FY2014 Process and Instructions

I. Purpose

The Iowa State University Library’s annual evaluation program for academic librarians includes an annual assessment of individual performance for the past calendar year, establishment of performance objectives for the next calendar year, documentation of performance for annual merit salary increases and guidance for professional development and future promotion reviews.

The process provides academic librarians with the opportunity to express in writing what has been accomplished during the past year, to review and discuss work performance assessment with the unit supervisor and to jointly develop individual annual workplan in support of unit and library objectives.

II. Annual Evaluation Process

A. Evaluation process, expectations and components.

The Library mandates an annual formal evaluation based on calendar year for each librarian. Regular dialogue of assessment and outcomes between the unit supervisor and librarian should be maintained throughout the year. Evaluations are guided by individual position descriptions.

The process includes an annual merit salary evaluation process based on the outcomes and impact documented in the annual evaluation. It includes the following components:

- Workplan
- Self-evaluation
- Supervisor evaluation
- Opportunity for additional comments by the librarian
- Updated Vita
- Merit salary evaluation process

B. Evaluation participants

- Librarian
- Unit supervisor
  
  When there is more than one unit supervisor, the primary unit supervisor is defined by oversight and how the greater portion of professional practice responsibilities is assigned. In this process, the unit supervisor refers to the primary unit supervisor.

- Administrative supervisor.
  
  The administrative supervisor is the unit supervisor’s supervisor.

Often the unit supervisor is a department head and the administrative supervisor an associate dean or assistant director (AD). For direct reports to the AD, the AD is the unit supervisor and the Dean of the Library (Dean) is the administrative supervisor. For direct reports to the Dean, the Dean serves both roles.
III. Annual Evaluation Materials and Meetings

A. Workplan

1. Workplan Structure and Expectations
   The workplan is outcomes based and used for setting individual goals for the upcoming calendar
   year, determining future position description responsibilities and documenting professional
   development. The expected outcomes are derived from the librarian’s position description (PD) and
   often the library strategic and divisional/library operational plans. The workplan applies to
   responsibilities detailed in the librarian’s PD and expected external impact outcomes. For purposes
   of annual evaluation and workplan development, teaching and outreach activities are included in
   professional practice.

2. Additional Support
   As part of the workplan, the librarian may request additional support to assist in the achievement of
   goals, improve performance, and/or make progress towards meeting promotion criteria. The librarian
   is responsible for initiating and developing the workplan with collaboration and approval from the unit
   and administrative supervisors.

3. Workplan Development and Approval
   a. Librarian submits the proposed workplan to the unit supervisor, who will review it with the
      administrative supervisor. Following this administrative review and taking into account
      recommended changes, the librarian completes a final workplan and forwards it to the unit
      supervisor.

   b. The unit supervisor signs the workplan and forwards it to the administrative supervisor for
      signature and delivery of the signed workplan to the Dean's Office.

   c. The Dean’s Office scans and electronically distributes the workplan to the evaluation participants.

   d. It is recommended that the workplan be formally reviewed by the librarian with the unit
      supervisor during the summer for progress and potential revisions. If there is interest in revising
      the plan, the librarian should submit the revised workplan electronically to the unit supervisor
      who will share it with the administrative supervisor. Following administrative review, as
      described above, and taking into account recommended changes, the librarian completes a final
      workplan and forwards it electronically to the unit supervisor for final signatures. Any workplan
      revisions should be made no later than the last working day in August.

B. Vita
   The librarian provides an updated vita as part of the annual evaluation process. This is the same vita used
   within promotion reviews. For the purpose of the annual evaluation, librarians should highlight all listings
   that represent outcomes for the evaluation period. Only the current vita is maintained in the confidential
   personnel file in the Library Dean’s Office.
C. Annual Evaluation. Self-Evaluation (Part I)
Each librarian is responsible for writing a self-evaluation which reflects outcomes of the workplan and other additional important activities and describes select major accomplishments. The self evaluation describes outcomes and impact for Professional Practice, External Impact, and Institutional Service as well as a summary of three or four of the librarian’s major accomplishments and their impact. The summary of major accomplishment should serve as a building block for a future promotion portfolio summary.

