

CUL Procedure #28

EVALUATION PROCEDURES FOR ACADEMIC STAFF

1. Purpose of the Performance Review

Performance review is one of the most important tools we have to recognize and improve the contributions and skills of the individuals who make up our organization and to plan for our future success. In a rapidly changing work environment, it is absolutely necessary that the performance evaluation take place annually. Annual evaluation allows librariansⁱ and supervisors to adjust goals in a timely manner and facilitates ongoing planning. This process of annual review is based on the expectation that the supervisor and librarian have frequent contact throughout the year and that these less formal contacts are used for discussion, review and guidance.

A formal performance review provides fair and consistent documentation of the contribution that the librarian makes to the Library's programs. It serves as an ongoing planning and goalsetting tool. It enhances communication between the librarian and the supervisor and should be viewed as a documented dialog between them. It assists both the librarian and supervisor in defining the librarian's development needs and in evaluating career progress. The performance review is the basis for decisions on continuing appointments and for recommending annual salary increases.

2. Procedure and Timing

- a) Reviews of librarians will be conducted according to the schedule below and forwarded to the Director of Library Human Resources (or designate) along with a current position description. This schedule should be considered a minimum. When it is deemed appropriate or requested by either the librarian or the supervisor, reviews can be conducted on a more frequent basis.
 - i) A review will be conducted six months after the appointment for all librarians whose initial appointment is for one year. Those librarians who have had a substantial change in responsibilities or in appointment will also be reviewed at six months. The first annual review will be conducted at least six months after the initial review; subsequent reviews will be conducted on an annual cycle.
 - ii) For all other librarians, reviews will be conducted annually.
- b) Reviews will be conducted by the immediate supervisor. In the case of split appointments, both department heads are responsible for ensuring that separate reviews are completed. When a librarian has significant cross department responsibilities, it is the responsibility of the supervisor to obtain comments on performance from other departments and to incorporate those comments in the review document.
- c) The Director of Library Human Resources will send a written reminder to supervisors who have not completed reviews as well as to those supervisor's department heads. Failure to perform required reviews in a timely fashion will be a factor in reviews for the supervisor.

3. Elements of a Performance Review

- a) All performance reviews should consist of a written and an oral interview/discussion. Depending on the preference of the participants, the written evaluation may be prepared before or after the discussion. The librarian being reviewed should be allowed the opportunity to prepare a written self-appraisal including accomplishments, area in need of improvement, future goals, and any other additional support needed. In preparation for the discussion, the supervisor should update the librarian's position description and review the previous year's goals and gather information about his/her performance and progress toward attaining those goals.
- b) Written documentation of the evaluation, whether prepared before or after the discussion, should include a review of the period since the last evaluation, and a listing of realistic goals for the period ahead. Both of these areas should be thoroughly covered in the discussion. Any preliminary written documentation should be shared by both parties prior to the discussion.
- c) If the reviewee disagrees with some aspects of the review, s/he may add written comments in the comments section included with the document or submit them separately. In all cases, the final review, including any comments submitted, should be signed by both parties and forwarded to Library Human Resources. Both parties should receive a copy of the final document.

4. Some Criteria to be Considered in Evaluations

The following are examples of factors that may be considered in reviewing the quality of a librarian's contribution within the scope of the job assignment and mutually determined performance goals.

- Job Knowledge
 - Possesses thorough knowledge of the job.
 - Carries out job responsibilities independently, thoroughly, and accurately.
 - Performs in a dependable and consistent manner.
 - Organizes work and uses time efficiently to achieve goals.
 - Sets reasonable priorities.
 - Consistently meets expectations for productivity.
 - Monitors and understands library issues and trends.
 - Understands research needs and strategies.
 - Communicates effectively when writing and speaking to staff, supervisor, and colleagues.
- Initiative and Creativity
 - Applies new knowledge productively.
 - Anticipates, recognizes, analyzes, and solves problems.
 - Anticipates and adapts to change.
 - Considers new ideas and differing opinions openly.
 - Demonstrates self-motivation.
 - Contributes to the life of the Cornell community and the library profession.
 - Seeks innovative solutions to problems and analyzes library activities creatively.

- Leadership and Teamwork
 - Relates own work to CUL's and unit's goals and objectives.
 - Shares knowledge and information.
 - Serves as a model for other staff members.
 - Accepts responsibility for organizing projects and carrying them through.
 - Participates in team efforts to develop programs and projects and to solve problems.

- Interpersonal Relations
 - Adopts a positive attitude and is concerned with public satisfaction.
 - Helpful, diplomatic, courteous, friendly, welcoming.
 - Demonstrates fair and equal treatment towards a diverse group of faculty, staff, and patrons.
 - Supervisory/Management Skills
 - Develops realistic unit or project plans and goals for individual staff members.
 - Writes thorough and balanced performance evaluations and assigns fair and appropriate rankings.
 - Implements new policies and procedures to improve efficiency and effectiveness of the unit.
 - Exhibits knowledge of and skill in applying appropriate University and CUL personnel policies and procedures, including recruitment of a diverse workforce.
 - Exhibits knowledge of effective training plans, manuals, orientation checklists, and related training materials.
 - Encourages and supports participation in staff development activities.
 - Assigns duties and delegates responsibilities as appropriate.
 - Encourages staff to identify areas for improvement and ways to implement improvement.
 - Monitors quality and quantity of work and acknowledges good performance. Identifies and addresses performance problems in a timely manner.
 - Responds to staff members' suggestions and complaints in a serious and sensitive manner.
 - With staff, creates and clarifies procedures, objectives, and priorities for the entire unit and clarifies objectives and priorities for CUL as a whole.

5. Retention of Documents and Access to Files

- The written evaluation document and any supplementary materials shall be placed in the academic staff member's official library general personnel file. The evaluation remains in the file as long as the staff member is employed by the library.

- Evaluation documents in the general file are available to the University Librarian, the appropriate senior administrator, the individual's department head and supervisor, the Director of Library Human Resources, the academic staff member or persons whom s/he designates, and, with the staff member's permission, to a prospective department head or supervisor. Performance evaluations from this file shall not be included in the material provided by the Director of Library Human Resources to a Promotion Review Board.

6. Appeals

In the event that an academic staff member disagrees with any part of the performance evaluation, s/he may attach supplementary, explanatory materials to the evaluation. These written comments will not necessarily prompt any action, nor are they necessary to take further action. These materials will become a permanent part of that record. The academic staff member's signature on the performance review simply acknowledges receipt of the evaluation, and does not necessarily constitute agreement with the content of the evaluation.

If, from the academic staff member's point of view, the evaluation is not factually accurate, the staff member may request a review by the supervisor and department head. If disagreement remains after departmental review, the academic staff member may file a formal grievance using CUL Procedure #31: Grievance Procedure Cornell University Library's Academic Staff.

In all instances of alleged injustices, the concerned parties are required to use all available informal methods to resolve differences before resorting to formal action through Procedure #31.

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ⁱ Throughout this document, the term "Librarian(s)" includes Archivist(s) wherever the latter are not specifically named