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II. REPORTS OF THE STUDY COMMITTEE

Kenneth E. Carpenter, Lenore M. Dickinson, Anne W. Gilliland, Sharon Hamby, Ruth E. Hill, Susan K. Martin, and *Edwin E. Williams*

Valedictory

In its charge to the Study Committee on Professional Library Personnel, the Preliminary (Weiher) Committee provided that the Study Committee "should submit comprehensive recommendations in writing to the administrative officers signing the document that created the preliminary committee" and "at the same time . . . should make public its recommendations." The administrative officers in question were subsequently organized as the University Librarians' Council.

The Study Committee has submitted three reports to the Council, and each of these has been published in full in *HUL Notes*. The chronology of presentation and the present status of each report can be summarized as follows:

Report No 1, Revised (Staff Organization) was distributed to the Council at its meeting of 3 April 1972 and considered at the meetings of 1 May and 5 June 1972. It was published in *HUL Notes* #187 (29 June 1972), distributed to Corporation appointees and Interns prior to a series of meetings (13 to 29 November 1972) at which questions and discussion were invited, and again distributed to Corporation appointees (excepting honorary officers and persons on leave) and to Interns with a covering memorandum from the Study Committee dated 4 December 1972 and with a ballot providing for a "Yes" or "No" vote on the following statement:

> As recommended by the Study Committee on Professional Library Personnel in Report No 1, Rev. (6 Nov. 1972), the Harvard University Librarians' Assembly should be established with membership consisting of all Library personnel holding Corporation appointments (excepting honorary officers) and all Interns. Chairmen of University Library standing committees should constitute the Executive Committee and select the Secretary; the President of the University should be invited to preside, with the Pforzheimer University Professor serving as Vice Chairman.

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Results of the balloting were as follows:

264 Eligible Voters (229 Corporation appointees and 35 Interns)
222 Votes Cast (84% of those to whom ballots were sent)
193 *Yes* Votes (87% of those voting; or 73% of all eligible voters)
29 *No* Votes (13% of those voting; or 11% of all eligible voters)

This vote, in the opinion of the Study Committee, convincingly demonstrates that its proposals for establishment of an Assembly are supported by a substantial majority of those who would be members of that organization. The Committee therefore urges administrative officers of the Library and the University to approve and put into effect the recommendations set forth in its *Report N° 1*, Revised (6 November 1972).[20]

Report N° 2 (Proposed Ranking and Appointment System for Harvard Librarians) was considered by the Council at its meetings of 1 April, 3 June, and 6 October 1971; prior to its official transmission to the Council on 14 September 1971 it had been revised by the Study Committee in the light of suggestions made by a special sub-committee of the Council under the chairmanship of Mr. Bloomquist. It was published in *HUL Notes* #156 (25 November 1971). Further action was deferred for some months because the President of the University had appointed a committee to study non-teaching Corporation appointments throughout the University; but *Report N° 2* was approved by the Council of Deans on 20 September 1972. The Assistant University Librarian for Personnel, assisted by a task group, an advisory committee, and other officers of the Library and the University Personnel Office, then began work on putting the system into effect.

Report N° 3 (Professional Development and Participation) was considered by the University Librarians' Council at its meetings of 4 January, 7 February, 6 March, 3 April, and 1 May 1972; it was published in *HUL Notes* #180 (11 May 1972). Some of its recommendations call for further study and for staff participation in deciding on priorities; many of them will require action by individual units of the Library as budgets are prepared. Each of the three standing University Library committees proposed in *Report N° 1* — on communications and

[20] These recommendations were approved by the Council of Deans on 6 March 1973; cf. note 22 below.

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orientation, on professional development, and on rights, privileges, and responsibilities of librarians — should be expected to concern itself with some of the objectives outlined in *Report N° 3*.

The *Report* of the Preliminary Committee on Professional Library Personnel (*HUL Notes* #76, 6 May 1970), after recommending procedures to be followed in electing the Study Committee, outlined the "Scope of the Proposed Study" by listing twenty-eight topics or subtopics for consideration. Except for the question of Intern programs (which are soon to be considered by another body), these topics have been investigated by the Study Committee and recommendations relating to them have been made in one or more of its three reports. Few of them can be disposed of by approving a specific recommendation; for the most part they call for continuing attention by the staff generally as well as by administrative officers, and the Study Committee has sought to insure this by means of the University Library committees and the Assembly proposed in *Report N° 1*. As an *ad hoc* committee, we have made a beginning and we have designated successors to carry on this work.

