be used as additional support.

Length of service:

Before meeting the criteria for promotion to LibrarianII/Archivist II, an individual appointed as a Librarian I/Archivist I will typically have completed 2 years of professional experience by the promotion application deadline. Candidates may be recommended for early promotion if they are especially meritorious.

The length of time spent in the entry-level rank is significantly shorter than the time normally spent in a tenure-track position before promotion and tenure. There is no attempt in this document to draw a comparison between the ranks of

library faculty and professorial ranks.

Librarian III / Archivist III

Definition: Upper intermediate rank.

Criteria:

- ALA-accredited master's degree in librarianship/information science or foreign equivalent for librarians; master's degree and ACA certification for archivists.
- Continued successful job performance. The candidate is expected to demonstrate the potential for:
 - performing or administering complex or highly specialized duties; or,
 - for developing a high level of expertise in his/her specific area of librarianship/archival work.
- Continued professional growth since the candidate's last promotion as evidenced by significant contributions selected from the following three areas:
 - Service to the University/Libraries;
 - Professional Activities; or,
 - Research and other Creative Activities. Service to the Community may be used as additional support.
- Demonstrated consistency and growth in the candidate's work and other contributions along with a likelihood of continuing excellence.

Length of Service:

Before meeting the criteria for promotion to Librarian III/Archivist III, an individual appointed or promoted to the rank of Librarian II/Archivist II will typically have completed 5 years of professional experience by the promotion application deadline. Candidates may be recommended for early promotion if they are especially meritorious.

The parallel constructions in the descriptions of criteria for appointment to each rank are typical of these documents and are one of the major cohesive devices that are found in them.
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Librarian IV / Archivist IV

Definition: Highest rank.

Criteria:

- ALA-accredited master's degree in librarianship/information science or foreign equivalent for librarians; master's degree and ACA certification for archivists.
- Consistently successful job performance. The candidate is expected to:
 - perform or administer complex or highly specialized duties; or,

- have developed and maintained a high level of expertise in his/her specific area of librarianship/archival work.
- Recognized by his/her colleagues as being outstanding in at least one of the specific areas of librarianship/archival work.
- A record of sustained professional growth since the candidate's last promotion as evidenced by extensive contributions selected from the following three areas:
 - Service to the University/Libraries;
 - Professional Activities; or,
 - Research and other Creative Activities. Service to the Community may be used as additional support.

In each of these ranks, "professional growth" ("initial," "continued," or "sustained") is required. Research and publication are not a requirement, however, although that is one option.

Length of Service:

Before meeting the criteria for promotion to LibrarianIV/Archivist IV, an individual appointed or promoted to the rank of LibrarianIII/Archivist III will typically have completed 10 years of cumulative professional experience by the promotion application deadline. Candidates may be recommended for early promotion if they are especially meritorious.

CRITERIA FOR APPOINTMENT AND PROMOTION

Job Performance

The librarian/archivist has a major role in the academic community. He/she assumes primary responsibility for developing the library's/archive's collections, for extending bibliographic control over these collections, for aiding faculty and other scholars in the best means to utilize these collections, as well as instructing students and other library users on both a formal and an informal basis on the interpretation and use of them. The librarian/archivist serves as a resource person for the academic community providing extensive services which range from answering specific questions to compiling extensive bibliographies. Without the skills of highly skilled librarians/archivists, research and the quality of teaching in the university would be seriously impaired.

The pronouns "he/she" in the second sentence are an example of the grammatical cohesive device "substitution," which is common in many text types, but rare in these documents.

This paragraph asserts the librarian's role in the teaching mission of the university. In contrast to the previous sections of this document, the criteria are described here in a kind of narrative that describes the role, expertise, and

importance of academic librarians.

The word “utilize” is an example of overwording that is found in every kind of official and bureaucratic discourse. It can be replaced in every instance by “use.”

Librarians/archivists assume professional tasks which require a special background and education in one of the technical, public, or administrative areas of the Libraries; make independent judgments; and plan, organize, communicate, and administer programs of service to users of the Libraries’ materials and services. Candidates must be judged on criteria appropriate to their assigned duties. In any of the ranks, responsibilities may include supervision or management; however, administrative duties are not a prerequisite for any appointment or promotion.

“Professional tasks,” “special background and education,” and “independent judgments” are part of the discourse of professionalism. The intertext for this passage includes ACRL’s nine standards for faculty status, which describes an autonomous professional environment.

The performance of the librarian/archivist in his/her assigned duties becomes a critical factor in the Libraries’ continuing successful service to the university community. Successful job performance, which is defined as performance evaluated at the “meets expectations” level or above on annual performance appraisals, is the single most important criterion for promotion in rank. The librarian/archivist should have demonstrated the ability to carry out competently and independently the complete range of functions and duties relating to his/her rank and particular assignment. It should be recognized that each position necessitates particular requirements and skills, and these must be carefully considered. Job related characteristics such as accuracy, judgment, ability to organize work, dependability, initiative, positive relationships with staff and/or patrons, written and oral skills, and understanding of the relationship of one’s function to the more general goals of the Libraries and the University also have a bearing on one’s job performance and should be considered in the overall performance.

The idea that “successful job performance” is the most important criterion for promotion is found in virtually all of the documents used in this project.

The sentence that begins “job related characteristics” enumerates skills that are commonly-found in job descriptions and are part of the discussion of “competencies” for librarians.

Documentation

...text deleted ...

Service to the University/Libraries

The quality and extent of contributions to the Libraries and University as a whole will merit consideration for appointment and promotion. Contributions may include service on University-wide governing bodies and/or Libraries governing bodies; participation in University-wide or Libraries committees; work on university, faculty, or library projects; or involvement in any other way that would further the objectives of the University or the Libraries. Examples of university, faculty, or library projects include preparation of exhibits, participation in the planning of staff development workshops or other education programs, editing in-house newsletters, reports, or other publications.

“Quality and extent” illustrates the “quasi-synonymy” that is pervasive in these documents. “Quality and extent” is another way of saying “quality and quantity,” which are complementary. “Quality and extent” as it is used here is also an example of the quasi-synonymous overwording—saying what amounts to the same thing twice—that is characteristic of this register.

The thematic organization of this paragraph creates cohesion. The theme of the first sentence is “The quality and extent of contributions.” That theme is carried forward with the next sentence, whose theme is the “contributions” themselves. The theme of the final sentence is “Examples of ... projects” which were mentioned in the previous sentence as a kind of “contributions.”

Documentation

...text deleted ...

Professional Activities

Participation in professional activities on the local, state, regional, and national levels will be considered in determining appointment and promotion. Examples of such participation include active involvement in professional and learned societies as a member, committee member or officer, as well as attendance at professional, scholarly, or technical meetings, workshops, and conferences; consulting services to other libraries, archives, or academic institutions; service as a professional advisor to special programs or projects sponsored by scholarly organizations, consortia, or interdisciplinary academic groups; and outstanding achievements or promise as evidenced by awards, fellowships, grants, teaching and lecturing, and editorial activity.

Professional Activities also includes continuing education. Examples are: obtaining an additional advanced degree; completion of advanced courses in librarianship, archival studies, one’s academic specialization, or courses relevant to the candidate’s position; participation in continuing education programs including professional short courses, seminars, workshops, lectures, or conferences; or acquisition of additional skills relevant to the candidate’s position such as a foreign language, or computer programming; or participation in an internship program

or other similar program outside the library that is relevant to the candidate's position.

This paragraph has thematic organization that is similar to the paragraph on service. Repetition creates cohesion, This paragraph repeats many words and phrases from the previous one, first stating that activities at all levels will be considered, moving on to examples of activities, etc.

Aside from creating cohesion, the reason for such repetition is that this text is a "colony," as described by Hoey (2001), which is not necessarily read all the way through or read in order.

There are many examples of the "series of three" (or more) collocations that are characteristic of this register: "professional, scholarly, or technical meetings, workshops, and conferences." "Professional meetings" would have sufficed, but this register is exhaustive in covering every possibility.

Documentation

...text deleted ...

Contributions to Research and other Creative Activities

Contributions include research, publications, or teaching in librarianship, archival studies, one's academic specialty, or a related field. A list of specific endeavors which may fulfill the requirements in this area includes, but is not limited to:

- Author of publications (e.g., articles, chapters, reports, books, media productions, annotated bibliographies, or critical reviews appearing in professional books or journals)
- Citations to the candidate's research
- Presenter of papers , lectures, demonstrations, or poster sessions given at professional meetings
- Participation in other creative activities related to the librarian/archivist's specialization
- Creator of substantial processes, computer programs, software , or apparatus useful in library or archival operations
- Member or intern on an editorial board reviewing publications for a professional journal , panels judging grant/contract proposals, or juries judging art work or performing artists (i.e., consultant or judge in area of professional expertise)
- Author of substantial in-house print or electronic publications, such as annotated bibliographies, indexes, finding aids, databases , retention schedules or catalogs for public distribution
- Recipient of fellowships, grants, awards or other special honors for research or instruction

- Author of grant proposals for a project related to profession
- Instructor for a course in one's area of specialization

This list is worded in terms of role rather than process or achievement

Noteworthy contributions should be highlighted and elaborated on for the consideration of the Committee. The candidate should explain the nature and significance of each emphasized contribution.

This list of activities is the most exhaustive and detailed. It is the only area in which the candidate is asked to "explain the nature and significance." Since many of these activities have a product that could be examined, it is not clear why they need this explanation.

Documentation

...text deleted...

Service to the Community

Service to the community may be used as additional support. Service to the community involves participation in activities outside the University that help to carry forth the University's service to the community, or that in any way enhance the image of the University to the community at large. Specific activities include: serving as a consultant, teaching, or otherwise extending one's knowledge to the public; participation in civic or community activities, such as committee work, holding an office, or volunteer work.

The phrase "additional support" signals that this aspect of performance is *not* being evaluated as particularly significant, or at least that it is not significant without substantial accomplishments in other areas.

Documentation

...text deleted ...

Approved by: Libraries Faculty, February 1989

Amended: June 1991, July 1991, Oct. 1991, Mar. 1998, Feb. 1999, Oct. 2001, Jan. 2002, April 2005

Type 4: University of Missouri

A GOVERNANCE SYSTEM FOR
 LIBRARIANS AND ARCHIVISTS OF THE
 UNIVERSITY OF MISSOURI—COLUMBIA LIBRARIES
 Approved by the Librarians and Archivists
 of the University of Missouri—Columbia Libraries

Revised June 2006
 Originally written by the
 Committee on a Governance System for Librarians
 and approved by the Provost, July 1990.
 Previously revised July 1992, August 1994, July 1997, June 1999, May 2001, January 2003,
 August 2003, January 2004, June 2005

Although the librarians at this university are not faculty, they have a collegial governance system.

...Text deleted ...

INTRODUCTION—THE LIBRARIAN AND THE ARCHIVIST

“The librarian and the archivist” signals that a narrative will follow. Librarians at Missouri are not faculty, but this document uses a faculty genre.

It is formal and impersonal throughout. It uses the discourse of professionalism, of librarianship as a profession, and of “accountability.” The ideology is that of librarianship as a profession and of the profession as a service.

The document parallels a faculty document in every way, while asserting that librarians are not faculty and explaining why this should be the case. The voice of the librarians is heard throughout, articulating the “parallel” model of academic librarian status, valuing continuing education and the work of professional organizations over research, and, in fact, privileging those things over research as being more appropriate.

Librarians plan for the improvement of information resources and develop and maintain the Library’s collections. They provide access to these resources through bibliographic analysis and instruction, cataloging, circulation, reference and information assistance.

This is an example of knowledge exchange, of epistemic modality. It is a declarative statement that is high in warrantability and certainty.

Part of the ideology – the belief system of librarians, is that information is desirable and giving access to information is a service that requires expertise.

...Text deleted ...

Beyond the local context, librarians/archivists contribute to scholarly literature, national databases, and professional organizations, and extend service through resource sharing and data base searching.

Librarians/archivists are often identified with faculty because they constitute a significant group of professional educators acting in concert with the faculty to support academic programs and pursue common objectives.

“Identified with faculty” reflects the variety of librarian ideology that is found in this document. The reason given for librarians being “identified with faculty” is actually an argument that is found in many appointment documents. This document puts it very well: “a significant group of professional educators,” “common objectives,” etc.

“Significant group of professional educators” aligns librarians with “faculty,” but uses “educators” as a broader term. “Acting in concert with faculty,” and “support academic programs” is part of the discourse of “librarianship as service.” This text emphasizes the common goals of librarians and faculty, which maintaining the uniqueness or special character of librarianship. “Often identified with faculty” is a “triggered assumption.” It triggers the evaluation that comes next: a rejection of the idea that librarians *are* faculty and assertion that another governance model is better, not just for librarians, but for the organization.

