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at Stony Brook
Stony Brook, New York 11794

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StonyBrook

November 5, 1984 with additions = 12/4/85 p5

Dear Colleague:

We are pleased to enclose the Library Personnel Policy Procedures which have been developed by the University Senate, University Libraries, and the Provost and which received University Senate approval on October 8, 1984. These procedures apply to all cases of promotion and continuing appointment of library faculty in both Main Campus and Health Sciences Center libraries.

Sincerely,

Joel Rosenthal
President, University Senate

John Brewster Smith
Director, University Libraries

Judith Kaufman
Chair, Library Personnel
Policy Committee

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enc.

LIBRARY PERSONNEL POLICY PROCEDURES

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Adopted by the University Senate
October 1984

LIBRARY PERSONNEL POLICY PROCEDURES

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INTRODUCTION

The procedures which follow have been developed from and modeled upon those of the Personnel Policy Committee, College of Arts and Sciences and the Dossier Proposal Draft submitted by the University Personnel Policy Committee. Changes have been made only where necessary to accommodate the somewhat different role of librarians as members of the faculty. As with the Arts and Sciences procedures, careful consideration was given to the Policies of the Board of Trustees and these policies have been interpreted to reflect the special role of librarians.

1. POLICIES OF THE BOARD OF TRUSTEES

Criteria

The Policies of the Board of Trustees, State University of New York, Art. XII, Title B, paragraph 2, indicate the elements which should be weighed in evaluating candidates for promotion and/or continuing appointment (tenure):

"recommendations of academic employees, or their appropriate committees, or other appropriate sources may consider, but shall not be limited to consideration of, the following:

"(a) Mastery of subject matter -- as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field.

"(b) Effectiveness in teaching -- as demonstrated by such things as judgment of colleagues, development of teaching materials on new courses and student reaction, as determined from surveys, interviews and classroom observation.

"(c) Scholarly ability -- as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications and reputation among colleagues.

"(d) Effectiveness of University service -- as demonstrated by such things as College and University public service, committee work, administrative work, and work with students or community in addition to formal teacher-student relationships.

"(e) Continuing growth -- as demonstrated by such things as reading, research or other activities to keep abreast of current developments in his/her fields and being able to handle successfully increased responsibility."

To further the commitment to affirmative action at SUNY Stony Brook, the following additional criteria will be applied when evaluating candidates for promotion and/or continuing appointment:

(f) Contributions to enriching the life of the university by correcting discrimination and encouraging diversity -- as demonstrated by significant research in line with the emerging scholarship concerning the conditions of life of women and minorities; teaching; and/or university service. A candidate's effectiveness in this regard will be judged where appropriate by accepting a diverse range of publications and vehicles for service, which address the special needs and interests of minorities and women in their efforts to obtain equal opportunity.

1.1 LIBRARY CRITERIA FOR PROMOTION AND CONTINUING APPOINTMENT*

The Library faculty shares the University's goals and contributes to the fulfillment of the campus mission in the areas of instruction, research, and service. However, librarians' contributions differ in nature and emphasis from those of professorial faculty. The criteria for promotion and continuing appointment outlined below are designed to recognize that librarians constitute a subgroup within the University faculty.

(a) Mastery of subject matter -- The basic credential is a Master's Degree in library or information science from an American Library Association-accredited program. Appropriate supplementary evidence might include additional earned degrees, certificates of advanced and/or specialized training, and language or subject expertise commensurate with a particular position description. For example, branch librarians normally need to have a strong subject background (e.g., biology, music) and catalog librarians working with foreign area studies materials must have the appropriate language proficiency.

(b) Effectiveness as a librarian -- The concept of effectiveness as a librarian comprehends a wide variety of individual abilities and achievements. In order to be effective, the Library faculty as a whole must successfully develop, organize, manage, interpret, and promote access to a full range of library services and resources. Although every librarian must be able to demonstrate a general appreciation and understanding of all of the above, expectations of individual effectiveness may vary depending upon functional specialization within the libraries. Many job descriptions combine activities from more than one functional category,

*See also appendices 6.5-6.8 (p.17-22) which further expand upon the description and application of these criteria.

e.g., a government documents librarian may exercise selection, acquisition, cataloging, reference, and management responsibilities. In this context, it is important to note that some librarians may have opportunities for direct contact with students and professorial faculty, while others, most notably catalog librarians, may interact exclusively with Library faculty colleagues and/or counterparts at other institutions. In such cases, internal letters commenting on effectiveness may be appropriate substitutes for external letters from library users.

Note: The library faculty feel that effectiveness as a librarian constitutes an indispensible element in every candidacy.