Consequently the Study Committee on Professional Library Personnel believes that it is now entitled to an honorable discharge, and hereby petitions the University Librarians' Council to take appropriate action.

27 December 1972 [21]

Report N° 1 (Revised)
Staff Organization

Objectives

This plan of organization is intended to improve communications and promote more effective participation by members of the staff in affairs of the Library and the University, to provide for regular and continuous involvement of the staff in an effective review of policies and practices which affect them. This is desirable above all because the professional librarian is concerned with the Library as a whole and is

[21] This report was approved by the University Librarians' Council on 8 January 1973, and the Study Committee on Professional Library Personnel was then discharged with thanks. The Valedictory was published in *HUL Notes*, No. 215 (18 January 1973).

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capable of contributing to the improvement of its collections, services, and staff in areas beyond the one assigned to him. He can help to solve over-all Library problems. The proposed organization can usefully supplement — not replace — the existing administrative structure and the innumerable informal channels through which librarians are now communicating and participating as members of the Harvard Library community.

Committees

We recommend that the Director appoint standing committees on (1) Communications and Orientation, (2) Professional Development, and (3) Rights, Privileges, and Responsibilities of Librarians.[22] We recommend also that *ad hoc* University Library committees be appointed from time to time to consider matters affecting the libraries of more than a single faculty, and that such a committee be appointed by the Director in every case when ten members of the professional staff so recommend. We suggest that it will usually be desirable for the membership of University Library committees to include non-administrators and junior members of the staff, and that all employees, including those who do not have Corporation appointments, be eligible for appointment. It will often be desirable also for such committees to invite interested members of the staff to meet with them. Their reports and recommendations should be distributed to the staff as a whole.

Assembly

We recommend that a Harvard University Librarians' Assembly be convened, consisting of all Library personnel holding Corporation appointments (except honorary curators and other non-salaried officers

[22] A fourth committee, on Library Collections and Services, has also been established. Douglas W. Bryant, in reporting on his meeting with the Council of Deans on 6 March 1973, explained that "The desirability of adding this fourth committee became evident during my discussion with the Council of Deans, when it was suggested that, if the initial standing committees were all primarily interested in personnel matters, other concerns of the Library might be neglected by the new organization or might seem to be outside its purview. A committee on library collections and services clearly is in line with objectives of staff organization as stated by the Study Committee, which advocated organization because 'the professional librarian is concerned with the Library as a whole and is capable of contributing to the improvement of its collections, services, and staff in areas beyond the one assigned to him'" (*HUL Notes*, No. 224, 15 March 1973).

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in honorary positions) and all persons enrolled in the professional internship program. Administrative officers (particularly the Director, the chief personnel officer of the University Library, and the University Librarians' Council), as well as chairmen of University Library committees, would report to this Assembly, and opportunities would be provided for questions and discussion. Two meetings per annum should be regularly scheduled, and a special meeting would be called if requested by ten percent of the members or by the Executive Committee.

The President of the University would be the presiding officer of the Harvard University Librarians' Assembly (as he is of each Harvard faculty). The Pforzheimer University Professor (who is *ex officio* Chairman of the University Library Committee and of the Library Committee of the Faculty of Arts and Sciences) would be Vice-Chairman. Chairmen of the Standing Committees of the University Library would constitute the Executive Committee of the Assembly, and would choose the Secretary. This Executive Committee would be responsible for the docket and for distribution of the agenda in advance of each meeting, together, in so far as practicable, with abstracts or texts of the reports to be presented. Suggestions for agenda items would be received at any time by the Executive Committee; it should be noted also that provision has been made for appointment of an *ad hoc* University Library committee whenever ten members of the Assembly so recommend, and this procedure will entail a report to the Assembly, with questions and discussion to follow.

Units Within the University Library

No University-wide organization can assure consideration of problems that affect only the library or libraries of a single faculty, yet "local" problems are doubtless more numerous and often of greater concern to the staff than those involving the Harvard University Library generally. *We recommend* that individual Harvard libraries and large departments within libraries consider the appointment of standing committees and the convening of general meetings for consideration of such problems. It can be expected that some of the questions originally considered by the committee or staff of a single library unit will be found to call for attention by the University Librarians' Assembly.