Faculty rank, however, is not a universal method of providing a governance structure for academic librarians/archivists. Faculty rank which defines research and publication as overriding criteria for promotion differs with what most MU librarians/archivists see as their central role: providing access to recorded knowledge.

The assumption contained here is that obligation for scholarship interferes with the “central role.”

“Faculty rank” is a way of saying “faculty status.”

“Faculty rank which defines research and publication as overriding criteria” makes the assumption that the research requirement for faculty librarians is necessarily that “overriding” criterion.

Academic non-regular status was granted to librarians in A PROVISION MAKING AVAILABLE ACADEMIC STATUS FOR PROFESSIONAL LIBRARIANS IN THE UNIVERSITY OF MISSOURI (adopted February 22, 1971 and amended March 31, 1976). But other characteristics of a collegial system, particularly peer review, have been lacking, and are addressed herein.

“Academic non-regular status” may represent an approach to categorization that uses “membership gradience” or perhaps “family resemblance.” It may also be viewed as neither fish nor fowl, not a robin and not even a penguin—a collegial system, but not faculty.

The components of this system provide internal responsibility for basic personnel functions: academic recruitment, appointment, evaluation, promotion, termination, and salary administration. To elaborate these principles of governance, this document establishes:

1. academic freedom and responsibility for librarians/archivists,
2. the ranks of librarians/archivists,
3. professional guidelines for appointment, promotion, performance appraisals, limitations of time in rank, career development, compensation, leaves, and termination.

These are all elements of faculty governance, and part of the intertext that informs them is the ACRL guidelines for faculty status.

Like some other institutions, such as Georgia, Missouri puts librarians and archivists into a single model.

“Provide internal responsibility” connotes self-governance, but also allays fears that teaching faculty will judge librarians by inappropriate standards.

This administrative entity, the University of Missouri—Columbia Libraries, is currently defined as Ellis Library, its annex, Tate Hall, and the Engineering, Geological Sciences, Health Sciences, Journalism, Mathematical Sciences, University Archives, and Veterinary Medicine Libraries.

The officious tone: “this administrative entity ...” creates distance between author and audience.

Once approved, this document may be amended or changed only by a two-thirds vote of all librarians/archivists and the approval of the Director of Libraries. Elements of this document which are also specified under UNIVERSITY OF MISSOURI COLLECTED RULES & REGULATIONS cannot be so changed. The COLLECTED RULES AND REGULATIONS have precedence over any conflicting provisions contained in this document; however, the invalidity of unenforceability of

one or more provisions shall not affect any other provision of this document. Such conflicts must be discussed and addressed in this document as soon as they are known.

The discourse of a “profession” includes self-regulation and autonomy. “Invalidity or unenforceability” is an example of nominalization, not of verbs but adjectives, which may account for the awkwardness of this phrase.

Any librarian/archivist, including the Director of Libraries, may initiate an amendment or change to this document by submitting it to the Chair of the MU Libraries Academic Promotion Committee. The Committee will then assist in the formulation of such amendments and communicate the suggested changes to all librarians/archivists in writing, conduct meetings to discuss relevant issues, and conduct balloting on all proposed changes.

This paragraph describes some of the rules for interacting with this text.

ACADEMIC FREEDOM AND RESPONSIBILITY

To protect the intellectual freedom of others, librarians/archivists must be assured of the right of intellectual freedom for themselves. Unwarranted dismissal or threat of dismissal must not restrain librarians/archivists in the responsible exercise of that academic freedom. Librarians/archivists have that explicit protection under UNIVERSITY OF MISSOURI ACADEMIC GRIEVANCE PROCEDURES.

Academic freedom is one of the hallmarks of being a faculty member and one of the reasons that librarians seek faculty status.

“Intellectual freedom” is a well-known concept from the ideology and intertext of librarianship.

Librarians/archivists are committed to providing access to information representing all points of view, resisting the abridgment of free expression and free access to information, and protecting the privacy of library users. MU Librarians seek to abide by the CODE OF ETHICS OF THE AMERICAN LIBRARY ASSOCIATION, 1995 (appended to this document). MU Archivists seek to follow the CODE OF ETHICS FOR ARCHIVISTS, adopted by the Council of the Society of American Archivists in 1992 (appended to this document).

The reference to the Code of Ethics is an intertextual relationship that is pervasive in these documents.

Professionalism

MU Librarians/Archivists endeavor to:

- improve the quality and effectiveness of the Libraries’ services and processes,
- treat the Libraries’ users and coworkers with courtesy, respect, and equity,

- continuously improve their own skills and knowledge, and share that knowledge with the Libraries' users and with coworkers,
- practice open, honest communication,
- recognize and, when possible, reward creativity, clear thinking, and productivity in their coworkers.

This description of "professionalism" is an expression of the discourse of professionalism that is a part of the ideology of librarianship and of an academic workplace in general: expertise, commitment, and equity.

LIBRARIANS AND ARCHIVISTS AS A PROFESSIONAL GROUP

Because a healthy library organization benefits from the responsible exercise of academic freedom, expression of diverse viewpoints, and a perspective across the whole organization, librarians and archivists should have an opportunity to communicate in a manner independent of the established administrative hierarchy. To this end, librarians/archivists (except the Director of Libraries) shall elect a representative, who has the responsibility of expressing the interests and perceptions of this group. Such communications may be conveyed privately to the Director of Libraries, through participation in meetings of the Library Council (or similar advisory group), or to others, as appropriate.

This paragraph describes librarians as a collegial group and makes a distinction between them and their administrators. The words "healthy" and "responsible" are used to reassure the administration that they will not be adversarial or antagonistic.

This paragraph and the one below express the discourse voice of the librarians and archivists as a collegial body. It describes their role in governance and their relationship with the library administration.

This representative, the MU Libraries Academic Representative, is also responsible for calling and conducting meetings, at least once annually, in which librarians/archivists (except the Director of Libraries) express substantive concerns, recommendations, suggested actions, commendations, and related communications regarding the effectiveness and progress of MU Libraries as an organization. Such expressions are to be collected in an annual report. The responsibilities of the Representative, a description of the annual report and other communications, and the method of electing this representative are detailed in the sections,

ELECTION OF THE ACADEMIC REPRESENTATIVE, RESPONSIBILITIES OF THE MU LIBRARIES ACADEMIC, AND MEETINGS AND COMMUNICATIONS OF THE MU LIBRARIES ACADEMIC STAFF.

RANKS AND QUALIFICATIONS OF LIBRARIANS

Ranks for librarians consist of Librarian I, II, III, and IV.

“Consist of” is overwording. “Are” would suffice.

The following qualifications and requirements pertain to appointment and promotion to these ranks. Please refer to the section “The Candidate’s Promotion Dossier” for further details regarding experience, performance, education, and professional activities. Appointment, herein, refers to initial hiring.

“Herein” is very formal, and creates distance.

No degree of educational advancement, participation in professional or scholarly activities can compensate for less than high quality job performance. Likewise, no achievements can obviate professional behavior as judged by our peers and as described in part under Academic Freedom and Responsibility, above.

Very formal, and phrased like a aphorism: “No degree ...” “Obviate” is very formal. This expresses the almost universal view that “job performance” is the sine qua non for librarians (as teaching is for teaching faculty, or as it is said to be). The assumption behind this is that expertise in reference, instruction, cataloging, acquisitions, and so on, and the application of that expertise in assisting library users and providing programs and services that apply their expertise.

Graduate education, because of its emphasis on inquiry, research, and explication, is of value per se to the work of libraries, even when not directly related to assigned responsibilities.

“Inquiry, research, and explication” is a good example of the “series of three” collocation that is a form of synonymy. It is a characteristic of these documents and of the language of HR in general.

One graduate degree may not be used to obviate further education. The same graduate degree, publication, professional activity, or committee work may not be used to qualify for more than one promotion. Likewise, experience, performance, education, degrees, and professional activities completed prior to appointment as a librarian at MU Libraries may not be used to qualify for promotion at this institution.

The repetition of “obviate” creates a link with the previous paragraphs. It assumes or triggers the assumption that some people may be reluctant to pursue further education. Part of the ideology of librarianship is that it is informed by other fields, and that librarians come from many different subject and disciplinary backgrounds. The idea that graduate education is beneficial “per se” is an

improvement on the utilitarian and pragmatic tone of some library documents, although the idea of “using” education, etc., for promotion, is not.

Professional Degree

A master’s degree in library and information studies from an American Library Association accredited program is required of all librarians regardless of rank. Exceptions are allowed for master’s level programs in library and information studies from other countries recognized or accredited by the appropriate national body of that country. Any other exceptions must be approved by vote of the MU Libraries Academic Promotion Committee before a candidate’s vita may be considered.

Some form of this text is found in virtually every library document, regardless of any differences in status. This description is common in the discourse formation of librarianship. It is always worded so that exceptions can be made.

I. LIBRARIAN I

This is the entry level rank assigned to those librarians who have just begun their professional careers or who have served only a short time in a professional capacity.

A. Minimum Qualifications

A masters degree in Library Science from an A.L.A. accredited program is the minimum qualification for Librarian I. Prior professional experience is not required for appointment to this rank.

B. Time in Rank

A period of at least three (but not four) years from appointment is allowed for an entry level librarian to qualify for promotion to Librarian II. This period provides the librarian ample time to prove herself/himself, and supervisors adequate time to judge performance.

It is very important that the Librarian I consult with her/his supervisor and the Librarians’ Promotion Committee to have a clear understanding whether her/his activities and performance meet the necessary qualifications for promotion.

If the Librarian I does not successfully attain promotion to the next level within the period of **three (but not four) years**, the librarian **will not be reappointed, but will retain their appointment until the end of that contract year**. In this case written notice will be given to the librarian by the appropriate administrative officer no later than May 1.

The criteria for this rank are minimal. “Entry-level” is from the HR register, as is the word “supervisor.” Acceptable activities are not listed or described, and the candidate is told to consult supervisor and promotion committee. The promotion system is “up or out” like a faculty promotion and tenure system. “At least three (but not four)” is idiosyncratic and hard to understand, and it is repeated at other places in the document.

I. LIBRARIAN II

One attaining this rank is recognized to be a competent, productive, contributing librarian who seeks to exemplify professionalism, as described in part under ACADEMIC FREEDOM AND RESPONSIBILITY. There is no limitation of time in rank at this level, thus promotion to Librarian II is recognition that further promotion need not be sought. The Librarian II should have the following qualifications.

This passage displays typical reduced agency with the passive “is judged.” The mental process of judging is expressed with no Senser.

“Thus” is a very formal conjunction.

A. Experience

At least three years of professional library or related experience is recommended for appointment or promotion to this rank. These three years must be completed before the application for promotion is submitted. An exception to this requirement is that Librarian I’s hired with previous professional experience must complete two years of professional service in the MU Libraries for promotion to the rank of Librarian II.

“Is recommended” is lower in deontic modality than “must” in the next sentence. This document shows little enthusiasm for previous experience.

B. Performance

Job performance must be judged productive, competent, and energetic, demonstrating active participation and the potential for growth.

High in deontic modality. “Energetic” is in striking contrast to the formality of the rest of this document, but it is connected with “active participation and potential for growth” which follow it.

C. Education

The librarian should be engaged in at least one of the following for promotion/appointment to Librarian II.

i. Graduate Education

Completion of, or progress towards, an additional graduate degree fulfills this requirement. At minimum, two courses in the same subject discipline should be completed.

ii. Continuing Education

Continuing education may include academic course work, short courses, seminars, research, and/or self-directed study to attain new proficiencies relevant to library service.

The emphasis on further graduate education is prescriptive and specific. It may indicate the connection of librarianship with other academic fields, and the value of being informed by other disciplines, but there are two voices in that discourse: one that views librarians as scholars and experts who are informed by many fields, and another that views it as a profession that must be bolstered by the “real” knowledge or scholarship of other fields.

D. Professional Activities

The librarian should also demonstrate active participation in at least one of the following for promotion/appointment to Librarian II.

Research and publication are an option but not a requirement. The value of “professional activities” is part of the discourse of librarianship as a profession. The “at least one of” concept is meant as an escape-hatch for those who do not want to do research. This passage also embodies two conflicting voices: that of the “doers” with no time for or interest in scholarship, and that of the “scholar-practitioner” who seeks to integrate scholarship and practice.

i. Professional Organizations

Activities in professional organizations include committee appointments and involvement in professional meetings. Activities may be in professional organizations at the local, state, national, or international level.