(c) Scholarly ability -- in the traditional academic setting, scholarly ability is usually evidenced by refereed published research which increases the body of knowledge in a given discipline. In the field of librarianship, traditional modes of scholarship are most commonly exemplified by library school faculty who hold Ph.D.'s and whose work situations closely parallel that of professorial faculty in other disciplines. Although "practicing" librarians normally have limited opportunities to engage in pure research, primarily because such activity is not usually a logical outgrowth nor an integral part of their assigned responsibilities, they can and do make significant scholarly contributions to librarianship through participation in the work of professional associations at the local, state and national levels, the presentation of papers (i.e., the results of applied research) at professional conferences, appointment to consultantships, and a wide variety of scholarly publications including bibliographies, indexes, technical reports, thesauri, book reviews, catalogs, union lists, etc.

It is essential that every librarian participate actively in at least one aspect of the broad range of individual and collegial achievements that constitute contribution to the profession. The growth of the profession depends upon librarians with "on-the-job" experience who can articulate needs and devise solutions to problems and thereby influence the future direction of librarianship and information science. A librarian who is involved in solving the problems of the profession brings to his or her assigned library tasks breadth of vision, awareness of state of the art practices at peer institutions, knowledge of current concepts of information service, and understanding of the process of change.

It is important to recognize that different expressions of scholarly activity may be appropriate to different librarians' specialities, e.g., a librarian involved in the selection of materials is more likely to write book reviews and prepare bibliographies than a catalog librarian who is more likely to organize a training program or be a member of a committee trying

to improve national cataloging rules. Since quantitative limitations are imposed by the nature of a librarian's professional obligations, (i.e., a 12-month year consisting of structured work days spent largely on assigned in-house library tasks), evaluation should be primarily qualitative.

(d) Effectiveness of university and community service -- This criterion may be demonstrated by such activities as successful committee work, participation in departmental and university governance, special university administrative assignments and tasks, involvement with campus groups, work with students or community beyond the formal librarian-patron relationships, offices held in scholarly or professional organizations, refereeing proposals, local community services, etc. Appropriate evaluators include chairpersons of committees or other appropriate community or organization leaders.

(e) Continuing growth -- This criterion may be demonstrated by such activities as attendance at continuing education courses, professional or scholarly meetings, workshops, institutes, training programs, in-depth analyses of other libraries, internships, development of professionally related skills, formal or informal course work, and advanced degrees.

(f) Contributions to enriching the life of the university by correcting discrimination and encouraging diversity -- as demonstrated by significant research in line with the emerging scholarship concerning the conditions of life of women and minorities; teaching; and/or university service. A candidate's effectiveness in this regard will be judged where appropriate by accepting a diverse range of publications and vehicles for service, which address the special needs and interests of minorities and women in their efforts to obtain equal opportunity.

1.2 MANDATORY REVIEW FOR CONTINUING APPOINTMENT

1.2.1 The Trustees' Policies (Article XI) also define the regulations on continuing appointment: Full librarians and associate librarians on a three-year term appointment must be granted continuing appointment if reappointed at the end of that term. Senior assistant librarians and assistant librarians reappointed in academic rank positions (full librarian, associate librarian, senior assistant librarian and assistant librarian) in the State University must be reappointed with continuing appointment if they have completed seven years of service in a position or positions of academic rank in the University. Satisfactory full-time service in academic rank in any other institution of higher education shall be credited as service up to a maximum of three years, but waiver of all or part of this service credit shall be granted upon written request of the employee to the chief administrative officer not later than six months after the date of the initial appointment. Such requests should be submitted to the Director for forwarding to the administration.

1.3 NEW APPOINTMENTS
New appointments with continuing appointment and/or at the rank of Associate Librarian or Librarian do not have to be reviewed by the Committee. Files for these appointments should follow the same guidelines as files for internal promotions or continuing appointment.

1.2.2 Continuing appointment cases must be considered at least one year prior to the time when continuing appointment would become mandatory or when the final term appointment would expire (Policies, Art. XI, Title D, section 5).

1.2.3 Associate or full librarians holding a term appointment must be reviewed for continuing appointment not later than the second year of service in that rank.

1.2.4 Senior assistant librarians or assistant librarians who have neither previously been reviewed for tenure at the State University of New York at Stony Brook nor submitted a letter of resignation must be reviewed for continuing appointment not later than the sixth year of service in academic rank.

1.2.5 In computing consecutive years of service for the purposes of appointment or reappointment, periods of leave of absence at full salary shall be included; periods of leave of absence at partial salary shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

2 DEPARTMENT EVALUATION AND RECOMMENDATION

2.1 Initiation of Candidacy

2.1.1 The Director ordinarily initiates a candidacy for promotion to higher rank, or for a continuing appointment or both, having obtained the consent of the faculty member involved. The Director is responsible for assembling the candidacy file.