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Other Library Employees

We hope that the flexible and relatively informal plan proposed here will obviate needless distinctions between those members of the staff who have Corporation appointments and those who do not. We believe that full voting membership in the Assembly ought to be limited to Corporation appointees and Interns; but all members of the staff should be admitted to its meetings, and we hope that each University Library committee will enlist the participation of all who are interested in its work.

6 November 1972 [23]

Report N° 2
Proposed Ranking and Appointment System for Harvard Librarians

INTRODUCTION

This introduction attempts to summarize our proposals and, more important, to indicate our reasons for making them.

Why should there be a consistent plan for ranking and appointment? There are dangers and difficulties in any restriction on flexibility. We believe, however, that the plan proposed will help to insure fairness, contribute to a desirable mobility of personnel within the University

[23] In its memorandum of 4 December 1972 to Corporation appointees and Interns, with which *Report N° 1* and a ballot were enclosed, the Study Committee noted that discussion at the meetings of 13–29 November 1972 had suggested that it might be desirable to emphasize the following points:
(1) The proposed Assembly, since it does not involve *representation*, is free to discuss and to vote recommendations on any subject.
(2) Since an *ad hoc* committee is to be appointed whenever ten members of the staff request it, and since such committees are to report to the Assembly, an opportunity for Assembly consideration of any problem that the staff wants to discuss can readily be assured.
(3) The Assembly should make it possible to ascertain staff opinion on questions such as priorities in a professional development program. (Experience of the Study Committee shows that it is difficult indeed to judge what the staff thinks on the basis of a few scattered comments in response to published recommendations.)
(4) We have recommended that Corporation appointees and Interns be voting members of the Assembly because we believe that the Assembly can and should speak for the professional staff; we do not believe that other members of the staff would participate in sufficient numbers to justify an assumption that the Assembly speaks for them.

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Library system, and further the recognition of non-administrative talents and contributions; hence we believe that the effect on morale will be beneficial. We have not proposed a system of Faculty status and ranks, nor have we recommended a "peer evaluation" procedure of the kind that usually accompanies faculty status. Instead, our proposals are designed to meet the specific needs of librarians and, in particular, of librarians at Harvard.

The basic plan for ranking and appointment provides that the beginning librarian (i.e., the library-school graduate without exceptional qualifications in experience or education) would serve — assuming that his work is of a quality to justify reappointment — for approximately four years as *Librarian I.* He would then be eligible for a five-year appointment as *Librarian II.* He would be considered for appointment as *Librarian III* after three years and (if not then appointed to the higher rank) again at the end of his five-year term. If reappointed at this time, either as Librarian II or Librarian III, his appointment would be "without limit of time." Relevant provisions of the *Statutes* (except for provisions relating to retirement) are as follows: "All other holders [i.e., other than officers of instruction] of Corporation appointments . . . may be removed from such appointments by the Corporation for grave misconduct or whenever, in its opinion, their duties are not satisfactorily discharged. Subject to the foregoing, . . . certain other major administrative officers are appointed without express limitation of time unless otherwise specified, and all other holders of Corporation appointments are appointed for limited terms . . . and their connection with the University ceases at the end of their terms as so limited or fixed unless they are reappointed." Salary ranges, means, medians, and modes for each rank would be published annually.

Review and evaluation procedures are prescribed at regular intervals, with "substantial review" prior to change in rank. We deplore paper work, but we think that systematic review is essential in the interests of both individual and Library. The individual should know where he stands, and difficult personnel decisions ought to be made when needed rather than postponed or dodged.

Are these revolutionary changes? No. The plan proposed is essentially a modification and up-dating of the Buck program of 1958 (see Appendix A). The term and "without limit of time" appointments

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are now made in many cases on approximately the schedule proposed here.

Appeals and grievance procedures are not being proposed at this time because we understand that recommendations for such procedures, applicable to all non-teaching officers of the University, are now under consideration.

RANKING SYSTEM

A. *Why a ranking system?*

Although a University-wide personnel program for professional librarians at Harvard has been in existence since 1958 (see Appendix A), procedures for evaluation and appointment have never been fully developed. Many librarians have not been aware of the Librarian I–IV ranks outlined in the 1958 program. Opportunities for mobility within the system are not clearly understood, and there is no means of insuring fairness in the salary structure.