The importance of professional organizations is part of librarians’ identity as a professional group. The associations promulgate standards and accredit professional education, and are vehicles for networking and change.

ii. Library and University Service

Library and university service may include such things as participation in the work of committees, liaison activities with external organizations, or special assignments beyond those required by the position.

Descriptions of “service” often address the idea of “special” or “beyond the job” assignments. For librarians, it may be harder to separate special from normal.

iii. Publications, Teaching, and Innovation

Scholarly and professional activities may include publications, editorships, lectures, teaching, grant writing/administration, software development, presentation of papers, posters and poster sessions.

This organization does not have the need to engage in the teaching faculty model of scholarship. This list makes no distinctions among various kinds of scholarly activities (peer reviewed, etc.)

III. **LIBRARIAN III**

The rank of Librarian III is for those with a proven record of accomplishment, marked by increasing challenges and higher levels of responsibility. At this level the librarian must be effective, productive, and resourceful, seek to improve the quality of library service as well as her/his professional capabilities, and exemplify professionalism, as described in part under ACADEMIC FREEDOM AND RESPONSIBILITY.

“Effective, productive, and resourceful” is a form of synonymy, the series of three that is characteristic of this register.

“Increasing challenges and higher levels of responsibility” is a form of synonymy. The two phrases do not mean the same thing, but are two ways of expressing the same idea.

This description illustrates the themes of continuity and growth that are part of all promotion criteria. “Exemplify professionalism” means to represent the profession well by displaying the qualities enumerated.

The Librarian III should have the following qualifications.

A. Experience

Six years of professional library or related experience is recommended for promotion/appointment to this rank. For promotion, at least two of the six years should have been served in the MU Libraries.

B. Performance

Job performance must exhibit leadership, resourcefulness, energy, dedication to service, problem-solving ability, and skill in interpersonal interactions.

The nominalization “performance” is given further metaphorical weight by the word “exhibit,” which is usually applied to people. “Resourcefulness” is a synonym for creativity, with a further connotation of using limited resources (funds) and a certain cleverness with technology or procedures. “Energy” is mentioned again, which is an echo of “effective” and “productive” in the description of this rank.

C. Education

For appointment/promotion to Librarian III the librarian must have accomplished at least one of the following:

i. Graduate Education

- Significant course work or the completion of an additional graduate degree;
- ii. Continuing Education
Continuing education may take a variety of forms (academic course work, short courses, seminars, research, and/or self-directed study, etc.) but should represent significant efforts to extend the librarian's awareness and develop new proficiencies relevant to library service.
- D. Professional Activities
For appointment/promotion to Librarian III the librarian must have accomplishments in at least one of the following categories.
- i. Professional Organizations
Activities in professional organizations at this level should include active participation in professional organizations. Commitment should be demonstrated by committee leadership (not limited to chairships), the holding of offices, and recognizable accomplishments. Activities may be in professional organizations at the local, state, national, or international level.

“Commitment should be demonstrated” illustrates nominalization, a passive construction with reduced agency.

The repetition of “activities” and “active” creates cohesion.

- ii. Library and University Service
Committee work, liaison activities with external organizations, and special assignments should be characterized by leadership and should involve productive activities directed toward significant issues with recognizable contributions.

“Productive,” “significant,” and “recognizable” are a form of synonymy and are used more like intensifiers than descriptive adjectives.

- iii. Publications, Teaching, and Innovation
Scholarly and professional activities include publications editorships, lectures, teaching, grant writing/administration, software development, presentation of papers, posters and poster sessions. Such contributions will be judged on their quality and significance.

IV. LIBRARIAN IV

The rank of Librarian IV is reserved for those whose contributions to library service are widely recognized, are proven by tangible accomplishments, and are accompanied by the highest standards of professional behavior, as described in part under ACADEMIC FREEDOM AND RESPONSIBILITY. A librarian at this level has not been merely a participant in library activities, but has taken risks to seek progress, shown energy and resourcefulness in solving significant problems, and has accomplished positive change.

“Reserved” indicates that not everyone will attain this rank. “Professional” qualities are invoked again. “Energy and resourcefulness” at this level involve risk-taking.

“Positive change” is overwording. It would hardly be expected that a candidate for promotion would be given credit for change that was not positive.

A. Experience

Ten years of professional library or related experience is recommended for promotion/appointment to this rank. For promotion, at least three of the ten years should have been served in the MU Libraries.

B. Performance

Job performance must be judged over time to be of excellent quality, characterized by collaborative and cooperative behavior, creative thinking, productivity, knowledgeability, and a continuous effort to improve skills and performance. Accomplishments must prove dedication to improving service, problem-solving ability, thoughtful leadership (not necessarily in a management position), and skills in both planning and interpersonal interactions.

The nominalizations in this passage are very awkward: “Job performance” is judged to have “knowledgeability”

C. Education

Educational achievements must be extensive and noteworthy. Some level of continuing education is expected regardless of academic degrees. Such achievements are required in at least one of the following areas

Synonymy is a common cohesive device in this document and this register. “Extensive and noteworthy” is another way of saying “quality and significance.” Throughout this document there is synonymy and repetition that emphasizes the themes of professionalism, significance, continuity, growth, service, expertise.

i. Graduate Education

At this level, significant course work or an additional graduate degree is highly recommended to enhance expertise or enlarge the scope of the librarian’s knowledge.

Synonymy creates cohesion here: “enhance expertise” and “enlarge the scope of ... knowledge” are two ways of saying the same thing, although “expertise” is an important word in the discourse of librarianship as a profession.

ii. Continuing Education

Continuing education may take any of its variety of forms (academic course work, short courses, seminars, research, and/or self-directed study, etc.), but should involve diversification and lead to special proficiencies, breadth of knowledge, innovation, improved performance, and superior judgment. The result must be cumulative expertise and the sharing and application of this knowledge.

D. Professional Activities

Professional stature is recognized in and beyond the local setting and must exhibit dedication and accomplishment over time. Participation is required in at least two of the following areas.

i. Professional Organizations

Activities should include the holding of major offices, high-level committee work or chairships in professional organizations. Contributions should be long-term and of such magnitude as to be recognized by those who are competent to judge, and should involve significant issues which impact library service or enhance knowledge/skills for library service. Activities may be in professional organizations at the local, state, national, or international level.

“Long-term and of such magnitude” and “significant issues” express both the idea of continuity and sustained effort and the evaluative attribute Importance/Significance.

ii. Library and University Service

Library and University service (such as committee work), liaison activities with external organizations, and special assignments, must be characterized by consistent leadership. These accomplishments are to be directed towards solving significant problems and improving the services of the library and/or university.

“Consistent leadership” and “significant problems” express the evaluative attribute Importance/Significance

iii. Publications, Teaching, and Innovation

Scholarly and professional activities, such as publications, editorships, lectures, teaching, grant writing/administration, software development, presentation of papers, posters and poster sessions, should be more than occasional and must reflect expertise recognized by those who are competent to judge. The quality and significance of such contributions must be consistently high.

Descriptions of education and professional activities are nearly the same for all ranks, but Librarian III and IV have increasing expectations of

“significance” and continuity. The highest rank requires “at least two” areas of professional activity, but still allows librarians to opt out of research.

...Text deleted ...

LIMITATIONS OF TIME IN RANK

The limitation of time in rank for librarians/archivists pertains only to the entry level positions, Librarian I and Archivist I. It consists of at least three (but not four) years from appointment or anniversary date, in which the incumbent must be promoted to Librarian II or Archivist II or he/she will not be reappointed. Criteria for promotion and associated procedures are elaborated in this document under DESCRIPTION OF THE SPECIFIC RANKS OF LIBRARIANS, DESCRIPTION OF THE SPECIFIC RANKS OF ARCHIVISTS, PROCEDURES FOR PROMOTION, and elsewhere.

Librarians/archivists at the University of Missouri-Columbia do not have faculty status and consequently cannot attain tenure. Limitation of time in rank is a requirement placed on librarians/archivists by themselves to foster high levels of performance.

It is odd that the document reiterates that fact that librarians are not faculty, and therefore cannot earn tenure, at this point. The implication of this passage is striking: only “faculty” have “tenure” but the MU librarians have an up-or-out system because it “fosters high levels of performance.”

“At least three (but not four)” is also odd: it means “exactly three” or maybe it means 3, 5, 6, etc., but *not four*.

...Text deleted ...

Type 4: Cornell University

CUL Procedure #13: Appendix B
CRITERIA FOR APPOINTMENT, REAPPOINTMENT AND PROMOTION
April 1995

Although librarians at Cornell are "academic staff," this document is indistinguishable in some ways from documents from institutions where librarians have faculty status, although it is written in the language of HR and concentrates on basic requirements.

This document is quite terse, especially compared with others from this population. It is tempting to wonder whether the one private (and Ivy League) land grant finds it unnecessary to create exhaustive lists of examples of excellent performance and to express the values of librarianship in a lengthy narrative.

Although it is less wordy than most of the documents assembled for this project, it still shows the consistent overwording that is a characteristic of this genre, with adjectives such as "relevant" or "effective" and synonymy in phrases like "task force or committee."

CRITERIA FOR APPOINTMENT, REAPPOINTMENT AND PROMOTION

For determination of initial appointment rank, see [Appendix D](#).

I. Assistant Librarian**A. Criteria for appointment to Assistant Librarian**

1. M.L.S. or its equivalent graduate degree, or the appropriate degree(s) for archivists or special positions.
2. Evidence of subject competence if required by position.
3. Evidence of successful performance in job-related courses and/or work experience.

B. Criteria for reappointment after one-year probationary period

1. Successful performance of duties and responsibilities demanded by the position.
2. Demonstration of the ability to work effectively with patrons, colleagues, supervisors and subordinates, where appropriate.
3. Evidence of potential for development and flexibility in the context of a changing work environment.

These minimal criteria are stated in the language of HR: "Successful performance," "ability to work effectively," etc.

...text deleted...

II. Senior Assistant Librarian**A. Criteria for appointment or promotion to Senior Assistant Librarian**

1. Successful performance as an Assistant Librarian at Cornell or the equivalent rank/position at another institution. Evidence of success as an Assistant Librarian may be based on achievements and characteristics listed below:

- a. Ability to act independently and creatively in one's position.
 - b. Contributions to the overall operation of a unit, department, division or library.
 - c. Demonstrated capacity to work successfully with patrons, colleagues, supervisors and subordinates, where appropriate.
 - d. Evidence of increased competence in librarianship and other relevant disciplines.
 - e. Contributions to the profession, the library and/or its parent institution.
 - f. Successful completion of job-related courses and institutes, effective participation in library task forces, committees, etc., effective representation of library interests to non-library groups, committees or University staff.
2. Evidence of further development in one's position, in general professional knowledge and, if pertinent, in a subject area.

This rank is virtually the same as the entry-level rank. "Ability to act independently and creatively" is the language of "competencies."

"Increased competence" and "evidence of further development" express the concept of continuity.

...text deleted...

III. Associate Librarian

Criteria for appointment or promotion to Associate Librarian

1. Outstanding performance as a Senior Assistant Librarian at Cornell or the equivalent rank/position at another institution. Such performance should be evidenced by effective relationships with patrons, colleagues, supervisors and subordinates, where appropriate, successful completion of assigned responsibilities, and evidence of initiative beyond basic assignments. Only Senior Assistant Librarians who have consistently exceeded expected performance in fulfilling position duties and responsibilities will be promoted. Successful candidates for promotion to Associate Librarian will have demonstrated their continuing potential for outstanding performance.

Job performance is the most important element for promotion to this rank. The language of HR is seen throughout this paragraph, in "successful completion of assigned responsibilities" "consistently exceeded expected responsibilities," etc.

"Increased competence" and "evidence of further development" express the concept of continuity.

This paragraph is high in epistemic modality, expressing great certainty in "Only Senior Assistant Librarians who have consistently exceeded expected performance in fulfilling position duties and responsibilities will be promoted."

2. In addition to outstanding job performance, evidence of excellence as a Senior Assistant Librarian may include, but not be limited to, the achievements and characteristics listed below. These criteria are neither inclusive nor exclusive, nor are they presented in this document in order of priority. The applicability and relative importance of these criteria to any specific position or librarian will vary, depending upon the nature of his or her responsibilities.

The idea that a list of activities is not exclusive is very common in these documents.

- a. Ability to act independently and creatively to enhance the effectiveness of the University Library.
- b. Ability to effectively teach or transmit a body of knowledge to other staff members.
- c. Significant contributions to the operation of a specific library unit in the form of suggestions, plans and actions.
- d. Evidence of growth in librarianship, archival work and/or relevant subject areas.
- e. Successful completion of job-related courses and programs.
- f. Effective participation in library task forces, committees, etc.
- g. Effective representation of library interests to non-library groups, committees, etc.
- h. Publications or presentations in librarianship or related disciplines.
- i. Contributions to the parent institution.
- j. Participation in regional, state, national or international organizations devoted to librarianship, archival work or related disciplines.