2.1.2 When consideration of continuing appointment is mandatory, the Director must notify the candidate and proceed with the evaluation unless the candidate submits a resignation, to take effect no later than the end of his or her term.

2.1.3 Except as noted in section 2.1.4, any individual faculty member of academic rank may with the approval of his/her department* initiate his/her candidacy for promotion and/or continuing appointment at any time prior to either receiving notice of non-reappointment or submitting a resignation. This request must be communicated in writing to the Director by the candidate. The Director must then convene the department* to consider the request. The candidacy file will be assembled by the Director in accordance with 2.1.1 above.

2.1.4 Reconsideration of a non-mandatory case in the year immediately following disapproval of a promotion or tenure recommendation is subject to a review as provided in section 2.2.2.

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* The term department in sections 2.1.3, 2.1.5, 2.2.3, 2.5.4, 3.1 and 3.3 means the appropriate faculty group in either the main campus libraries or the Health Sciences library. Elsewhere in the document the term department refers to the main campus libraries or the Health Sciences library as a whole rather than to internal subdivisions (e.g., reference, acquisitions).

2.1.5 If the department does not approve a faculty member's request for a review, the faculty member may appeal the decision to the Committee on Library Personnel Policy after receiving written notification of the department's decision. The appeal must be accompanied by supporting documents. In the case of a negative decision by the Committee on Library Personnel Policy the case may be appealed to the Provost for a final decision.

2.2 Special Cases

2.2.1 Where a letter of termination of employment has already been received or where a letter of resignation has been submitted and accepted, the decision whether or not to submit or resubmit a case to the Committee on Library Personnel Policy will be made by the Provost.

2.2.2 Reconsideration of a non-mandatory case in the year immediately following disapproval of a promotion or tenure recommendation should only be requested on the basis of strong evidence that a substantially higher level of achievement has been reached in the intervening year. The re-submitted file should then be presented in two parts.

Part I. An account of the professional status of the candidate when last considered, together with full documentation and supporting evidence, prepared according to the present norms (in which the confidentiality of solicited letters is preserved). This account will be divided into biographic and evaluative files.

Part II. An account of the present professional status of the candidate containing a) a new curriculum vitae, b) updated departmental recommendation and, c) updated letter from the Director, d) new documentary materials, e) additional solicited letters of reference. This account will also contain a bio-graphic file and an evaluative file and will be prepared according to the present norms for presenting such files.

The two parts will be submitted by the Director to the Library Committee on Library Personnel Policy.

2.2.3 Whether or not a resubmitted case merits a new review will depend on the comparative evaluation of the contents of Parts I and II of the resubmitted file. The department makes its recommendation to the Committee on Library Personnel Policy and the Committee will take into account whether a substantially higher level of achievement has been reached in the intervening year.

2.2.4 If a case becomes mandatory within a year after a prior submission, the file should be constructed as indicated in 2.2.2 above.

2.2.5 After two years, normal procedures for submission of candidacy files should be followed.

2.3 Announcement of Candidacy

The initiation of each candidacy for promotion and/or continuing appointment shall be communicated in writing by the Director to all the faculty members of the department. This written announcement shall include a statement from the Director soliciting letters of comment from any member of the University community. Such letters will constitute confidential materials in the candidacy file (cf. the special evaluative file 2.4.5).

(See Sec. 6.1 for a sample letter of announcement.)

2.4 The Candidacy File

2.4.1 The candidacy file contains three parts:

A. The biographic file drawn up by the candidate. The file is available to all who have a right to contribute to the evaluative files.

B. The general evaluative file containing confidential information that the candidate may review before the President's decision is made. This material is available to the appropriate faculty group, to the Committee on Library Personnel Policy and to the higher academic administrators as well as to the candidate at the appropriate time.

C. The special evaluative file containing confidential material that is not accessible to the candidate, but only to the appropriate faculty, the Committee on Library Personnel Policy and the higher academic administrators.

2.4.2 The Director shall be responsible for the preparation and collection of appropriate materials on each candidate for promotion and/or continuing appointment (see 2.1.1). When the Director is a candidate, the administrator to whom the Director reports shall be responsible for the preparation of the candidacy file. The candidacy file shall not be circulated to persons other than those specifically authorized to review it in accordance with these Procedures, with the exception that the biographic file may be made available to others at the request of the candidate. Items contained in the special evaluative file will not become part of the personnel file.

2.4.3 The Biographic File

2.4.3.1 Each candidate for promotion and/or continuing appointment shall prepare a biographic file that will become part of the candidacy file. The biographic file shall include the candidate's education, professional experience, honors, grants, publications, professional activities (invited lectures or papers, performances, etc.), current research and other creative activities and, where appropriate, teaching activity and teaching goals, recent departmental, University and outside professional service, and any additional relevant information.