The self-evaluation includes the following sections:

1. **Professional Practice Outcomes**
The librarian should create a bulleted outline of the most important outcomes from professional practice and internal professional practice service. These will have supported the workplan for the past year and are relevant to that librarian’s position description (PD), any professional competencies, and the library’s strategic and operational plans. Under professional practice, important staff developments (e.g. workshops, conferences, seminars, etc.) related to professional practice responsibilities should be included. **Staff Development** is the header for such items.

Since the vita is included with the self-evaluation, only those outcomes should be included where the librarian wants to discuss importance, collaborative efforts, and impact.

Professional practice service includes primarily internal service – the description should include the dates of service and outcomes and positions held, and is based on the vita format. For any library-based professional practice service, list all individuals who chaired committees that were served on or, in the case where the librarian was the chair, the name of a committee member who would be appropriate to contact regarding an assessment of the librarian’s service.

This section should include any external committee membership or service activity that is *not* elective, but mandated by one’s position (including representing the ISU Library to external groups). This service is considered a position responsibility. Such mandated memberships or activities *may* lead to additional, elective activities that could be considered external professional practice service, on a case-by-case basis. Similarly, mandated committee memberships could lead to scholarly outcomes, depending again on the elective nature of any scholarship produced.

2. **External Impact: External Professional Practice Service and/or Scholarship and Research**

a. **Scholarship and Research**
Use the working title and refer to the journal citation as appropriate for each research project. When citing any scholarship outcomes, the librarian should use a full standard citation format and indicate if the scholarship underwent peer-review. In order for any research in progress to be considered, in-progress documentation must be submitted electronically.

In order for the scholarship to be evaluated and ranked, electronic copies of the published work must be submitted. For scholarship that has been accepted for publication but not yet published, submit electronically the version that was accepted with a copy of formal notification of acceptance with the Part I documents.
b. **External Professional Practice Service**
   For external professional practice service activities, use the citation for service used in the vita. Provide relevant information about the organization, group, subgroup, etc., as well as the nature and term of the activity (e.g., “appointed to 2-year term, 2012/2014,” or “elected to one year term, academic year 2013/14”). A description of role and impact of contribution should be provided as well any relevant documentation should be submitted electronically (e.g., committee report and/or recommendations).

3. **Institutional Service and Other Duties As Assigned**
   For institutional service activities, use the citation for service used in the vita. Provide relevant information about the organization, group, subgroup, etc., as well as the nature and term of the activity (e.g., “appointed to 2-year term, 2012/2014,” or “elected to one year term, academic year 2013/14”). A description of role and impact of contribution should be provided as well any relevant documentation should be submitted electronically (e.g., committee report and/or recommendations). As appropriate, any other outcomes of other duties as assigned should be described.

4. **Major Accomplishments**
   Summarize three or four major accomplishments and their impact. These should include evaluations of individual performance and how the accomplishments relate to the workplan. Comments are appropriate on how you believe that you have met or exceeded expectations and on those activities that were particularly helpful or challenging in achieving goals. These major accomplishments may serve as core points in a promotion portfolio summary.

D. **Annual Evaluation. Supervisor Evaluation (Part II)**

   The supervisor evaluation assesses the librarian’s contributions in all areas relevant to the appointment and workplan as well as making comments on progress towards meeting criteria related to promotion. The unit supervisor is responsible for drafting the supervisor evaluation. If there is a secondary unit supervisor, the primary unit supervisor shares all librarian evaluation materials with the secondary unit supervisor who must write an evaluation section to be included in the evaluation. The administrative supervisor reviews the draft and is responsible for the final supervisor evaluation.