The Committee feels that the ranking system outlined below is the best means of defining the status of the individual professional librarian within the University Library system. Our proposal emphasizes the concept of the *University* Library. A librarian is not normally limited by his training and/or experience to working with the collection of a particular faculty or department. If he changes positions within the University, his promotion opportunities, salary increases, and benefits should not be affected. We anticipate that under the proposed program, the individual librarian will be regarded both as a member of the Harvard University Librarians' Assembly (as described in our *First Report*) and as a staff member of a particular library unit.

When a librarian is appointed to fill any professional position in the University, he should be fully aware of the advancement opportunities available to him. In addition to being aware of the length of his initial Corporation appointment, he should know at the time of employment what the length of subsequent term appointments will be (if his work proves satisfactory), and at what point he would be considered for appointment without limit of time. The ranking procedure that is adopted should be published, presumably in a staff manual. As a part of the evaluation and review procedure described below, the librarian would also realize the limitations of his present position, i.e., if his job responsibilities and the financial situation of the faculty or department

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make it possible for him to continue in that position at a higher rank than he currently holds.

B. *What does an appointment without limit of time mean?*

The relevant *statute* has been quoted above. A librarian who holds an appointment without limit of time is assured that his employment by the University will continue until he reaches retirement age unless he is guilty of "grave misconduct" or his "duties are not satisfactorily discharged." In addition to job security, an appointment without limit of time may carry extra fringe benefits, such as eligibility for certain types of loan. (See the pamphlet, "Privileges and Benefits Available to Officers of the Faculty of Arts and Sciences," February 1969, the only manual now available which explains fringe benefits for officers. Some of these benefits may differ from faculty to faculty.)

At present the maximum length of service (for beginning professionals without previous experience) prior to the granting of an appointment without limit of time is not standardized throughout the University Library. Although the College Library has generally followed the pattern of 1-, 3-, and 5-year appointments prior to the appointment without limit of time, adherence to this pattern has normally been based on recommendations of the individual department heads. New professional appointees with previous experience may reach appointments without limit substantially sooner, and senior librarians recruited to the staff may initially receive appointments without limit of time. The Committee feels that such flexibility is necessary in recruiting librarians with previous experience. Indeed, the purpose of the plan is to assure each member of the staff that his work will be reviewed and that he will be considered for advancement at regular intervals; it should not be interpreted as requiring that recognition and reward of genuinely outstanding achievement be delayed.

The Committee obtained data from the Library Personnel Office on the percentage of the professional staff who have held Corporation appointments for over nine years (i.e., those eligible for appointments without limit of time under the proposed plan) and who now hold without-limit appointments. There are 228 professional librarians in the University Library. Of that number, 80 have held Corporation appointments for at least nine years. Of these 80 librarians, 54 (67.5%) now hold appointments without limit of time. It must be remembered that the general pattern of granting 1-, 3-, and 5-year

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appointments prior to the without-limit appointment has not been consistently followed outside the College Library. Some of the libraries of faculties other than Arts and Sciences (including Countway, which has a professional staff of 32) are just beginning to follow the 1–3–5 pattern.

C. *Proposed system*

The Committee feels that the appointment pattern should be standardized throughout the University Library and should be incorporated into a ranking system which provides for regular evaluation and substantial review prior to promotion. While it is felt that nine years is a suitable length of service requirement before granting the without-limit appointment to a librarian who joins the staff without relevant previous experience or exceptional educational qualifications, the Committee proposes that the 1–3–5 pattern be changed to a 1–1–2–5 plan as described below.

The main reason for changing the pattern from two to three appointments in the first four years is to accommodate the appointment structure of the University. Since term appointments normally expire on 30 June, the initial one-year appointment is usually for less than a year, because few librarians begin work on 1 July. The Committee feels that it is more reasonable to grant a second one-year appointment to a librarian who may have been employed at Harvard for only seven or eight months, rather than to grant a three-year appointment after the initial appointment. The proposed appointment structure will be discussed more fully in Section D. The plan described below applies to individuals initially appointed without relevant experience or exceptional educational qualifications. Advanced appointees could be assigned to any rank within the proposed system, including Librarian III.