2.4.3.2 The list of publications should be broken down into the following categories: 1) books and monographs; 2) articles (refereed articles should be so indicated); 3) abstracts, book reviews; 4) miscellaneous published material (optional). If a book is edited, then pages of text that have been written by the candidate should be indicated. Abstracts should be so designated. In all instances, authors should be listed as they are on the title page. If the profession follows a special convention for identifying senior authorship, this should be so indicated. See appendix 6.3 (page 15) for a detailed example of bibliographic form.

2.4.3.3 Presentations that have not been published should be listed in the appropriate place and divided into the following categories:

1) invited scholarly lectures and symposia;
2) other lectures or presentations.

2.4.3.4 Representative copies of the candidate's professional work should be included, along with copies of published reviews and appraisals of the candidate's work.

2.4.3.5 When appropriate, the following material relevant to the candidate's teaching activity should normally be included:

1) A list of courses taught since the candidate's last appointment or promotion. This list should indicate the title and number of the course, the enrollment, and the group for which it is intended (e.g., undergraduate majors, non-majors, first-year graduate students, etc.).

2) Such evaluation of the candidate's teaching ability as is available and appropriate.

2.4.3.6 The completed biographic file with the dated signature of the candidate should be submitted to the Director

2.4.4 The General Evaluative File

2.4.4.1 The general evaluative file will contain all supervisory evaluations. These include the reports of the line supervisor as well as the Director's letter summarizing the views and recommendations of the appropriate faculty group, the Director's own letter if this is different from the former and the formal minority report, if one has been drawn up. These letters should provide a clear and specific summary of the case while still preserving the confidentiality of solicited opinions. This may be done by referring in the summary letter to "such and such a point raised by Librarian X," or "the statement from Referee Y." A key identifying X and Y by name should be provided for these references and included in the special evaluative file, but not seen by the candidate. The general evaluative file will also contain the report of the Committee on Library Personnel Policy on the case.

2.4.5 The Special Evaluative File

2.4.5.1 The special evaluative file should contain the written evaluations of at least four authorities suggested by the candidate. Whenever possible, additional independent outside evaluations will be solicited by the Director. While it is hoped that some of these evaluations will be from authorities outside the University, this is mandatory only in cases of promotion to the rank of associate librarian or above and in cases involving continuing appointment. In such cases at least one evaluation must come from outside the University and no more than two solicited evaluations may be from within the candidate's own library department. Each such letter in the file should have attached to it a copy of the letter soliciting it together with a statement identifying the authority and indicating the relationship, if any, with the candidate if this information is not offered in the letter of reference. These letters should generally not be more than two years old. All letters written in a language other than English should be accompanied by a translation. Anonymous letters may not be included in the file.

2.4.5.2 The letters sent by the Director to solicit the referees' opinions should be accompanied by the candidate's curriculum vitae as well as by reprints and/or preprints selected by the candidate. The soliciting letter should request the referee to include specific evaluation of the candidate's fulfillment of the library Criteria for Promotion and Continuing Appointment.

(See Sec. 6.2 for a sample letter of solicitation.)

2.4.5.3 When the candidate has engaged in teaching, research or service in the University, but outside of the department of appointment, letters from those in a position to evaluate these contributions should be included in the candidacy file.

2.5 Evaluation

2.5.1 An appropriate group of faculty shall be responsible for evaluating and making a recommendation on each candidate for promotion and/or continuing appointment. The appropriate group will vary according to the type of action being considered.

Promotion: All members of the department who are of higher rank than the candidate.

Continuing Appointment:
All members of the department with a continuing appointment.

2.5.2 If in a case of continuing appointment the candidate's department is not large enough to form an appropriate group of at least seven members, such a group will be constituted by the Provost after consultation with the Director and the candidate. If in a case of promotion, the appropriate group believes it is too few in number to present an effective file, an enlarged group will be constituted by the Provost after consultation with the Director, the original appropriate group, and the candidate. When such cases originate in the Health Sciences Library, the Vice President for Health Sciences, rather than the Provost, will be involved.

2.5.3 The appropriate faculty group, in advance of making its recommendation, shall have ready access to the completed file and to a copy of these Procedures. The file shall carry on its face the names of all those faculty eligible to consult it, with space provided for their signatures. Each eligible faculty member consulting the file shall sign the cover sheet to indicate that his or her examination of the file has been completed.

2.5.4 The appropriate faculty group, having examined the candidate's file, shall convene to make a recommendation in that case. Individual faculty are strongly urged to expand on their votes by writing letters for the file. Such letters will normally be addressed to the Director. This may be done either in the case of positive or negative opinions.

2.5.5 Any department member who disagrees with actions of the Director or department in any personnel case, and who wishes to express his or her views about such actions in confidence, may do so directly in writing, to the appropriate administrative officer. Such letters will be forwarded to the Committee on Library Personnel Policy.

