

University of California, Santa Barbara

INSTRUCTIONS FOR PERFORMANCE EVALUATION

For Represented and Non-Represented Librarians

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INSTRUCTIONS FOR PERFORMANCE EVALUATION, LIBRARIAN SERIES

I. Review Initiator/Candidate Conferences

Review the statement of duties and responsibilities, or any of the appropriate parts, for currentness, responsibilities, and to identify areas that require an evaluation from someone other than the candidate's Review Initiator. Committee work, collection development, special projects, liaison activities, and other duties performed outside the candidate's department may fall into this category. If appropriate, the Review Initiator and candidate may make appointments for conferences with any additional level of supervision to discuss the pending review. The number of conferences that will be needed will vary from case to case; however, the following subjects should be considered during these conferences.

A. Review Action

The candidate and Review Initiator should discuss which type of review action will be sought, e.g., merit, promotion, continuation or no action, career status, deferment, acceleration, off cycle, etc. Definitions of review actions are described in the Procedures for Review and Advancement in the Librarian Series.

B. Documentation

The candidate and Review Initiator should discuss the types of and volume of documentation that will be needed for the review packet.

C. Letters of Reference

If it is decided reference letters shall be solicited, the Review Initiator and candidate shall discuss the list of individuals who can provide information concerning a specific activity or qualification. The list becomes part of the review packet. If submitting letters, see Section II F of this document

D. CALL and Calendar

The candidate and Review Initiator should review the calendar and adhere to the deadlines for completion of the various parts of the review process.

II. Instructions to the Candidate for Preparation of Required Documentation

Following the preliminary review conference(s) with the Review Initiator the candidate prepares the following documentation (A-E below) as a packet and presents it to the Review Initiator in this order.

A. Certification Statement

The candidate completes appropriate sections of the statement throughout the review process; signing and dating the statement only after all pertinent items have been checked.

B. Candidate Identification Form

Candidates should review the Review of Qualifications Form. Candidates should complete the Candidate Identification Form as well as the Table of Contents up to Section V, part B.

C. Statement of Duties and Responsibilities

A statement is required for each position held during the period under review.

1. The statement of duties and responsibilities should:

- a. Describe actual duties and responsibilities; indicate complexity and level of responsibility
- b. Date of initial appointment/Date of current assignment
- c. Academic rank & step
- d. Name of current supervisor (primary & secondary, if applicable)
- e. Supervision, including number of FTE (if applicable)
- f. Signature of librarian, supervisor, AUL

D. Biography for Academic Personnel

Candidate should review and update the Biography, as appropriate, and include an up-to-date copy in their review packet.

E. Factual Resume

The resume should be a factual narrative of the candidate's duties, responsibilities, and professional development activities as set forth in the criteria for evaluation. It should present a complete summary of the review period's accomplishments; describe areas of growth and/ or increasing responsibilities and outcome of activities; professional activities outside the library; university and public service; research and other creative activities; and plans and objectives for the future. Documentation and evidence of items mentioned in the resume should follow the resume in part V of the Review of Qualifications Form.

1. A resume for merit, continuation or no action, acceleration, etc. should cover activities since the last evaluation.

2. A resume for promotion and/or career status should cover the candidate's entire career at UC. Candidates should consult previous reviews and other documents in their review files for documentation supporting statements made in the promotion resume. These documents must be clearly identified as to their location within the review file (e.g. Merit Review 1980, page 2).
3. Each resume should cover section a and, if pertinent, sections b-e of the criterion described below.

- a. Professional competence and quality of service rendered within the library

Contributions in seven areas of librarianship--contributions that are relevant to the candidate's primary responsibilities as a librarian as described in the Statement of Duties and Responsibilities--may be described in any sequence in the resume. However, areas under discussion should, whenever possible, coincide with the organization of responsibilities as enumerated in the Statement of Duties and Responsibilities.

- i. Selection and development of resources. Describe areas of responsibilities in terms of subjects, languages, clientele served; discuss contributions in the selection and/or development of resources in all formats, including electronic; collection policy development; rationale used in selection and deselection and storage decisions; response to faculty research and curriculum changes; effect of fund increase or reduction on selection decisions; work on consortial collection development; and liaison activities with faculty and others.
- ii. Bibliographical control of collections and their organization for use. Describe types of cataloging performed, such as original, electronic, etc.; levels of difficulty and complexity; procedures developed for the organization and bibliographic control of materials; development and/or implementation of new procedures or technical innovations.
- iii. Reference and advisory service. Describe areas of responsibility, clientele served, special subject areas covered, and range of services offered, such as manual print and online searching, preparation of bibliographical and current awareness tools, preparation of outreach and instructional materials, e.g. research guides, Web pages, new acquisitions lists, etc; development and maintenance of unique reference files and databases; library orientation, instruction and teaching; preparation of exhibits, etc. (Instructional and teaching activity outside of one's job description should be described under Professional activities outside the library).