Cohesion is created by outline form and also by the repetition of words like “ability,” and “effective participation,” “effective,” and “effectively.”

“Effective participation” and the other uses of “effective” are examples of overwording that are very common in HR documents and texts that use concepts and language from HR.

IV. Librarian

Criteria for appointment or promotion to librarian

1. Distinguished service, senior levels of responsibility, high professional achievement.
2. Excellent performance of duties as an Associate Librarian at Cornell or in an equivalent position at another institution.
3. Demonstration of continued growth in the ability to work independently, contribute new ideas, and to accept significant responsibility in defining and fulfilling the scope of job assignments. These qualities may be expressed in bibliographical, administrative, supervisory, or other library activities. It is also expected that the candidate will provide evidence of continued and ongoing professional growth as well as a record of significant professional accomplishment. A candidate's professional activities will be both within Cornell University and in non-Cornell organizations. The following criteria are neither inclusive or exclusive, nor are they presented in this document

in order of priority. The applicability and relative importance of these criteria to any specific position or librarian will vary, depending upon the nature of his or her responsibilities.

The description of this highest rank uses language that is typical: distinguished service, high achievement, excellent performance, significant, leadership, etc., as well as the idea of growth, improvement, and independence

“Continued and ongoing” is an excellent example of overwording and quasi-synonymy.

The evaluative attribute “significance” is seen throughout the criteria for promotion to “Librarian” rank

- a. Provide leadership in departmental, interdepartmental or university work, committees and projects.
- b. Provide leadership in scholarly or other professional organizations or activities.
- c. Improvement in library services through participation in and leadership of professional groups.
- d. Improvement in the relationship between the University Library and the Cornell community (including contributions to better communication and increased use of library services through lectures, committee work, faculty and student contacts, etc.).
- e. Publication of significant content, regardless of medium.

Publication is always viewed as desirable in these documents and rarely stated as an absolute requirement.

f. Professional growth as exhibited by leadership roles in continuing education, seminars, lectures, research, grant applications, teaching, etc.

April 1995

Rev. April 1, 1999

Chapter 5: Conclusions, Recommendations, and Suggestions for Future Research

Overview of the Study

This study looked at the status and discourse of librarians at US land grant universities, with a population of one 1862 land grant from each of the fifty states. The study gathered data on models of librarian faculty status or academic/professional staff status, including employee group (faculty or staff), administrator title (e.g., dean, director), librarian rank system (e.g., professorial), librarian tenure eligibility, and librarian representation on the faculty senate. The second component of the study analyzed the discourse of appointment documents for librarians, i.e., documents that describe criteria for the appointment, promotion, and possibly tenure of librarians, in the institutions in the population.

The status data was used to create a typology:

1. Professorial ranks (21 institutions)
2. Other ranks with tenure (14 institutions)
3. Other ranks without tenure (5 institutions)
4. Non-faculty (Professional or academic staff) (10 institutions)

The appointment documents were analyzed using the FTM/G-R instrument, an approach that uses Halliday's (1978) concepts Field, Tenor, and Mode. The analysis of Field, Tenor, and Mode was the basis for describing the documents' genre and register.

Conclusions

Research Questions 1 and 2

1. What are the types of status for academic librarians in land grant institutions?
2. What are the characteristics of those types?

The results of this study show that 80% of librarians at land grant universities are faculty members, and that 85% of those who are faculty (thirty-four out of forty) are on tenure-track, which is 68% of the population. A clear and unambiguous model of faculty status is predominant in the population. In the 20% of libraries where the librarians are staff, there is frequently a model of governance that parallels faculty status in a number of ways, sometimes making it difficult to determine which category librarians belong to. Land grant universities have a more frequent occurrence of tenure-track faculty status for librarians than other types of institutions. The 1999 ACRL survey on faculty status among academic librarians (ACRL 2000) does not directly address the question of “employee group,” i.e., faculty or staff, but in assessing the implementation of ACRL’s nine conditions for librarian faculty status, does provide some data for comparison. Among doctoral-granting universities (n=271), which includes all the land grant universities in the population studied, 46% have librarians who are on tenure track, 53% have a governance structure similar to collegial faculty governance, and 45.6% have a peer review system for promotion. (The numbers for all Carnegie classes of institutions together [n=976] are similar to those for doctoral-granting institutions). Those three things by themselves are not necessarily indicators of faculty status, but, taken together, may give some indication. “Tenure” is limited to faculty, but it is not clear if this data element includes only tenure, or also includes the continuing appointment systems that some institutions provide for librarians who are academic staff (e.g., California). In any case, if an estimated 45% to 50% of librarians at all the doctoral-granting universities surveyed by ACRL are tenure track faculty, that number is distinctly lower than the 68% who have that status at land grant universities.

Although faculty status is pervasive, well-defined, and well-established, there is also a clear typology of status in the population. The types are based on employee group, rank, and tenure status. The largest segment is Type 1, Professorial rank faculty, with tenure (in all but one case), with twenty-one libraries. Type 2 is tenure-track faculty with other rank systems (parallel ranks, e.g., Assistant Librarian, and librarian ranks, e.g., Librarian I, II, III) with tenure, and is next in size, with fourteen, and Type 4, academic or professional staff (non-faculty), is next, with ten. Type 3 (non-tenure track faculty with other ranks) is the smallest group, with five.

The categorization of academic employees can be illuminated by semantic prototype theory, discussed by Rosch (1973) and Lakoff (1986). Categories such as kinship terms, colors, and folk taxonomies of plants and animals have been studied interculturally by considering not where the boundaries of a category are, but where its center is, and what examples are prototypical. In addition, categories may be graded, i.e., there can be degrees of membership. The question of whether or why librarians and teaching faculty belong in the same category can be looked at in this way. The use of terms like “special faculty,” for example, at institutions including North Carolina State University, which includes librarians in that category along with Extension, Clinical, and Research faculty, demonstrates how particular groups can be the same in kind but different in degree.

The use of non-professorial rank systems for library faculty and the lack of tenure in some institutions can also be seen as a form of membership gradience. The five institutions in Type 3, “Other Ranks without Tenure” employ librarians who are clearly not faculty in the same way, or to the same degree, that teaching faculty are. Whatever the rationale, librarians in those institutions are denied participation in one of the most important faculty traditions. To a lesser

degree, the fourteen institutions in Type 2, “Other Ranks with Tenure” have librarians who do not have the title “Professor.” That title may not be a benefit in the same way that tenure is, but it is a very significant indicator of membership in the community of faculty. Having the rank of “Librarian III” or “Associate Librarian” is not the same as having the rank of Professor, Assistant, or Associate Professor, and the title that goes with it. While it is not part of the typology, the title of the library’s administrator is also a significant way of demonstrating a gradation of status. A college is headed by a dean. Even when a school or academic program is headed by a director, that director reports to a dean. Libraries whose administrator is a director or University Librarian have a lesser equivalence to a college than those whose administrator is a dean, even if it has no tangible or measurable effect.

While rank, administrator title, and other characteristics contribute to our understanding of the higher education environment, tenure is arguably the most significant issue. The skepticism about tenure during the past two decades led to things like the adoption of post-tenure review at many institutions. Concern about the treatment of adjunct faculty has led to the recent emergence of the “Professor of Practice,” which creates a career ladder for faculty who had previously been hired as lecturers or senior lecturers, and who generally have an assignment that is 100% teaching. Examples of the implementation of this rank among land grants include Arizona State University (2007), University of Nebraska—Lincoln (2007), among many others. These positions are not tenure-track. While teaching faculty may applaud this recognition for lecturers, and feel apprehension only at the prospect of vacant tenure-track lines being converted to Professors of Practice, librarians may fear that they will be viewed as perfect candidates for Professor of Practice status, because of the emphasis on professional practice in their documents,

in the way they present themselves, and, as a result, in the way they are regarded. Hill (2005) recommends “constant vigilance” for librarians to maintain their status. Every degree of difference between library faculty and teaching faculty reinforces the need for “constant vigilance.”

While land grants in particular may reflect a model of faculty status that is clear, strong, and which shows no signs of being under attack, the changes in status of the librarians at various institutions that have occurred demonstrate that librarians may be more vulnerable to significant status changes than other faculty. Authors such as Galloway (1979) and McAnally (1957, 1963, 1971) have described the road to achieving faculty status in the mid-20th century. Galloway asserts that, at the end of the 1970s, 76% of colleges and universities had faculty status for librarians. It is not possible to judge whether what he calls faculty status corresponds in any measurable way with the findings of ACRL’s most recent survey (ACRL 2000), but that survey does not reflect such widespread faculty status. After a burst of enthusiasm in the 1970s, the 1980s were a kind of shakeout period, in which some institutions that had awarded faculty status to librarians withdrew or changed that status. The changes described by Nyren (1985), in which the University of Wyoming librarians went from professorial ranks with tenure to parallel ranks with multi-year contracts, is an example of such a change. Jones (2005) traces the history of faculty status for librarians at the University of Kentucky, which was subject to the whims of administrators and ambiguously-worded regulations. Although librarians at Kentucky are tenure-track faculty, Jones observes that:

“as of 2004, the Board of Trustees has not codified in its Governing Regulations that the Libraries is the equivalent of a college educational unit, nor that Librarian Faculty have an equivalent status of a College Faculty, for the purpose of decision-making authority in

the formulation of instructional, research or service programmatic policies for the Libraries. In 2002, the Board of Trustees initiated such a recognition by changing the title of Director of Libraries to “Dean” of Libraries, but the Board has yet to complete that recognition by codifying a policy that the Librarian Faculty, as a body, has an equivalent status of a College Faculty. In this vacuum, the Librarian Faculty remain, in the 1964 words of Executive Vice President A.D. Albright, in ‘a kind of you-do-have-but –you-don’t-have condition,’ being more functionally the ‘staff’ of the Dean of Libraries, to whom at this time remains defaulted the authority to make the decisions on the educational policies of the Libraries.”

Given stories like this, and particularly in the present fiscal and political environment, it is probably not surprising that academic librarians advise “constant vigilance.”

Research Questions 3 through 6

3. How do the texts of appointment documents reflect librarian status?
4. What are the Field, Tenor, and Mode characteristics of the texts?
5. What genres are represented?
6. What registers are used?

Genres of discourse play a part in the construction of social identities. Appointment documents are used as part of an effort to define and assert the faculty and professional roles of academic librarians. The qualitative analysis of the discourse of the appointment documents from the libraries in the population supports the view that librarian status in general, and faculty status in particular, is well-established and functional in the population. The FTM/G-R analysis reveals, on the most superficial level, that many of ACRL’s nine conditions of faculty status are present in the libraries of land grant institutions. The first condition, “Librarians are assigned professional responsibilities” means that they have autonomy in using their expertise to practice their profession. That condition is evident in the criteria for successful performance that are outlined in the documents. The expectations for librarians that are expressed—the need for

substantial and increasing knowledge, and the responsibility for providing collections, programs, and services that support the teaching and research missions of the university—imply this autonomous environment. The second condition is, “librarians have a governance structure similar to other faculties on campus.” The documents show that this is a very common condition in the population, whether librarians are faculty or staff. Likewise, the third condition: “librarians are eligible for membership in the faculty governing body,” is overwhelmingly the case in this population. Eighty-six percent of the libraries in the population have representation on the faculty senate, even in some cases where the librarians are staff. Other conditions that are demonstrated by the documents are that “librarians are promoted through the ranks via a peer review system,” and “librarians have the same protections of academic freedom as other faculty.”

Winter (1988) summarizes the knowledge base of librarianship, calling it “a form of applied metascience concerned with three forms of cognitive organization” (p. 72). The three forms are the organization of knowledge, the organization of bibliographic information, and the organization of “bodies of literature” (p. 72). Together they are a map of the expertise and responsibilities of librarians. The appointment documents reflect this knowledge base in their descriptions of the roles and responsibilities of librarians, in which those three areas are repeatedly expressed, often in far more detail.

The discourse of librarianship as a profession is very strong in virtually all of the documents. McClelland’s (1997) typology of professions (“university-magisterial [black gown], labor union solidarity [blue collar], and discipline-professional [white smock]”) sheds light on the roles and identities of librarians and teaching faculty. The professoriate may be solidly black

gown in their history and traditions, but teaching faculty are a broad and varied group, with plenty of white smock and a measure of blue collar. Librarians may be more blue collar in their egalitarianism and white smock in their professional practices, but they can still don the magisterial black gown. Moreover, this triad may best be viewed as three circles that intersect and overlap.