The confidentiality of such communications will be respected, but new substantive information will be brought to the attention of the department before the Committee makes its recommendation. These letters will be treated as solicited letters. Anonymous letters may not be included in the file.

2.5.6 A list of the appropriate faculty group bearing a tally of their votes (approve, disapprove or abstain) and their signatures shall be part of the special evaluative file. The Committee supplies a standard cover sheet for this purpose.

2.5.7 After the recommendation is made, the Director shall write a supporting letter summarizing the views of the group. At the conclusion of the letter, there shall be a list of those having read it and their signatures. This letter forms a part of the general evaluative file and shall be drawn up in accordance with the guidelines specified in section 2.4.4.1. If the Director's letter is supplemented by a formal minority report, this report shall also be included in the general evaluative file. The same group that has read the Director's letter shall read the minority report and signify that they have seen it.

2.6 Submission to the Committee on Library Personnel Policy and Operation of the Committee.

2.6.1 It shall be the responsibility of the Director to forward the recommendation letter, together with the completed file, to the Committee on Library Personnel Policy, or directly to the Provost in the case of candidates seeking promotion to senior assistant librarian rank.

Consult section 6.4 for a suggested order of the items in the completed personnel file.

2.6.2 March 15 is the deadline for submission of all mandatory tenure (continuing appointment) recommendations. An earlier date, the first Monday following the initial full week of the Spring semester, is the deadline for non-mandatory recommendations. It is understood, however, that the wide variation in appointment anniversary dates of librarians may require some adjustment of these deadlines. In no case may a file be submitted less than three months prior to the anniversary date.

2.6.3 The rank of all members of the Committee on Library Personnel Policy must be at the level of Associate Professor/Associate Librarian or higher except for the one non-tenured library faculty member.

2.6.4 All members of the Committee on Library Personnel Policy must hold continuing appointment except for the one non-tenured library faculty member.

2.6.5 Library faculty members of the Committee on Library Personnel Policy may not be candidates for promotion while members of the Committee.

2.6.6 All members of the Committee are eligible to vote on all cases, regardless of rank, except members of the Committee who are in the candidate's department (i.e. Main Campus Library or HSC Library).

2.6.7 A quorum is required and consists of a majority of the members eligible to vote on the specific candidacy under consideration.

2.6.8 The Committee will not review cases of promotion to a rank lower than that of Associate Librarian.

2.6.9 There shall be no direct communication whatsoever between any member of the Committee and the candidate concerning his or her case. All communications to and from the Committee shall be in writing.

2.6.10 Where situations not covered by the Procedures specified in this section arise, the Committee on Library Personnel Policy and the Executive Committee of the University Senate, in consultation with the Director of Libraries, the Provost, and the candidate, shall devise suitable means to deal with the case. The candidate shall be informed of the new procedures.

3 EVALUATION BY THE COMMITTEE ON LIBRARY PERSONNEL POLICY

3.1 The Committee on Library Personnel Policy will review and evaluate the file. Prior to reaching a decision the Committee may seek additional information. Substantively new information affecting the evaluation of the candidate will be shared with the department prior to forwarding a recommendation so that the Director will have an opportunity to respond. This communication will be in keeping with the principle of confidentiality respecting the sources of that information.

3.2 After completing its deliberations, the Committee forwards the file together with the Committee's recommendation to the Provost. The Committee will communicate its recommendation to the Director after 14 days or when the President's action (see section 5) is known, whichever occurs sooner. The Director will communicate the Committee's recommendation to the candidate.

If a prior recommendation is not likely to be upheld by the Committee, the reasons for such possible action will be summarized in writing and sent to the Director. The Committee will then entertain a written response

from the Director within one week of its informing the department or program of its likely decision not to uphold the prior recommendation. After this communication, the committee will formulate its formal recommendation, which will follow the procedures outlined at the beginning of this section.

3.3 In all cases where files have been correctly completed according to the specifications given above and have been submitted by March 15, the Committee's recommendation will be forwarded to the Provost no later than April 30. Files from the Health Sciences Library should be forwarded by the Committee to the Vice President for Health Sciences, who will add his/her own evaluation and forward the file to the Provost.

4 EVALUATION BY THE PROVOST

4.1 After the Provost formulates a recommendation, he/she will forward it to the President. If the Provost disagrees with, or has questions about, the recommendation of the Committee on Library Personnel Policy, the Provost should confer with the Committee before formulating a recommendation.

4.2 If substantively new information affecting evaluation of the candidate is added to the file after it has been considered by the Committee on Library Personnel Policy, this information will be communicated to the Committee. If so requested, the appropriate administrative officers will discuss such information with the Committee, which shall have the right to add to the file its subsequent reaction.