- iv. Development and application of specialized information systems. Describe projects or activities carried out, consultative services rendered, reports, manuals, etc. developed and other systems contributions.
 - v. Library administration and management. Describe administrative responsibilities including fiscal management and personnel administration; summarize planning activities and results achieved.
 - vi. Committee activities. Describe committee, task force, focus group activities, etc. within the library including LAUC-SB activities. (LAUC statewide is included under University and public service)
 - vii. Special activities. Describe any special projects, activities, or contributions not mentioned above, such as grant writing, donor relations, mentoring, training & employee development; outreach services, etc.
- b. Professional activity outside the library
- i. Membership and activity in professional and scholarly organizations.
 - ii. Awards, fellowships or grants received.
 - iii. Teaching and lecturing.
 - iv. Editorial activities and consulting work.
- c. University and public service
- i. Participation in library-wide and university service, e.g. statewide LAUC, CDL, UC consortial groups, UCSB Academic Senate Committees, or other special campus committees.
 - ii. Professional librarian services to the local, state, national and international community.
- d. Research and other creative activity
- i. Publications (articles, books, bibliographies, reviews, etc.)
 - ii. Papers presented at professional and scholarly meetings.
 - iii. Other educational activities, including continuing education, training, courses or degree/certificate, etc.
- e. Plans and objectives
- Goals to accomplish during next review period.

F. List of References and Reference Letters

1. After the preliminary review conference, and in consultation with the Review Initiator, candidates may prepare a list of names of persons who they believe can evaluate a specific area or substantial portion of the candidate's professional activity. It should include the names and specific professional activity to be reviewed. The list becomes part of the review packet. Candidates being reviewed for merit, continuing appointment, or promotion have the option of requesting letters. Candidates being reviewed for promotion, acceleration or advancement to the distinguished step (Librarian VI) are advised to provide a list of names.
2. Letters from references outside the library, such as faculty or colleagues from professional associations, are confidential. Letters from references inside the library, such as committee chairs or LAUC-SB, are not confidential.
3. The candidate may also prepare a list of persons who, in the view of the candidate, might not objectively evaluate the candidate's qualifications or performance, and request they not be asked for a reference letter, or to serve on the candidate's review committee. This list will be included in the review packet.

G. Comments on Evaluation

The Review Initiator completes a written evaluation and schedules a review conference. After the review conference with the Review Initiator, the candidate has three working days to compose a response to the contents of the written evaluation and evaluation conference. When the candidate has completed, at his/her discretion, a written response or at minimum, acknowledged with his/her signature having read the evaluation, the candidate returns the completed review packet to the Review Initiator.

H. Final Comments

After the review conference with the Reviewing Officer, the candidate has three working days to compose a response to the contents of the written evaluation and evaluation conference. When the candidate has completed, at his/her discretion, a written response or at a minimum, acknowledged with his/her signature having read the evaluation, the candidate returns the completed review packet to the Reviewing Officer.

I. Request for Confidential Documents

Following the review conference with the Review Initiator and/or Reviewing Officer, and thereafter during the review process, the candidate may provide a written request to the Review Initiator for a written summary or redacted copies of the confidential letters. If a written statement or redacted copies are provided, they are included in the confidential section of the review packet.

III. General Instructions to Reviewers

After receiving the review packet from the candidate, the Review Initiator, and Reviewing Officer(s) schedule individual meetings with the candidate to discuss the candidate's review. At the meeting, the candidate and the evaluator should discuss the resume or the appropriate parts of the resume, and documentation. The evaluator should request clarification or additional documentation from the candidate, or suggest deletion of irrelevant documentation, as necessary.

Each evaluator should prepare a statement, which fairly and objectively evaluates the performance of the candidate under review. Evaluators should carefully follow the instructions in the Review of Qualifications Form. Evaluators are to use the criteria as set forth in the criterion for evaluation.

A. Instructions to the Review Initiator for Coordination of the Evaluation

1. Schedule and conduct one or more preliminary review conferences with the candidate to discuss the upcoming review. Topics for discussion include, but are not limited to, the review action, documentation, letters of reference, the call and calendar, statement of duties and responsibilities, secondary evaluators, etc.
2. Request evaluative letters from persons in a position to assess the qualifications or particular activities of the candidate. Requests are not limited to the list of names submitted by the candidate, nor must a letter be requested from every person on the candidate's list.
 - a. The Review Initiator includes the following statement regarding the University's policy on confidentiality on all letters included in the confidential section of the packet:

Under University of California policy, the identity of authors of letters of evaluation, which are included in the personnel files, will be held in confidence. A candidate may, upon request and at certain prescribed stages of the academic review process, be provided access to such letters in redacted form. Redaction is defined as the removal of identifying information (including names, institutional affiliation, and relationship to the candidate) contained either at the top of the letterhead or within and below the signature block of the letter of evaluation.

The full text of the body of your letter will therefore be provided to the candidate if so requested. Thus, if you provide any information that tends to identify you in the body of the letter, that information may become available to the candidate.