A number of other interesting things are found in the discourse of these texts. They are a recognizable genre used by universities for the appointment of faculty. They are a genre of organizational communication that is part of the communicative event of faculty appointment promotion, and tenure. Genres used by organizations and discourse communities are not the same as literary genres, although the use of the term is loosely modeled on its use in literature and media studies. Genres of organizational communication are part of a communicative event used by a discourse community.

Appointment documents are part of a chain or set of genres: vacancy announcement, position description, all the texts used in hiring, evaluation, and appointment. The genre is specialized, and its “normative scope” (Yates & Orlikowski, 1992) is fairly narrow, unlike genres such as the memo or business letter, whose scope is very wide. The genre is “university appointment document,” however, not “librarian appointment document,” although the documents assembled and discussed here all pertain to librarians and have particular characteristics that reflect librarians’ use of the genre. The characteristics of the genre include the register that is used: the familiar discourse formations that express the ideational, interpersonal, and textual meaning of the communicative event. These texts represent the ethnomethodological efforts of librarians to enter and thrive in the culture of faculty. The texts

have ethnographic meaning, representing the culture of academic librarians. Cultural meaning is found in the expression of the ideology of librarianship, including the values of intellectual freedom, universal access to information, and expertise that is used to help library users.

The documents assembled for this study are more alike than different. In their format, content, and language, the documents from libraries in the four status types are not distinctly different, although a sharper focus on particular characteristics might demonstrate noticeable differences. Fairclough (1995) and Lemke (1995b) both discuss the normativity of most texts, the formulaic nature of much discourse, and the idea that “we speak with the voices of our communities” (Lemke 1995b, p. 30). These appointment documents certainly exemplify that. They speak with the voice of the library profession, of the parent institution, and of higher education in general, and while each has its idiosyncratic characteristics, they all bear a strong resemblance to each other.

The register characteristics include:

- Strong intertextual relationships the ALA Code of Ethics and with university-level faculty appointment documents.
- Vocabulary from the language of HR, particularly that of job descriptions and performance evaluation, from the language of higher education, and from librarianship
- Nominalization (the expression of an action or process as a noun, e.g., *promote* > *promotion*) as a way of condensing information and as a signal of the formal and serious nature of the texts, along with passive constructions and almost no use of pronouns.

- The “quasi-synonymy” of series of two, three, or more adjectives, nouns, or verbs, e.g., “type, scope, and impact,” “organized, credible, and succinct,” and the “overwording” (Fairclough 1989) of phrases such as “pertinent experience” and “positive change.”
- High deontic (expressing obligation) and epistemic (expressing certainty) modality convey the authority of the texts.
- The discourses of librarianship, higher education, and HR “textured together” (Fairclough 2003) by combining a collegial model of governance with the language of an HR document and substituting the professional practices of librarianship for the general descriptions of teaching, research, and service found in teaching faculty documents.

The sociolinguistic approach of SFL asks not “what forms are used” but “what are these forms used for?” A text without pronouns, a text full of nominalizations, a text with “must,” “shall,” and “will,”—these things are not meaningful in themselves. They are meaningful because we recognize what they are used for, because of our expectations and experience with these and other texts. The analysis of genre and register features leads to the question, “what does it mean?” The documents demonstrate academic librarians’ ability to participate in faculty culture and to be a part of the academic and university discourse communities as well as those of librarians. The documents demonstrate the strategies that librarians have used to map their responsibilities and expertise onto the landscape of teaching, research, and service. They also demonstrate both the willingness and ability of librarians to embrace research and publication as an obligation and as a source of professional strength and satisfaction.

At the same time, despite strong evidence of librarians’ ability to flourish in a collegial faculty environment, and to be both scholars and practitioners, nearly all the documents display

some ambivalence about research, often by conflating it with “professional activities” and sometimes by including things like internal reports and bibliographies in the scholarship category. It is entirely possible that, in practice, there is no alternative to engaging in research and publication, regardless of any waffling in the written documents, but there is a clear heteroglossic opposition in the documents as a whole between the straightforward expression of scholarship as an obligation and the softening of this obligation through the conflation with other activities and the idea that “job performance” is the primary and time-consuming responsibility.

There are a number of possible reasons for this ambivalence. One is the emphasis in library education, which is not on preparing scholars, but practitioners. Despite efforts by library science programs, professional organizations, and libraries themselves to educate and mentor new librarians in the area of scholarship, which have led to marked improvement, the emphasis on practice remains. Related to this is the fact that while newly-hired librarians may have a research and publication requirement, there may be other librarians who were promoted and tenured under a different set of expectations, in which the practice of librarianship and “professional activities” were required, but research was not.

The coexistence of those two groups of librarians in the same organization may be one reason for the heteroglossia of the appointment texts. Related to both the emphasis on practice and the coexistence of different organizational expectations and cultures is the persistence of a library work environment that is hierarchical and industrial, with the expectation that librarians will work the same schedule as clerical staff, with little time that is unassigned, and assignments that are closely supervised. That workplace culture has changed dramatically in the last thirty years, but aspects of it remain. Hill (1994: p. 75) states that librarians, “have a relatively

inflexible daily schedule that may be considered analogous to a ‘heavy class load.’” That is an unquestioned orthodoxy, accepted by many, and if it is, in fact, the case, it need not be.

Another possible reason for this heteroglossic opposition is both the traditional egalitarianism of librarians, who shun ideas and practices that seem “elitist,” and who may be reluctant to assert their scholarly credentials and obligations. As usual, the fault is not in our stars, but in ourselves.

Another striking characteristic of these documents is their use of the HR register for a large portion of their content. Many of them have long stretches of text that are lists of qualifications and activities that are clearly taken verbatim from job descriptions for librarians. One reason for this is to make clear what the expertise and responsibilities of librarians are and to draw the parallel between their role and that of teaching faculty. The effect, however, is what Veaner (1982) critiques as the, “application of excessively task-oriented, nonconceptual definitions of librarianship and use of inappropriate, industry-derived technical terminology (e.g., ‘job description’) to detail professional positions” (p. 8). The HR-orientation of the documents may be related to the same issues that drive the ambivalence about research. Maintaining the library’s programs and services is demanding, and it requires money, equipment, collections, facilities, and, above all, people with the expertise to keep it all going. The heteroglossic opposition between practice and scholarship is matched by an opposition between the “conceptual” and the “nonconceptual” expression of responsibilities. The need to operate outside the realm of tasks coexists with the need to see that lots of tasks are completed. The desire of organizations for employees with the right “competencies” can devolve into White’s (1975) colorful description, the search for “docile drones with basic skills.”

In addition to the detailed and “nonconceptual” content in many appointment documents, there is another aspect of the HR register that is present: the words like “substantial,” “significant,” “effective,” “distinguished,” that may be “conceptual” (as opposed to task-oriented), but which are not particularly meaningful, and do little but carry the evaluative attribute Desirability.

The strong HR aspect in these documents can be seen as an expression of the voice of library and university administration, who have the responsibility for seeing that the organizational mission is carried out. Accountability and assessment are important issues in the current higher education environment, and that may lead to the explicit description of assignments and accomplishments that is found in these documents. It might also be the librarian or library faculty voice, which seeks to make the expertise and contributions of librarians perfectly clear. The detailed descriptions of what goes into a record of excellent performance, and what “counts” for promotion and tenure is an expression of two other things: the need to mentor new librarians, and the continuous maturing of faculty status for librarians. While there is evidence that faculty status is widespread and successful, the documents still reflect the need to make the case. Moreover, academic librarians are still less prepared than other faculty by their graduate education to begin a career as a scholar or scholar-practitioner. Considerable socialization and counseling goes on in the early years of academic librarians’ careers, and these documents are a part of that.

Genres of discourse are a part of the process of “semiosis,” the creation of meaning (Hodge and Kress 1988, p. 121). Discourse communities use genres to create and communicate meaning. The communication of power and authority is a part of many texts, but certainly an

essential aspect of texts like appointment documents that are about employment. Seen from a CDA perspective, there is a clear power relationship and power differential in these texts. There is a pervasive presence of high deontic modality, which expresses obligation. The culture of librarians is open-minded, socially and politically liberal, and tolerant in many ways, but is also normative. Academic culture in general is normative. Those norms have been discussed and questioned, and the heteroglossia of higher education can be seen in the presentation of the Boyer (1990) model of scholarship, which confronts the problems that arise from imposing a positivist, hard sciences approach and ideology on all disciplines. The efforts to enhance and recognize good teaching that began in the 1990s are also a way of recognizing the contributions of all faculty. Appointment criteria represent a negotiation between university administration, the interests of various colleges, departments, and disciplines, and the faculty themselves. The heteroglossic oppositions among those groups can be seen in appointment documents, but the texts are not dialogical. They express the interests of the larger organization above all, in a way that clearly expresses the university's power and authority.

While these texts are very important, their symbolic value may be as meaningful as their actual content. They are certainly used when deciding whether a candidate merits promotion or tenure, but the members of the discourse community who use this genre of texts have probably absorbed and internalized the values that are encoded there, rather than poring over them when deciding how to vote. The documents may be consulted most closely for the hard cases in the middle, not those that are clearly excellent or clearly inadequate, and as "colonies," they are probably rarely read straight through, but consulted on particular topics.

Recommendations

Recommendations for Libraries and Librarians at Land Grant Universities

Librarians at land grant universities have by and large achieved the goals that academic librarians articulated forty or more years ago. A strong model of faculty status is pervasive in that population, and the librarians who are not faculty also generally have a status that recognizes their expertise and their role in the university's teaching, research, and service missions, which often is nearly indistinguishable from faculty status.

It is recommended that libraries and librarians at land grant universities identify ways to strengthen their achievement and to communicate appropriately about it. The prevalence of faculty rank and tenure, the nearly universal representation of librarians in governance, and the strong prevailing requirement of research and scholarship, all help put to rest the earlier misgivings of librarians, other faculty, and administrators. Part of strengthening should be to embrace scholarship by discarding the notion that we do not have time to do it, and discarding the "nonconceptual" descriptions of our responsibilities that elevate a literal-minded interpretation of "job performance" above all else. The role and contributions of librarians can be strengthened during recruitment and during orientation and mentoring of new librarians. Recruiting librarians with research experience, skills, and interests is a way of helping ensure both success in promotion and tenure and a stronger scholarly presence for library faculty. Many new librarians would benefit from more training in research methods, and could be encouraged to enroll in some of the many such courses that their institutions probably offer. A practical way of communicating about their status would be to give library faculty the same prominence on the library website that teaching faculty have on their departmental sites.

Another important way to strengthen their status is for librarians to explore the gaps that may exist between the language of the appointment documents and the model of status that the documents represent. The exhaustive and detailed lists of responsibilities and activities that are found in many of the appointment documents that were assembled and analyzed for this project are at odds with both the “conceptual” model of academic librarianship presented by Veaner (1982) and with the far more general descriptions of faculty responsibilities found in teaching faculty documents.

Conversely, there may be a gap between the ideals presented in the appointment documents and the reality in individual institutions. It is recommended that land grant librarians consider whether the demands for scholarship, excellence, outstanding achievement, and so on, that are described in the documents are matched by the actual culture and environment of the organization. Do we ask for scholars in the appointment documents, but communicate in other important ways that what we really want is, “docile drones with basic skills” (White 1983)?

Recommendations for Land Grant Universities

The universities themselves can benefit from the librarians who are part of their academic program, whether they are faculty or staff. The presence of one or more library faculty on nearly every faculty committee is commonplace in universities, and perhaps in land grants in particular, but librarians have knowledge and skills that are applicable in many areas, and they should be considered for administrative assignments beyond the library. There is a kind of glass ceiling for library faculty that limits their options on campus. Universities are overlooking a group of professionals who have a broad view of the tripartite organizational mission and considerable organizational, conceptual, and technological skill.

Recommendations for Higher Education

For much of their history, academic librarians in the US have sought a status that is appropriate to their role and expertise. In land grant universities, they have largely succeeded in creating a model of faculty status, or of “academic professional” status that is very similar, that gives them the appropriate role and recognition. At the same time, higher education has changed and evolved continuously throughout its history, like every other social institution. In recent decades, faculty roles have been discussed and questioned. Issues such as teaching loads, accountability and assessment, post-tenure review, and the use of educational technology have been discussed by faculty, administrators, governing boards, elected officials, students, and citizens. In the current environment, librarians are in a position to show leadership in new ways of delivering educational programs. They are conversant with the uses of technology, and with the delivery of instruction in a one-on-one environment, in “just-in-time” mode, tailored to various disciplines, etc., and could be very helpful in discussions of the changing university environment. In academic librarians, higher education has a cadre of versatile professionals whose expertise could be used to better advantage.