4.3 The Provost will notify the candidate that the file is being forwarded to the President and that it is available for review in the Office of the President in accordance with Article 31.6 of the UUP Agreement.

5 ACTION BY THE PRESIDENT

5.1 In cases involving the granting of continuing appointment, the President makes a recommendation to the Chancellor and the Board of Trustees. In all other cases, the President makes the final decision, based on the array of previous faculty and administrative recommendations together with the supporting materials in the file.

5.2 When the President disagrees with the Committee recommendation, he or she will consult with the Committee before making the final decision. Such consultation should be carried out as early as possible, preferably before the end of the term in which the file is submitted, to ensure a hearing by the full membership of the Committee.

5.3 A copy of the letter announcing the President's decision shall be sent to the Committee on Library Personnel Policy.

6 Appendices

6.1 Sample announcement of initiation of a candidacy for promotion and/or continuing appointment:

M E M O

TO: All Library Faculty Members

FROM: (Name of the Director)

SUBJECT: Announcement of the Candidacy of (name of candidate)

(Name of candidate) of the (department) is a candidate for (enter appropriate terms).

Any member of the University community, and especially any member of the Library faculty, is invited to write a letter commenting on this candidacy. Such letters will be made a part of the confidential evaluative file to be drawn up for this case. Among the factors indicated by the Policies of the Board of Trustees for consideration in promotion and tenure cases are: mastery of subject matter, competence in teaching (librarianship), scholarly ability and productivity, effectiveness of University and public service, and continued growth.

6.2 Sample letter of solicitation for promotion and/or continuing appointment:

Dear _____:

We are considering the promotion of _____ from (rank) to (rank) with/without tenure. In order to help us reach a decision, we would appreciate your candid assessment of Dr. (Mr., Ms.) _____'s professional achievements and standing in the field of _____. For your convenience a current curriculum vitae and representative sample of publications are enclosed. We would especially value your expert opinion on the quality, originality and importance of the candidate's research and your estimation of how she/he compares in professional accomplishments with others of similar academic rank or experience. It would also be useful to know whether a candidate of _____'s qualifications would probably be promoted/receive tenure at your institution. Any other information you can supply regarding the candidate's effectiveness as a librarian or her/his national or international reputation in the field of librarianship or her/his field of research would be greatly appreciated.

Your letter will be kept confidential and you are advised that it will form part of the Special Evaluative File presented to the University President for final action on this case.

Thank you for your collegial assistance in helping us to reach an informed decision in this matter. My colleagues and I appreciate the time and care which you devote to this case.

Sincerely yours,

6.3 SAMPLE BIBLIOGRAPHY:

Books:

Rio Grande do Sul and Brazilian Regionalism, 1882-1930 (Calif., Stanford University Press, 1971), xvi + 311 pp.
Edited with Robert S. Byars. Quantitative Social Science Research on Latin America (Urbana: U. of Illinois Press 1973, 272pp. (Preface and pp. 175-215 by author).
Translation of Rio Grande do Sul: O Regionalismo Gaucho e as Origens da Revolucao de 1930 (Sao Paulo, Editora Perspectiva, 1975), 282pp.

Refereed articles:

"Porto Alegre: [Historical] Research Opportunities," in Getulio Vargas, ed., Brazil: Field Research Guide in the Social Sciences (New York, Inst. of Latin American Studies, Columbia University, 966), pp. 88-96.

"Sources for the Latin American Student Movement," in The Journal of Developing Areas, I (Jan 1967), pp. 215-226.

Other articles:

"La Raza: Mexican-Americans in Rebellion," Trans-Action, VI, 4 (Feb. 1969), pp. 35-41.

Same, reprinted (condensed) in Social Progress: A Journal of Church and Society, LIX 5 (May/June, 1969), pp. 30-35.

Same, reprinted in John H. Burma, ed., Mexican-Americans in the United States: A Reader (Cambridge, Mass., Schenkman, 1970), pp. 459-478.

Book Reviews:

Hispanic American Historical Review - 5
American Historical Review - 1
Journal of Interdisciplinary History - 1
Journal of Social History - 1

Miscellaneous:

Poems, "Iracema," "Tupi ou nao Tupi,"
"Memorias de Ipanema," In Anthology of Brazilian Poetry
(Metuchen, N.J. Scarecrow Press, 1977),
pp. 91, 107-8, 230.

6.4 Suggested Order of Material in Files

I. Biographic File: with copies of publications of the candidate. If extensive, a representative selection will suffice.

II. General Evaluative File (Open to review by candidate at appropriate time):

a. Notice of announcement of candidacy

b. Director's summary of views and recommendations of the appropriate faculty group: the authors of solicited opinions will be referred to by symbols X, Y, etc.

c. Director's own letter (if different from b.).

d. The line supervisor's letter (if different from c.).

e. Copy of standard form letter sent soliciting the references.

f. Published reviews and appraisals of the candidate's publications, contributions and scholarship.