Whenever the term "Department Head" is used in the following pages, it is understood to mean the officer in charge of submitting recommendations for Corporation appointments to the Library Personnel Office. This officer will be a librarian in most cases, but in others might be the professor who is head of an academic department which has its own library or the director of a research institution such as the Peabody Museum.

"Appropriate personnel librarian," as used in the following pages, means the officer in charge of personnel in the unit of the Library in

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which a given appointment is being considered. In the College Library, this officer (at present) is the Assistant University Librarian for Personnel. In other units, the Department Head and the appropriate personnel librarian (if any) will consult with the Assistant University Librarian for Personnel on recommendations for appointments. These recommendations, in accordance with provisions of the "Criteria for Corporation Appointment . . ." (Appendix B), are to be forwarded to the President with the approval of both the appropriate Dean and the University Librarian.

Corporation Appointment	*Rank*	*Review and Appointment Procedure*
One-Year (i.e., more than *6* & less than *18* months)	Librarian I	*6 months prior to expiration*: written evaluation by supervisor; interview with appropriate personnel librarian *3 months prior to expiration*: decision by Department Head (see definition) to reappoint for a second one-year appointment or not to reappoint
One-Year	Librarian I	Follow same schedule as outlined above for initial one-year appointment, with decision after 9 months to reappoint for a two-year appointment or not to reappoint
Two-Year	Librarian I	*1 year prior to expiration*: written evaluation by supervisor *6 months prior to expiration*: substantial review by Department Head and appropriate personnel librarian, with consideration of opinions of at least two additional persons, to be selected on the basis of the contacts the position involves; decision to appoint at Librarian II rank or not to reappoint *After 2 years*: appointment as Librarian II or termination
Five-Year	Librarian II	*After 1 year*: written evaluation *After 2 years*: interview with appropriate personnel librarian; substantial review by Department Head and appropriate personnel librarian (with consideration of opinions of at least two other persons, as described above)

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		After 2½ years: decision to appoint as Librarian III after the third year of the five-year appointment or continue at II level. Appointment as Librarian III includes an appointment without limit of time. *After 3 years*: written evaluation; appointment as Librarian III or continuation at II. *After 4 years*: another substantial review (as described under second year of five-year appointment) *After 4½ years*: decision to appoint as Librarian III, continue at II (with reconsideration of appointment rank after five years), or not to reappoint *After 5 years*: written evaluation; appointment as Librarian II (without limit of time), appointment as Librarian III (without limit of time), or termination
Without Limit	Librarian II	Substantial review after four years (every five years thereafter) to determine whether or not there should be appointment at the Librarian III level. Review before the completion of the four years is not excluded
Without Limit	Librarian III	Review after four years (every five years thereafter

D. *Appointments*

A beginning professional librarian with little or no experience (and without exceptional educational qualifications) would be appointed to the rank of Librarian I. (For a detailed explanation of the "Criteria for Corporation Appointment as Librarian in the Harvard University Library," see Appendix B.) Incoming librarians with previous experience or advanced training could be appointed to any rank, depending upon their qualifications. Former interns appointed to professional positions upon completion of the library degree would receive their first one-year appointment at the Librarian I level, with a salary differential provided in recognition of previous experience.

Subject or language specialists without library degrees who are appointed to perform work of a bibliographic nature would be considered to be librarians (i.e., they would receive ranks under the proposed system and would be evaluated and reviewed according to the same schedule outlined for librarians). If an individual without a

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library degree were appointed to fill a special position of a non-bibliographic nature, he would receive an appointment to a specific position without librarian rank, and his advancement would be based on the guidelines for officers of administration set up by the University Personnel Office.

Although the appointment pattern would be 1–1–2–5-without limit, the initial appointment for a beginning professional would not necessarily be for one year, since many starting professionals do not begin work on 1 July, which is the official starting date for all term appointments granted after the initial appointment. If a librarian received his initial appointment after 1 July but prior to 1 January, the appointment would be for the number of months from the date of employment to the following July (at least six months), at which time the appointment would either not be renewed or renewed for one year, with a two-year appointment to follow.

If, however, a librarian began work between 1 January and 1 July, his initial appointment would be for one year plus the number of months remaining until 1 July of the year following his appointment. When the first appointment expired, the renewal appointment, if granted, would be for one year, with a two-year appointment to follow. Thus a librarian would spend between three and one-half and four and one-half years at the Librarian I rank, depending upon his starting date. He would be notified six months prior to the expiration date of his two-year appointment whether or not he had been recommended for appointment at the Librarian II rank (with a five-year appointment).