Although we cannot guarantee that at some future time a court or governmental agency will not require the disclosure of the source of confidential evaluations in the University of California personnel files, we can assure you that the University will endeavor to protect the identity of authors of letters to the fullest extent allowable under the law.

- b. Each letter of request should specify the purpose of the letter and the candidate's specific activity that the person is being requested to evaluate. Each letter should also specify that a detailed, evaluative letter (i.e. one that provides substantive information on actual performance) is required. Requests for confidential and non-confidential letters may be made using the library's electronic mail system.
 - c. The comprehensive list and letters from the evaluator requesting a letter of reference will become part of the review packet.
 3. The Review Initiator may forward appropriate sections of the review packet to secondary reviewers and/or former or previous Review Initiators.
 4. After receiving the packet, the Review Initiator writes a substantive evaluation of the candidate's performance for the period under review, using appropriate sections of the Review of Qualifications Form. The evaluation must fairly and objectively evaluate the performance of the candidate under review. The Review Initiator uses the criteria as set forth in the criterion for evaluation.
 5. The Review Initiator uses the submitted evidence or documentation to evaluate the candidate's performance. For example, it is not enough to say that the person has done a "superlative" job and use the compilation of a procedures manual as evidence. The evaluator must specifically describe how the manual is "superlative". Is it, for example, original or innovative; does it satisfy some strong identified need; does it show unusual command of the subject? If so, in what ways? Evidence of documentation cited in the evaluation should be referred to by page number.
 6. Writes the summary evaluative comments, proposing and supporting a particular personnel action, such as merit, promotion, etc.
 7. Gives the entire non-confidential review packet to the candidate.
 8. Schedules a conference with the candidate, which may also include secondary reviewers, to discuss the evaluation and recommended action. The Review Initiator allows at least one intervening work day for the candidate to read the evaluation. Following the conference the candidate is allowed three working days to compose a written response to the contents of the evaluation and evaluation conference. When the candidate has completed, at his/her discretion, a written response or at minimum, has acknowledged with his/her signature having read the evaluation, the packet is returned to the Review Initiator.
 9. Following the conference, and upon the written request of the candidate, provides a written summary or redacted copies of confidential letters. If a written statement or redacted copies are provided they are included in the confidential section of the review packet.
 10. Prepares evaluation packet for submission to the Reviewing Officer. Performs a complete documentation review including: completing the Table of Contents for Sections V, B through Section VII of the Review of Qualifications Form; makes sure candidate's name is on each page of the review, pages are numbered, signatures are obtained, and appropriate sections of the Certification Statement are completed.

B. Instructions for Secondary Reviewers

Secondary reviewers write an evaluative letter, which fairly and objectively evaluate specific activities performed by the candidate during the period under review. The secondary reviewer sends the letter to the Review Initiator. Secondary reviewers letters are not confidential and do not recommend a personnel action. Secondary reviewers, if requested by the Review Initiator, may participate in the review conference with the candidate.

C. Instruction for Former or Previous Review Initiators

Former Review Initiators, who supervised the candidate for more than half of the period since the last review, are requested to write an evaluative letter which fairly and objectively evaluates the candidate's performance. Former Review Initiators use the criteria as set forth in the criteria for evaluation. Former Review Initiators letters are not confidential and may provide a recommendation for a personnel action.

IV. Instructions to AUL/Reviewing Officer(s)

- A. Reviews the evaluation to determine if it is complete and adheres to the standards set forth in the criteria. Looks for evidence to see that the candidate has been evaluated in all appropriate areas; makes sure appropriate documentation is included in the packet; and determines if the Review Initiator has summarized the evaluation and made a clear recommendation.
- B. Returns any incomplete packet to the Review Initiator to complete.
- C. Request any additional information or evaluative letters deemed necessary. If additional information is added to the packet, the Reviewing Officer will inform and allow the candidate access to all non-confidential information and have the candidate initial and date the new information. If confidential information is added to the packet, the candidate, upon written request, may receive redacted copies of the confidential information.
- D. Schedules and conducts a conference with the candidate and Review Initiator to discuss the review.
- E. Writes a summary evaluative statement proposing and supporting a particular personnel action; forwards the packet to the candidate. The candidate is allowed three working days to compose a written response to the contents of the evaluation and evaluation conference. When the candidate has completed, at his/her discretion, a written response or at minimum, has acknowledged with his/her signature having read the evaluation, the packet is returned to the Reviewing Officer.
- F. Prepares evaluation packet for submission to the AUL-Human Resources. Performs a complete documentation review including: completing the Table of Contents for Sections V, part B through IX of the Review of Qualifications Form; makes sure the candidate's name is on each page of the review, all pages are numbered, all signatures are obtained; and the Certification Statement is completed and signed.

- G. A panel of applicable AULs reviews evaluations of Review Initiators and candidates whose evaluation is written or coordinated by an AUL. The panel follows the steps as outlined for the Reviewing Officer.