III. Special Evaluative File (not open to review by candidate at any time):

a. Vote of appropriate faculty group (with signatures on sheet or ballots).

b. Statements regarding the outside reviewer's qualifications and acquaintance with candidate.

c. The key to symbols X, Y, etc., used to refer to the authors of solicited opinions.

d. Outside letters of evaluation. Letters from individuals suggested by the candidate should be so designated (see section 2.4.5.1).

e. Solicited letters of evaluation and recommendation from SUSB personnel other than supervisory.

f. Copies of the individual letters of solicitation.

A list of those who may review the file and comment on its contents should be attached to the complete file.

APPENDIX 6.5
EFFECTIVENESS AS A LIBRARIAN: MAJOR LIBRARY FUNCTIONS

A. SELECTION. Responsibility for the selection of library materials involves active participation in budget preparation and planning, keeping abreast of trends in curriculum development at both the undergraduate and graduate levels, developing an awareness of the research interests of professorial faculty and graduate students, formulating collection development policies and priorities, understanding the campus mission, familiarity with the academic programs of the University, intimate knowledge of the strengths and weaknesses in the Library collections, participation in regional, state, and national resource development programs, and working closely with professorial faculty to meet instructional needs. Selection officers need to have a strong subject background as well as knowledge of national, trade, and subject bibliography. *Evidence of effectiveness* may include up-to-date collection development policy statements, relevant extracts from evaluations of academic departments, statistical comparisons with standard holdings lists, and other collection measurement and evaluation profiles. *Appropriate evaluators* include professorial faculty, students and library faculty engaged in interpreting the collection to users, and, in some cases, colleagues at peer institutions.

B. ACQUISITIONS. Responsibility for the acquisition of library materials involves the organization and administration of efficient and cost-effective searching, ordering, receiving, claiming, and accounting operations, the administration of State contracts and budgeted allocations, and the provision of timely and accurate fiscal information (encumbrances, expenditures, and balances) to selection officers and library administrators for decision-making. Acquisitions librarians need to have a thorough understanding of generally accepted techniques of both manual and computer-assisted bibliographic verification, knowledge of the international book trade, familiarity with State purchasing regulations, extensive knowledge of national and trade bibliography, administrative skills, training in the principles of systems analysis and design, and ability to work closely with jobbers and publishers. *Evidence of effectiveness* may include the quality of documentation (i.e., flow charts, procedure manuals, workforms), timeliness and reliability of reporting, fulfillment rates, error rates, turnaround time, auditors' reports. *Appropriate evaluators* include professorial and library faculty served, internal audit, budget, accounting, accounts payable, and purchasing departments, and, in some cases, colleagues at peer institutions.

C. CATALOGING. Catalog librarians are responsible for the bibliographical organization and control of materials. The cataloging process involves three separate, but integrated, components: (1) Subject analysis, the most intellectual part of cataloging, involves the assignment of a) classification numbers which will bring together related items on the shelf, and b) subject headings which will bring together related items in the catalog. In-depth knowledge of subject terminologies and taxonomies, facility in foreign languages, research in appropriate reference tools, and familiarity with the principles of Library of Congress classification are required. (2) Descriptive cataloging involves the interpretation and application of a uniform cataloging code to describe items in terms of their chief bibliographical and physical characteristics as well as the determination of appropriate "access points" (i.e., author and title headings under which a patron may search in the catalog). Knowledge of the Anglo-American Cataloging Rules and the cataloging policies and practices of the Library of Congress is required. (3) Authority work involves developing and managing the syndetic structure of the libraries' catalogs. This includes determining the form of an access point under which library users are most likely to search as well as providing cross-references to and from related and alternative headings. Many specialized bibliographical and biographical works and other scholarly reference sources are used to prepare and maintain an authority file.

The catalog librarian's work should result in the provision of effective bibliographic access to the growing collection of research materials within the general framework of both the developing library-wide bibliographic infrastructure as well as the emerging regional, state, and national shared cataloging networks. Catalog librarians should be evaluated on (1) qualitative and quantitative standards; (2) the degree to which logical problem-solving and user-oriented approaches are used in translating cataloging theory into practice; (3) the degree to which useful suggestions are offered regarding policies and planning leading to the effective use of bibliographic records; (4) proficiency in utilizing the library's online shared cataloging system; (5) ability and willingness to share specialized expertise with others; (6) understanding of the specialized principles, functions, techniques, and purposes of cataloging research materials in a great variety of subjects, languages, and formats; and (7) demonstrated ability to recognize and resolve cataloging problems, and to initiate and implement cataloging projects. *Evidence of effectiveness* may include individual and "team cataloging" statistics, procedure manuals, workforms, implementation memoranda. *Appropriate evaluators* include catalog and public services librarians and, in some cases, colleagues at peer institutions.