Recommendations for Future Research

An obvious area for further research is to extend the typology to other populations. Those populations might include other state universities or ARL member libraries. Looking at public vs. private institutions, and looking beyond universities to other Carnegie classifications would also be potentially fruitful. Other data elements could be added to the typology, including, for example, the research requirement or lack of one.

The “academic professional” phenomenon is fascinating and needs further investigation.

The similarities and differences between librarians the other groups included in this category by institutions such as Arizona State University and the University of Minnesota could yield interesting insights on the concept “academic professional” and the relationship of that category to faculty status, as could the governance systems for librarians at institutions such as the University of California that strongly resemble faculty status although the librarians are not faculty. The effect of collective bargaining on the status of librarians and other groups of employees is another area that has been explored by others, but which has further research potential.

The status typology that is described here is the result of framing the research questions in a particular way. The result is only one of many typologies or other ways of analyzing that could be developed to look at librarian status. Further research is needed to investigate the question of status in other ways. Other answers will come from other questions, and many different questions can be asked about the status of academic librarians.

The appointment documents provide many unanswered questions. Areas for further work include the differences that exist between the documents associated with the four status types. There are a number of possible approaches to this question, including differences between institutions with tenure and those without; differences between institutions where librarians are faculty and those which are staff; particular requirements such as the research and publication requirement; the degree of intertextuality with university promotion and tenure criteria, as well as the definition of “professional activities” and the relationship between research and work in professional associations, and the consideration of the size of institution as a factor in librarian status.

An implicit question that is not within the scope of this dissertation is what status is best for fulfilling the mission of the university. One of the most common arguments in favor of faculty status for librarians is that it allows them the freedom and autonomy to use their expertise to help carry out the universities teaching and research missions. Ways to test that assertion could be devised, e.g., a correlation of librarian status and various ranking systems for universities. Libraries who participate in the LibQual+ (LibQual+ 2007) service quality assessment have access to survey results for themselves and other participants. It would be possible to look for correlation between types of librarian status and LibQual+ results, and to ask the question: do libraries whose librarians are faculty have better LibQual+ evaluations?

Other topics include a focus on the most salient features of the genre and register for further analysis. Interesting features include the “overwording” and “quasi-synonymy” of the ubiquitous series of two, three, and more words generally used to describe expectations in a particular area of performance, and the strong intertextual relationship of these documents with the ALA Code of Ethics and similar texts. Documents from teaching faculty could be compared to librarian appointment documents, and the expression of the tripartite mission “teaching, research, service” in academic libraries and in universities, land grants and other types of institutions could be explored.

A CDA focus could explore the power relationships encoded in these texts and look for evidence of the “marketization” of higher education and academic libraries. The high deontic modality reflects a great deal of authority. The values and goals of librarianship coexist with those of university administrations and governing bodies. A CDA focus could further separate those voices and examine the texts through the lens of political and economic power.

Recommendations for Future Researchers

While the data itself provides enough questions for years of further study, there are also things to be learned from the methods and approaches. Using websites as a source of data provided a rich source of information that was gathered with relative ease. Gathering data this way avoided the problem of survey response, and provided a certain organizational context in the way the information was presented on the web. While there are undoubtedly situations that call for surveys, universities have a strong web presence that includes large amounts of useful data. Obviously, all texts that were collected are electronic files that could be saved, whose content could be searched, and which could be annotated as they were analyzed.

It was very useful to limit the population to land grant universities. That created a manageable number that still had clear differences, with variations in status that allowed a satisfying typology to emerge. Limiting the number of data elements was also useful, as tempting as it was to consider numerous other variables. The use of semantic prototype and linguistic typology theories to inform the creation of the status typology was a fruitful approach that provided insight on the data.

While the population for the quantitative data was a good balance of size and diversity, the number of documents was probably too large. Although looking at more than forty documents showed the genre and register characteristics in a striking way, the sheer volume of texts was nearly overwhelming at times. A smaller corpus, or a focus on fewer characteristics, might have been a wiser approach, although there was great value in noting the commonalities among so many texts. One early problem with the discourse analysis process was finding an instrument that would organize the material clearly and succinctly. The Měchura (2005)

instrument is probably one of many that exist or could be constructed.

Summary and Conclusion

Academic librarians at land grant universities in the US have basically achieved the goal that they have had for at least fifty years. Librarians sought recognition for much of the 20th century. The frustrations of the 1950s and earlier, the upheaval and unrest of the 1960s, were followed by the enthusiasm of the 1970s, and some disillusionment in the 1980s. A period of retrenchment, a willingness to confront the research requirement and fulfill it, and to socialize and mentor new librarians, led to the emergence of the strong and stable models of faculty status that are seen in this population. Hill (1994) describes this evolution for one state university (not a land grant institution) and the “wearing our own clothes” faculty status model that emerged.

The conditions of both faculty and professional or academic staff status in the population represent a collegial organization for librarians that recognizes their professional education and expertise. Representation in the faculty senate is nearly universal in this population; tenure is widespread; professorial ranks are common. At the same time, “nearly universal,” “widespread,” and “common” mean that there are institutions in which those conditions are absent. Moreover, difficult questions that are implicit in these findings include what the benefits or drawbacks of the different status types are, and whether one type is consistently or predictably “better” than the other. It might seem clear that it is better to have tenure than not to have it, but is it better to be a tenure-track faculty member than to be a professional staff member with continuing appointment? Moreover, the larger institutions in particular show the emergence of a growing category of employees, “academic professionals.” That group includes librarians at some institutions, as well as physicians, attorneys, counselors, information or educational technology

experts, and instructors, among others. The emergence of the academic professional category may exert a growing influence over definitions of “faculty” and “staff.” Answering those and similar questions requires a closer ethnographic focus on particular institutions, and an examination of aspects of faculty status such as sabbaticals and salaries that have not been considered here.

The documents that encode and implement the status types do not definitively answer any of these questions, either, although they reflect the values of higher education, of librarianship, and of the workplace in general. Their format and content are surprisingly standardized, and show the normativity of genres of organizational communication. The texts paint a picture of academic librarians communicating the values of their profession and offering their expertise to the academic community. They simultaneously tell those outside the profession who librarians are and what they know and do, and tell those inside the profession what they must do to succeed as academic librarians and in the larger academic community. This represents the ethnomethodological approach, in which librarians seek to create a shared understanding of academic culture and their role in it.

The texts’ genre and register characteristics are identifiable and interesting, but academic life and organization is socially constructed. Concepts such as promotion, tenure, faculty, and staff, as well as scholarship, research, service, and the apparatus that supports them, are all socially constructed. The way we define “faculty” and the value we place on being in one category of employee or another are constructions that change over time and are different from one place to another. Moreover, those social constructions interact with other domains: employment, economics, government, technology, and so on.

Both the status typology and the discourse analysis demonstrate the power of language, particularly in its role as “social semiotic.” The variations in status have a significant sociolinguistic component. They are used to express solidarity and difference, and the more librarians share the linguistic labels: dean, professor, tenure, and so on, the more they have solidarity with other faculty. The appointment documents also have a significant sociolinguistic and social semiotic component. In using a faculty genre, librarians are asserting their equivalence to and solidarity with, other faculty. When this genre is used by librarians who are not faculty, they are still asserting that equivalence, and claiming their right to participate in a collegial organization. At the same time, the strong discourse of librarians as practitioners that is present in these documents, especially when that discourse expresses itself using the HR register, has the effect of detracting from faculty solidarity, even when it is meant to describe the role of librarians in the university’s academic program. Veaner’s (1982, 1994) “persistent personnel issue”—the “nonconceptual” description and understanding of the programmatic responsibility of academic librarians still persists. The present “document-rich,” (Swales 2004), “textually-mediated” (Kristeva 1984), and legalistic environment of higher education and of the workplace in general may aggravate the persistence of nonconceptual, task- and competency-based definitions of responsibility. On the other hand, no matter how it is described, the work of librarians is “cerebral and indeterminate” (Veaner 1994, p. 399). Deontic modality and overwording may obscure that fact, but they cannot change it. The success of academic librarians at land grant universities at winning the status that they have sought reflects political victories and a recognition of significant contributions, but also a recognition by librarians of the meaning

of what Veaner (1994, p. 391) calls their “programmatic responsibility,” where “everything is assigned and nothing is assigned.”

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Appendix A: Definitions

Academic Librarian/Academic Library: An academic librarian is one who is employed by an academic library, which is a library that is part of any higher education institution, e.g., college, university, community college, etc. Academic library/librarian contrasts with other library types, such as public, school, governmental, etc.

Critical Discourse Analysis (CDA): An approach to discourse analysis that uses Critical Theory as a lens. Critical Theory is a social theory developed by Habermas and other Frankfurt School sociologists. It is a critique of society and its institutions, with a particular focus on power relationships.

Dialogicality: Bakhtin (1935) coined the term *dialogicality*, which describes the degree to which a text is a dialog between communities or points of view.

Discourse: Language, either written or spoken, in use in its social context; language above the level of the sentence.

Discourse(s): “An institutionalized way of thinking, a social boundary defining what can be said about a specific topic” (“Discourse”).

Discourse analysis: The interpretation of language in use, by any of a number of different techniques.

Discourse community: Swales (1990, p. 66) defines the characteristics of a discourse community, including a “broadly agreed set of common public goals,” “mechanisms of intercommunication among its members,” the use of “one or more genres in the communicative furtherance of its aims, and “specific lexis” that is used by community members.

Discourse formation: Lemke (1993) describes “semiotic formations” as the uses of semiotic

(sign) systems, and “discourse formations,” therefore, as semiotic formations in which language creates socially-significant meaning. Discourse formations are the social semiotic uses of language.

Emic: “An ‘emic’ account of behavior is a description of behavior in terms meaningful (consciously or unconsciously) to the actor” (“Emic and etic”).

Etic: “An ‘etic’ account is a description of a behavior terms familiar to the observer.” (“Emic and etic”).

Field: Halliday and Hasan (1976) define three “register variables.” Field is the register variable that is associated with ideational or experiential meaning, i.e., the subject or content of a text.

FTM/G-R: “Field Tenor Mode/Genre-Register.” The discourse analysis instrument used in this dissertation. Adapted from Měchura (2005).

Genre: The literature review contains discussion of the many different definitions and metaphors of genre used by different scholars. A working definition is that of Swales (1990, p. 61), “a class of communicative events, the members of which share some communicative purpose.”

Grammatical metaphor: Halliday (1985) identifies two kinds of grammatical metaphor: of modality and of transitivity. A grammatical metaphor occurs when there is a transfer of meaning from one grammatical form to another. Grammatical metaphors of transitivity include “nominalization,” in which a verb becomes a noun, e.g., *promote* > *promotion*. The verb generally encodes the process in a clause. When a verb is nominalized, it becomes a participant rather than a process, and the transitivity of the clause is metaphorically represented as an actor or some other participant role. Metaphors of modality include stating a demand as a statement or question: *Can you close the door?* In this example, the question (interrogative mood) can

metaphorically represent the demand: *Close the door* (imperative).

Heteroglossia: A term coined by Bakhtin (1935) to describe the different “voices” present in a text, which represent the views of different communities or subcommunities.

Ideational meaning: The representation of experiential and logical content. Associated with the register variable “Field” and with the transitivity of a text.

Ideology: A set of beliefs or principles that guide the thinking and actions of a particular individual or group.

Interpersonal meaning: The representation of participants in a text and their relationship to one another. Associated with the register variable “Tenor,” and with the mood and modality of a text.

Intertext: Networks of texts known to the voices, communities, and ideologies represented in the text (Lemke 1995b).

Intertextuality: A concept invented by Kristeva (1984) to describe the relationship of a text to other texts.

Lexicogrammar: One of the “strata” of SFL. The strata of language are part of the network of systems from which speakers choose options. Lexicogrammar is the combination of syntax and lexis.

Lexis: Vocabulary, the words used in a text.

Librarian ranks: A rank system for academic librarians in which initial appointment is to the rank “Librarian I” and promotions to “Librarian, II, III, IV,” etc.

Logonomic system: Hodge and Kress (1988) describe language as one example of a logonomic system, a system with rules about the “production and reception of meaning” (p. 4).

Modality: “The modality of a clause or sentence is ... what authors commit themselves to in

terms of truth or necessity. Two main types of modality are distinguished, epistemic modality (modality of probabilities), and deontic modality (modality of necessity and obligation)” (Fairclough 2003, p. 219).

Mode: The register variable that is associated with textual meaning, the cohesive devices that link the text together.