1. **Assessment Coverage**
   The assessment should address the librarian’s contributions and external impact in areas relevant to the PD, the annual workplan, the divisional operational plan, and the library strategic plan while taking into account promotion criteria and relevant professional competencies. In all areas of responsibility, the length of time in the position in relation to accomplishments will be considered. In addition to performance of tasks in the PD and workplan, the evaluation will address meeting the promotion criteria and such issues as:
   - Application of professional knowledge
   - Planning and organization
   - Resourcefulness, initiative, and leadership
   - Interpersonal relations, collegiality, and communication skills (oral and written)
   - Management of human resources for those who have supervisory responsibilities
2. **Additional Evaluative Input**
   As appropriate, the unit supervisor is responsible for obtaining additional input to ensure the evaluation covers all aspects of the librarian’s responsibilities and activities. In particular, librarians may have important assignments, including committee and task force responsibilities, which are or were overseen or coordinated by other librarians currently on staff. In these cases, the supervisor will decide on any individual (selective or all depending on the numbers involved) to provide written or oral assessment. The individual contacted will make the decision on how he or she wishes to provide the assessment.

3. **Changes in Supervisors**
   For an academic librarian who had a change in unit supervisors during the assessment year, the current unit supervisor is responsible for completing Part II. However, the current supervisor will ask the previous supervisor to write an assessment of the librarian for the period he or she was the supervisor. Except for rare circumstances, both written assessments are required for Part II. All written assessments from individuals other than the supervisor will be included verbatim and identified by the author in the Part II evaluation.

4. **Annual Evaluation Meeting and Signatures**
   The final supervisor evaluation must be signed by all evaluation participants during or following the annual evaluation meeting (see IV. Evaluation Meeting and Signatures below). The librarian’s signature only indicates receipt of the evaluation and that he or she has discussed it with the unit supervisor. The signature is not a statement of agreement by the librarian with the evaluation.

E. **Annual Evaluation. Additional Comments by Librarian (Part III)**
   This is an optional part of the annual evaluation process. A librarian may choose to put in writing additional comments to the supervisor evaluation by completing the Additional Comments by Librarian. This must be complete within five working days of receipt of the signed supervisor evaluation. The Part III is submitted to the unit supervisor.

   The form contains a signature section for the librarian, unit supervisor, and administrative supervisor. The signatures for the supervisors only reflect that they have read and received the Part III. The administrative supervisor submits the signed Part III to the Dean’s Office.

   The Dean’s Office is scans and electronically distributes copies for all participants. The original Part III is attached to the evaluation maintained in the personnel file in the Dean’s Office.

IV. **Evaluation Meeting and Evaluation Signatures**
   Following receipt of the supervisor evaluation, the unit supervisor is responsible for scheduling and holding an evaluation meeting. The evaluation meeting with the librarian and unit supervisor should be used to discuss all aspects of the librarian’s performance and professional development. The unit supervisor and administrative supervisor may revise the evaluation based on the evaluation meeting. At or following the evaluation meeting, the final supervisor evaluation must be signed by all evaluation participants.
The Dean’s Office is responsible for scanning/distributing the evaluation to the evaluation participants - this includes Part I, Part II and, Part III if completed. The original signed evaluation is retained in the personnel file in the Dean’s Office.

V. Evaluation Criteria for Merit Salary Increases

The supervisor’s evaluation of the outcomes and impact of professional practice is the primary basis for determining merit salary ratings. The evaluation is based on the librarian’s self evaluation and workplan. Outcomes and impact of External Impact and Institutional Service and Other Duties as Assigned are taken into consideration as part of the overall salary evaluation.

Salary Evaluation Summary Criteria:

- **Unacceptable performance.**
- **Concerns about performance.** Failure to meet expected levels of competency in at least one area. One or more responsibilities may be performed at minimal level
- **Effective performance of all assigned responsibilities.** All expectations met, Librarian has been instrumental to unit or department success.
- **Superior performance.** Some or nearly all expectations exceeded. Librarian has been instrumental to departmental success with impact to the Library/University.
- **Outstanding performance of job duties.** All expectations of duties exceeded. Librarian has made significant contributions that advance the position of the Library/University and represents a model of excellence for others.

VI. Access to Evaluations and Confidentiality

Access to annual evaluations, workplans and external impact plans are restricted to the Dean of the Library, administrative supervisor, unit supervisor, and librarian. The final signed annual evaluations, annual workplans and three-year external impact plans are maintained in a confidential personnel file in the Library Dean’s Office.

In conclusion, any questions regarding this process should be directed to the associate dean/assistant director and/or Dean.