D. REFERENCE. Total reference service extends far beyond the utilization of printed information sources to answer ready-reference questions. The reference librarian seeks to help patrons answer questions and develop research skills by teaching them to use library resources and information technology. To promote access to collections and services, reference librarians compile bibliographies, library guides, indexes, catalogs, etc., conduct orientation sessions for new patrons, search computerized databases, acquire materials not available locally via interlibrary loan, and assist patrons in locating regional, state, and national resources. Reference librarians actively promote individual and group instruction in work with the academic departments they serve. Chief among their teaching responsibilities is course-related bibliographic instruction, which may involve participating with professorial faculty in classroom teaching, offering formal and/or informal courses and seminars in library research methods, teaching courses in the area of a second master's or doctoral degree, participating in independent and/or interdisciplinary studies programs, and working with professorial faculty in designing the library component for course syllabi. Reference librarians must also be able to give authoritative presentations to professorial faculty, students, and visitors regarding the library and its policies. Finally, reference librarians may provide a variety of other services to the general public as required, e.g., training disabled persons to use special library equipment.

Effective reference service requires strong human relations skills, as well as understanding of the various operations and services of the libraries, an ability to integrate and communicate this information to library users, familiarity with the research processes appropriate to the various disciplines, an ability to translate this knowledge into effective service, and a willingness to pursue patron problems to satisfactory solutions. *Evidence of effectiveness* may include library guides; bibliographies, indices, catalogs; service and/or collection statistics in data base services, bibliographic instruction, interlibrary loan, etc.; descriptions of special projects for the promotion and improvement of service; course syllabi, materials, and evaluations; acknowledgements in published works. *Appropriate evaluators* include professorial and library faculty, students, and, in some cases, colleagues at peer institutions.

E. MANAGEMENT. Since library services are often labor-and/or capital-intensive, management of personnel and/or other resources is almost always an important factor in evaluation effectiveness. Some administrative jobs consist primarily of management activities or activities in support of the management function, such as personnel, budget, and automation. A manager must be able to articulate goals and objectives and express them in meaningful documentation;

establish policies and be effective in their execution; adjust programs and procedures as necessary to accommodate changes in user needs, technological developments, and available resources; demonstrate competence in decision-making, planning, coordinating, organizing, and general leadership of a unit; consult in advance with members of the unit when considering major policy changes which affect the supervisory unit; recruit, train, and motivate staff and encourage staff development; treat and evaluate staff impartially and sensitively; delegate authority; assign, schedule and monitor workloads; cooperate and communicate effectively with members of the library faculty and staff, professorial faculty, and students in furthering the objectives and priorities of the library; and prepare periodic status reports in the form of meaningful statistics and narrative interpretation. *Evidence of effectiveness* includes training and procedure manuals, flow charts, quantitative measures of productivity, statistical and narrative reports. *Appropriate evaluators* include professorial and library faculty, students, and, in some cases, colleagues at peer institutions.

APPENDIX 6.6
SCHOLARLY ABILITY

ACTIVITY	EVIDENCE	EVALUATORS
Meaningful and significant participation (other than membership) in professional or scholarly organizations on the local, state or national level: committee chair or significant committee participation resulting in documentable achievements; contributions at conferences (papers presented, panel participation, chairing meetings, sessions)	Descriptions and reviews of activities in newsletters, minutes of meetings, etc. Reports or other documents produced by committees Copies of representative work	Chairperson or other appropriate officer or member of organization
Organizing workshops, institutes or similar meetings Consulting, serving as referee or member of a team of experts, review committee or similar body	Programs Published descriptions and reviews of activity in newsletters, journals, etc. Letters of invitation or appointment Mention of activity in newsletters, etc.	Person(s) who selected librarian for these activities Co-workers Person(s) served by these activities
Receiving grants, fellowships, awards	Letters of award	
"In-house" achievements that contribute to the profession	Reports, handbooks, bibliographies, manuals, course designs, and similar items if they present new ideas, or incorporate research and/or are recognized as models by other libraries	Appropriate librarians in other libraries or library school faculty (If evaluators are SUSB librarians, activity should be used as evidence of the criterion "effectiveness as a librarian")
Publishing activity: editing newsletters, journals, parts of journals; publishing articles, books, reports, reviews; compiling bibliographies; catalogs; indexes	List of publications Evidence of acceptance of works not yet published Copies of representative published work along with copies of published reviews and appraisals of the candidate's work	Experts in the relevant area of librarianship or other discipline