Mood: Grammatical mood encodes reality and intention in the verb of a clause. Examples of mood in English include declarative (“The door is closed”), imperative (“Close the door”), and conditional (“The door could be closed.”)

Overwording: “An unusually high degree of wording” (Fairclough 1989, p. 115), the collocation of words with similar or synonymous meaning.

Parallel ranks: A rank system for academic librarians that parallels professorial ranks. Initial appointment is to the rank “Assistant Librarian,” with promotions to “Associate Librarian” and “Librarian.”

Process: The element in a clause that represents transitivity. Process is usually encoded in the verb. Halliday (1985) identifies material (doing), mental (sensing), and relational (being) processes, among others.

Professorial ranks: A rank system for academic librarians that uses the same ranks as teaching faculty. Initial appointment is to the rank of Assistant Professor, with promotions to Associate Professor and Professor.

Register: “a recognizable language variety” (Halliday, 1978, p. 7), used by a discourse community as part of a communicative event or genre.

Signaling: Hoey uses “signaling” to describe the syntactic and lexical devices used by authors to

indicate shifts in topic, to create cohesiveness in texts and parts of texts, and so on.

Structuration: Giddens (1984) discusses structuration as the balance between the agency of individuals and the social structures that humans create.

Syntax: The aspect of grammar that deals with word or constituent order.

Systemic Functional Linguistics (SFL): A theory of language that is based in function: how language is used, in its social context. The “system” of SFL is made up of four strata: Context, Semantics, Lexico-Grammar, and Phonology-Graphology. Context encompasses Field, Tenor, and Mode. The semantics (meaning resources) of the system has three parts: Ideational (the propositional component); Interpersonal (how social identities and relationships are expressed grammatically); and Textual Semantics (how messages are structured in text). Lexico-Grammar is syntactic organization of lexis.

Tenor: The register variable that encodes interpersonal meaning, the relationships between participants.

Text: “The concrete material object” produced by discourse (Hodge and Kress 1988, p. 6). A text may be of any length, as little as one word.

Textual meaning: The cohesive devices that make a text a text. Examples include repetition, conjunction, and synonymy.

Transitivity: The relationship of participants to process in a clause: as Actor, Experiencer, and so on.

Voices: Also called “discourse voices.” The ways in which heteroglossic oppositions are represented and expressed in texts.

Appendix B: List of Land Grant Universities Used in the Study

Arizona State University

Auburn University

Clemson University

Colorado State University

Cornell University

Iowa State University

Kansas State University

Louisiana State University

Michigan State University

Mississippi State University

Montana State University

New Mexico State University

North Carolina State University

North Dakota State University

Ohio State University

Oklahoma State University

Oregon State University

Pennsylvania State University

Purdue University

Rutgers University

South Dakota State University

Texas A&M University

University of Alaska, Fairbanks

University of Arkansas

University of California

University of Connecticut

University of Delaware

University of Florida

University of Georgia

University of Hawaii at Manoa

University of Idaho

University of Illinois at Urbana-Champaign

University of Kentucky

University of Maine

University of Maryland

University of Massachusetts Amherst

University of Minnesota

University of Missouri–Columbia

University of Nebraska–Lincoln

University of Nevada, Reno

University of New Hampshire

University of Rhode Island

University of Tennessee

University of Vermont

University of Wisconsin–Madison

University of Wyoming

Utah State University

Virginia Tech University

Washington State University

West Virginia University

Appendix C: Typology Data

Library	Admin	Rank	Tenure	Sen	Type
Arizona State University	Dean	Staff, Parallel ranks	Continuing Appointment	Yes	4
Auburn University	Dean	Librarian	Yes	Yes	2
Clemson University	Dean	Parallel	Yes	Yes	2
Colorado State	Dean	Professorial	Yes	Yes	1
Cornell University	University Librarian	Staff, Parallel ranks	No	No	4
Iowa State University	Dean	Professorial	Yes	Yes	1
Kansas State University	Dean	Professorial	Yes	Yes	1
Louisiana State University	Dean	Parallel	Yes	Yes	2
Michigan State University	Vice Provost	Librarian	Yes	Yes	2
Mississippi State University	Dean	Professorial	Yes	Yes	1
Montana State University	Dean	Professorial	Yes	Yes	1
New Mexico State University	Dean	Professorial	Yes	Yes	1
North Carolina State University	Associate Vice Provost	Librarian	No	No	3
North Dakota State University	Director	Staff, unknown ranks	No	No	4
Ohio State University	Director	Professorial	Yes	Yes	1
Oklahoma State University	Dean	Professorial	Yes	Yes	1
Oregon State University	University Librarian	Professorial	Yes	Yes	1
Pennsylvania State University	Dean	Parallel	Yes	Yes	2
Purdue University	Dean	Professorial	Yes	Yes	1
Rutgers University	University Librarian	Librarian	Yes	Yes	2
South Dakota State University	Dean	Professorial	Yes	Yes	1
Texas A&M University	Dean	Professorial	Yes	Yes	1
University of Alaska, Fairbanks	Dean	Professorial	Yes	Yes	1
University of Arkansas	Dean	Parallel	Yes	Yes	2
University of California	University Librarian	Staff, Parallel ranks	Career status	No	4
University of Connecticut	Vice Provost	Staff, Librarian ranks	No	Yes	4
University of Delaware	Director	Parallel	No	Yes	3
University of Florida	Director	Parallel	Yes	Yes	2
University of Georgia	University Librarian	Librarian	No	No	3

Library	Admin	Rank	Tenure	Sen	Type
University of Hawaii at Manoa	University Librarian	Librarian	Yes	Yes	2
University of Idaho	Dean	Professorial	Yes	Yes	1
University of Ill. at Urbana-Cham.	University Librarian	Professorial	Yes	Yes	1
University of Kentucky	Dean	Librarian	Yes	Yes	2
University of Maine	Dean	Staff	No	No	4
University of Maryland	Dean	Librarian	Yes	Yes	2
University of Mass. Amherst	Director	Staff, Librarian ranks	No	Yes	4
University of Minnesota	University Librarian	Staff, Librarian ranks	Continuing Appt	Yes	4
University of Missouri-Columbia	Director	Staff, Librarian ranks	No	Yes	4
University of Nebraska-Lincoln	Dean	Professorial	Yes	Yes	1
University of Nevada, Reno	Dean	Librarian	Yes	Yes	2
University of New Hampshire	University Librarian	Professorial	Yes	Yes	1
University of Rhode Island	Dean	Professorial	Yes	Yes	1
University of Tennessee	Dean	Professorial	Yes	Yes	1
University of Vermont	Dean	Professorial	No	Yes	1
University of Wisconsin-Madison	Director	Staff, Other ranks	Indefinite appointment	No	4
University of Wyoming	Dean	Parallel	No	Yes	3
Utah State University	Vice Provost	Parallel	Yes	Yes	2
Virginia Tech University	Dean	Professorial	Yes	Yes	1
Washington State University	Dean	Librarian	Yes	Yes	2
West Virginia University	Dean	Parallel	No	Yes	3

Appendix D: Triangulation/Member Checking Data

Institution	Employee Group	Administrator Title	Rank System	Tenure	Senate
Auburn University	Faculty	Dean	Librarian	Yes	Yes
Clemson University	Faculty	Dean	Librarian	Yes	Yes
Michigan State University	Staff	Director	Librarian	Continuous Appointment	No
North Dakota State University	Staff	Dean	Librarian	No	No
Oklahoma State University	Faculty	Dean	Professorial	Yes	Yes
Purdue University	Faculty	Dean	Professorial	Yes	Yes
University of California	Faculty	University Librarian	Professional	Yes	Yes
University of Illinois at Urbana-Champaign	Faculty	University Librarian	Professorial	Yes	Yes
University of Minnesota	Staff	University Librarian	Librarian	Continuous Appointment	Yes
University of Missouri–Columbia	Staff	Director	Librarian	Continuous Appointment	No
University of Nevada, Reno	Faculty	Dean	Librarian	Yes	Yes
University of Wisconsin–Madison	Staff	Director	Librarian	Continuous Appointment	No
Washington State University	Faculty	Dean	Librarian	Yes	Yes

Member checking on this data was performed by Felix Chu, a library faculty member at Western Illinois University, who has a PhD in Educational Administration in addition to a Master's in Library Science. He checked approximately 25% (n=13) of the population, which he chose using a random number generator, to determine university employee group, title of library administrator, rank system, tenure eligibility, and representation on faculty senate. Websites were used as the source of data. There are three areas where this data does not match the data compiled by the researcher: the rank system used at the University of California and the employee group of librarians at Michigan State University and the University of California.

Appendix E: FTM/G-R Discourse Analysis Instrument

(Adapted from Měchura [2005])

Field: What is the text about? Ideational meaning (Experiential and Logical); Semantic domains; Transitivity (Process, Semantic and Grammatical Roles, Circumstance)

Tenor: Who are the participants? Interpersonal meaning. Author, Audience, Relative status (Speech functions), Social distance, Personalization, Standing, Stance (Attitude, Agency, Modality)

Mode: What makes the text a text? Textual meaning. Spoken/written, Action/reflection, Interactivity, Schema, Patterning, Thematic organization (Theme and Rheme, Macro-theme, Hyper-theme, Clause theme), Cohesion (Lexical, Logical), Intertextuality, Discourses (Ideology, Voices)

Genre and Register: What genres are represented by the texts? (Registers are language varieties that underlie genres). What registers are used in the text? (Field, Tenor, and Mode are the variables that determine register).

Appendix F: List of Appointment Documents

Arizona State University

Group: Staff

Type: 4 (Parallel ranks, Staff)

Document: ASU Libraries, Librarians' Council: E2, Criteria

URL: <http://www.asu.edu/lib/library/lc/handbook/E2.html>

Document: ASU Libraries, Librarians' Council: D2, Ranks

URL: <http://www.asu.edu/lib/library/lc/handbook/D2.html>

Document: ACDW 505-02: Faculty Membership, Academic Professional Status, Ranks, Titles, Appointment Categories, and Honored Positions

URL: <http://www.west.asu.edu/academic/acdw/ACDW505-02.html>

Auburn University

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: Auburn University Libraries Tenure and Promotion. Preparing for Third Year and Tenure/Promotion Review

URL: <http://www.lib.auburn.edu/tenure/prep3rdyear.htm>

Clemson University

Group: Faculty

Type: 2 (Parallel ranks, tenure)

Document: Guidelines for Appointment, Reappointment, Tenure, and Promotion of Library Faculty

URL: <http://www.lib.clemson.edu/policies/tenure.htm>

Colorado State University

Group: Faculty

Type: 1 (Professorial rank, tenure)

Document: Colorado State University - 2006 Academic Faculty and Administrative Professional Manual Section E, Academic Faculty

URL: <http://www.facultycouncil.colostate.edu/files/manual/sectione.htm>

No library document found.

Cornell University

Group: Staff

Type: 4 (Parallel ranks, Staff)

Document: Cornell University Library Appointment and Promotion of Librarians

URL: <http://www.library.cornell.edu/staffweb/Procedures/Procedure13>

Document: Cornell University Library Criteria for Appointment, Reappointment, and Promotion

URL: <http://www.library.cornell.edu/staffweb/Procedures/Proc13AppendB.html>

Iowa State University

Group: Faculty

Type 1: (Professorial ranks, tenure)

Document: Promotion and Tenure Policies and Procedures, Iowa State University Library

URL: <http://www.lib.iastate.edu/cfora/pdf/3000002.pdf>

Kansas State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Kansas State University Libraries Promotion and Tenure Documents

URL: http://www.k-state.edu/academicservices/add/lib/lib_2003.doc

Louisiana State University

Group: Faculty

Type: 2 (Parallel ranks, tenure)

Document: Library Faculty Guidelines: Reappointment, Promotion, and Tenure

URL: <http://www.lib.lsu.edu/committees/lfpc/guidelines>

Michigan State University

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: Michigan State University Librarian Personnel Handbook of Policies, Procedures, and Practices with Library Faculty Bylaws and Appendices

URL: <http://www.lib.msu.edu/libadmin/handbook/>

Document: Academic Human Resources Policies: Librarian Continuous Appointment System

URL:

<http://www.hr.msu.edu/HRsite/Documents/Faculty/Handbooks/Faculty/AcademicPersonnelPolicies/iv-librarian>

Mississippi State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Mississippi State University Libraries Academic Promotion and Tenure Policies and Procedures

URL: <http://library.msstate.edu/library/policies/pt2006.pdf>

Montana State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Montana State University Office of the Provost, Faculty Expectations and Institutional Accountability

URL: <http://www.montana.edu/wwwprov/workload.htm>

No library document found.

New Mexico State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: New Mexico State University Policy Manual 5.15.60 – Appointments – Qualification

URL: <http://www.nmsu.edu/manual/Chapter5.pdf>

No library document found.

North Carolina State University

Group: Faculty

Type: 3 (Librarian ranks, no tenure)

Document: NC State University, Policies, Regulations, and Rules: Qualifications for Rank.

URL: <http://www.ncsu.edu/policies/employment/epa/REG05.20.18.php>

No library document found.

North Dakota State University

Group: Staff

Type: 4 (Ranks undetermined, Staff)

Document: NDSU Policy Manual Section 101.1, Employee Group Definitions

URL: <http://www.ndsu.nodak.edu/policy/1011.htm>

No library document found.

Ohio State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Appointments, Promotion, and Tenure Criteria and Procedures for the University Libraries

URL: library.osu.edu/sites/staff/apt/critproc.html

Oklahoma State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Oklahoma State University Faculty Handbook

URL: [www.osu.okstate.edu/acadaffr/aa/PDF Files/FACHAND.doc](http://www.osu.okstate.edu/acadaffr/aa/PDF%20Files/FACHAND.doc)

Document: Oklahoma State University Policy and Procedures reappointment, promotion and tenure process for tenure-track faculty

URL:

<http://home.okstate.edu/policy.nsf/8dcae8236e8e12b5862562c200782b3d/ae45015a924fcb0886256997006fc7ef!OpenDocument&Highlight=0,promotion>

No library document found.

Oregon State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Oregon State University Faculty Handbook, Criteria for Promotion and Tenure

URL: <http://oregonstate.edu/facultystaff/handbook/promo.html>

No library document found.

Pennsylvania State University

Group: Faculty

Type: 2 (Parallel ranks, tenure)

Document: Penn State Human Resources Policy HR21 Definition of Academic Ranks

URL: <http://guru.psu.edu/policies/OHR/hr21.html>

Document: Penn State Human Resources Policy HR23 Promotion and Tenure Procedures and Regulations

URL: <http://guru.psu.edu/policies/OHR/hr23.html#D>

No library document found.

Purdue University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Promotion Policy

URL: <http://www.itap.purdue.edu/apm/docs/PromotionPolicy%20rev.%208-21-2006.pdf>

No library document found.

Rutgers University

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: Criteria for Appointments, Reappointments, and Promotions

URL: http://policies.rutgers.edu/PDF/Section60/60_5/60.5.14.pdf

Document: Promotion to Associate Professor or Equivalent Ranks

URL: http://policies.rutgers.edu/PDF/Section60/60_5/60.5.16.pdf

Document: Promotion to Professor or Equivalent Ranks

URL: http://policies.rutgers.edu/PDF/Section60/60_5/60.5.17.pdf

Document: Tenure (Academic)

URL: http://policies.rutgers.edu/PDF/Section60/60_5/60.5.13.pdf

South Dakota State University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Achieving Excellence in Faculty Roles

URL:

[http://66.231.15.132/ClassLibrary/Page/Information/DataInstances/15107/Files/33456/Achieving_Exc...
_Excellence_in_Faculty_Roles_2003.pdf](http://66.231.15.132/ClassLibrary/Page/Information/DataInstances/15107/Files/33456/Achieving_Exc...)

No library document found.

Texas A&M University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Texas A&M University Faculty Handbook

URL: <http://dof.tamu.edu/faculty/handbooks/faculty.pdf>

Document: University Rule: 12.01.99.M2 University Statement on Academic Freedom, Responsibility, Tenure, and Promotion

URL: <http://rules-saps.tamu.edu/PDFs/12.01.99.M2.pdf>

No library document found.

University of Alaska

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Guidelines for Promotion and Tenure Review Process for University of Alaska Fairbanks, Alaska Community College, Federation of Teachers Bargaining Unit Members.

Appendix D. Librarian Guidelines

URL:

www.uaf.edu/provost/promotion_and_tenure/promotion_and_tenure_review/ACCFT/RegionaleviewProcess.pdf

University of Arkansas

Group: Faculty

Type: 2 (Parallel ranks, tenure)

Document: Personnel Document: Policies Governing Faculty and Non-Classified Service in the University of Arkansas Libraries

URL: <http://libinfo.uark.edu/webdocs/humanresources/facpersonnel.doc.pdf>

University of California

Group: Staff

Type: 4 (Parallel ranks, Staff)

Document: Librarians' Association of the University of California Criteria for Advancement in the Librarian Series

URL: <http://www.ucop.edu/lauc/about/paper01.html>

Document: UC Academic Policy Manual 360, Appointment and Promotion, Librarian Series

URL: <http://www.ucop.edu/acadadv/acadpers/apm/apm-360.pdf>

University of Connecticut

Group: Staff

Type: 4 (Librarian ranks and other ranks, Staff)

Document: University of Connecticut Libraries Criteria and Procedures for Appointment and Promotion of Professional Librarians

URL: www.lib.uconn.edu/about/recruitment/acep.doc

Document: University of Connecticut Office of the Provost Policy on Faculty Professional

Responsibilities

URL: http://www.provost.uconn.edu/professional_responsibility/

University of Delaware

Group: Faculty

Type: 3 (Parallel ranks, no tenure)

Document: University of Delaware Library Rank and Promotion System

URL: <http://www2.lib.udel.edu/personnel/doc2000.pdf>

University of Florida

Group: Faculty

Type: 2 (Parallel ranks, tenure)

Document: University of Florida Smathers Libraries Career Development Handbook: Library Faculty Ranks

URL: <http://www.uflib.ufl.edu/pers/facultyeval/tenurerank.html>

Document: University of Florida Smathers Libraries Career Development Handbook: Non-tenure-accruing Professional Ranks

URL: <http://www.uflib.ufl.edu/pers/facultyeval/nontrank.html>

University of Georgia

Group: Faculty

Type: 3 (Librarian ranks, no tenure)

Document: University of Georgia Libraries Faculty Guidelines for Librarian/Archivist Rank and Promotion

URL: <http://www.libs.uga.edu/staff/facprom.html>

University of Hawaii at Manoa

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: Criteria and Guidelines for Faculty Tenure/promotion Application, University of Hawai'i at Mānoa

URL:

http://manoa.hawaii.edu/ovcaa/faculty/tenure_promotion_contract_renewal/pdf/tenure_promotion_criteria_guidelines.pdf

University of Idaho

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: University of Idaho Faculty-Staff Handbook 1565: Academic Ranks and Responsibilities

URL: <http://www.webs.uidaho.edu/fsh/1565.html>

University of Illinois

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Statement of Promotion and Tenure to the Library Faculty at the University of Illinois at Urbana-Champaign

URL: <http://www.library.uiuc.edu/committee/promo/pta.html>

University of Kentucky

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: University of Kentucky, Appointment, Promotion, and Tenure in the Librarian Series

URL: <http://www.uky.edu/Regs/AR/ar015.pdf>

University of Maine

Group: Staff

Type: 4 (Librarian ranks, Staff)

Document: University of Maine 2006-2007 Promotion and Tenure Format

URL: <http://www2.umaine.edu/humanres/promten/format07.htm>

Document: Handbook for Non-Represented Faculty, Professional and Administrative Staff. Part One: Personnel Policies

URL: <http://www.maine.edu/system/hr/nonrephand1.php#Anchor8>

Document: University of Maine (System) Administrative Procedures Manual

URL: <http://www.maine.edu/system/asa/adminprocman.php#Anchor13>

Document: Appointment Form (HR form based on collective bargaining contract; includes librarian titles)

URL: http://www.umaine.edu/HR/forms/appointment_instructions.doc

No library document found.

University of Maryland

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: University of Maryland, Office of Academic Affairs Faculty Handbook of Policies and Resources: Tenure-Track and Tenured Faculty Lines

URL: <http://www.faculty.umd.edu/FacultyAppointment/titles/tenure.htm>

Document: Librarian Titles *Not* Eligible for Permanent Status

URL: <http://www.faculty.umd.edu/FacultyAppointment/titles/libraryNOT.htm>

Document: Librarian Titles Eligible for Permanent Status

URL: <http://www.faculty.umd.edu/FacultyAppointment/titles/library.htm>

University of Massachusetts—Amherst

Group: Staff

Type: 4 (Librarian ranks, Staff)

Document: Academic Personnel Policy of the University of Massachusetts at Amherst, Boston, and Worcester: Article IV, Standards and Criteria for Personnel Reviews, Recommendations and

Decisions.

URL: www.umass.edu/provost/admin/policies/redbook.pdf

No library document found.

University of Minnesota

Group: Staff

Type: 4 (Parallel ranks, Staff)

Document: Appointments of Academic Professional and Administrative Employees

URL: <http://www1.umn.edu/ohr/policies/hiring/academic/index.html>

No library document found.

University of Missouri

Group: Staff

Type: 4 (Librarian ranks, Staff)

Document: University of Missouri Collected Rules and Regulations. Personnel, Chapter 320:

Employment and Termination. 320.035 Policy and Procedures for Promotion and Tenure.

URL: <http://www.umsystem.edu/ums/departments/gc/rules/personnel/320/035.shtml>

Document: A Governance System for Librarians And Archivists of the University of Missouri—
Columbia Libraries {need to print this}

URL:

mulibraries.missouri.edu/staff/committees/promotion/GovernanceDocs/governancedoc_rev2006.doc

University of Nebraska—Lincoln

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: University of Nebraska-Lincoln University Libraries Promotion and Continuous
Appointment Criteria

URL: http://libr.unl.edu:2020/intranet/phpdocs/FAC_coart-prom-tenure-criteria-2004.php

University of Nevada

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: University Administrative Manual, Academic and Administrative Personnel,
Criteria in Recommending Tenure and Promotion

URL: http://www.unr.edu/vpaf/business_finance/forms/uam.pdf

No library document found.

University of New Hampshire

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Library Promotion and Tenure

URL: <http://www.library.unh.edu/admin/faculty/pt/info.htm>

University of Rhode Island

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: University of Rhode Island University Manual: Chapter 7, Faculty and Staff

URL: http://www.uri.edu/facsen/CHAPTER_7.html

University of Tennessee

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: University of Tennessee Promotion and Tenure Guidelines for Library Faculty

URL: <http://www.lib.utk.edu/lss/lpp/criteria.html>

University of Vermont

Group: Faculty

Type: 1 (Professorial ranks, no tenure)

Document: Guidelines for Library Faculty Appointment, Reappointment, and Promotion

URL: <http://bailey.uvm.edu/deans/ARP-Jan-2001.html>

University of Wisconsin

Group: Staff

Type: 4 (Other ranks, Staff)

UW-Madison General Library System Procedures for Academic Promotion

Document: UW-Madison Unclassified Title Guide

URL: www.ohr.wisc.edu/polproced/UTG/1_18_Dec06.pdf

Document: University of Wisconsin—Madison Librarians' Assembly GLS Professional Development for Academic Staff

URL: <http://staff.library.wisc.edu/org/LA/laprof/profdev.html>

University of Wyoming

Group: Faculty

Type: 3 (Parallel ranks, no tenure)

Document: University of Wyoming University Regulations 631: Regulations of the University Libraries

URL: <http://uwadmnweb.uwyo.edu/legal/Uniregs/ur631.htm>

Document: Trustee handbook chapter V. Academic Personnel

URL: <http://uwadmnweb.uwyo.edu/legal/trustreg/chapv.htm>

Document: University Regulation 803, Tenure and Promotion Procedures

URL: <http://uwadmnweb.uwyo.edu/legal/uniregs/ur803.htm>

Utah State University

Group: Faculty

Type: 2 (Parallel ranks, tenure)

Document: Utah State University Policy Manual: Composition and Authority of the Faculty

URL: <http://www.usu.edu/hr/policies/401.htm>

No library document found.

Virginia Tech University

Group: Faculty

Type: 1 (Professorial ranks, tenure)

Document: Faculty Handbook, Section 2: Faculty Policies and Procedures.

URL: <http://www.provost.vt.edu/facultyhandbooks.php>

No library document found.

Washington State University

Group: Faculty

Type: 2 (Librarian ranks, tenure)

Document: Library Faculty Handbook, Washington State University Libraries

URL: <http://www.wsulibs.wsu.edu/faculty/faculty-handbook/toc.html>

West Virginia University

Group: Faculty

Type: 3 (Parallel ranks, no tenure)

Document: West Virginia University Faculty Handbook

URL: <http://www.wvu.edu/~acadaff/fac/Handbook/>

Document: West Virginia University Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure 2006-07

URL: www.wvu.edu/~acadaff/fac/policies/FINAL%20P&T%20Guidelines%2006-07-page%20breaks.pdf

No library document found.