Length of service at the Librarian II level is not fixed. Although a five-year appointment is granted upon entrance into the II rank, librarians who have shown outstanding ability and initiative could at the end of three years be appointed as Librarian III (and be granted an appointment without limit of time). The more normal course of action would be for a librarian to spend five years in the II rank. After four and one-half years, a decision would be made to appoint him as Librarian III, continue him at the II level, or not to reappoint him. Continuation at the II rank (with reconsideration of rank after five years) implies a salary ceiling, as described below.

Corporation appointments would be of a dual nature — to a specific rank and a specific position (e.g., as Librarian II — Reference Librar-

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ian in the Harvard College Library), and a list indicating the rank held by each librarian would be made available for information of the staff. Whenever a change occurred in either rank or position, there would be an adjustment in the official appointment. A librarian might in some cases progress from the one-year appointment at the Librarian I rank to an appointment without limit of time at the II or III rank without a change in position.

E. *"Where do I fit in?"*

The natural question which enters the mind of the librarian as he reads the proposed ranking system is, "Where do I fit in?" The Committee anticipates that, if such a program were adopted, a librarian who is now holding a term appointment would continue on that appointment until it expired, at which time he would receive a substantial review and be appointed to the appropriate rank under the proposed program. Those librarians having one to four years of professional experience would normally be at the Librarian I rank and (if favorably evaluated) could expect to receive a five-year appointment at the II rank following their fourth year of service.

Those currently holding five-year appointments would normally be at the Librarian II rank and would be eligible for appointment without limit of time after their current appointment expired. Determination of Librarian II or III rank for staff members now holding Corporation appointments without limit of time would be the responsibility of the appropriate personnel librarian working with the individual Department Heads, and would necessarily involve a substantial review of the individuals and positions under consideration.

F. *Change of position*

It is understood that the progression toward the appointment without limit of time would not be interrupted if a librarian changed positions within the University Library. For example, if, after two years at the Librarian II rank (with a five-year appointment), a cataloguer in the Baker Library became head of a departmental library in the Faculty of Arts and Sciences, he would remain at the Librarian II rank [and the schedule providing for consideration of change in rank would not be affected].[24] In other words, ranks are to be applied Univer-

[24] The bracketed phrase corrects a typographical error in this Report as published in *HUL Notes*.

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sity-wide. Whenever there are changes of position, Corporation appointments will be amended to carry new job titles, but the terms of appointment will not change.

Although ranks are held by individuals and not assigned to positions, it should be realized that the level of responsibility of some positions implies that they would normally be held only by librarians of the Librarian I rank. While some positions could support (both financially and in terms of job responsibilities) indefinite growth and development of a librarian from the beginning to the end of his professional career (from Librarian I to Librarian II or III), the level of others would tend to limit the number of years a librarian could remain in them. Thus in some cases a librarian would have to change position in order to advance in rank at Harvard. The possibility of expanding the responsibilities of any position should not be overlooked, and the Committee is not recommending the establishment of a rigid job classification structure.

G. *Positions supported by special funds*

Librarians whose positions are supported by grants or other special funding would be given one-year appointments until continuation of income for their salaries became less uncertain. The ranking system would apply to these individuals in terms of advancement and salary, and if the funding for their positions stabilized, they would then be given the type of appointment normally held by librarians with the same length of service. Librarians whose positions are supported by "soft" money must be made fully aware of this fact at the time of employment.

If cases should arise in which the funding or appropriation directly supporting a librarian's position is expended, not renewed, or reduced before the librarian's appointment expires, the University Library administration shall make every effort to locate another position for the affected individual for the remainder of his appointment. This position should carry the level of responsibility normally assigned to a librarian of his rank.

H. *Salaries*

Salaries would be an integral part of the ranking system. There would be no fixed steps within the ranks, but salary ranges for the three ranks would be reviewed and published annually. The mean, median,

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and mode salary in each range would also be published each year. There would be no overlap of salaries between the Librarian I and II ranks, but there would be an overlap between the II and III ranks. A librarian holding an appointment without limit of time at the II level would eventually reach a salary ceiling unless later appointed as Librarian III. In announcing ranges publicly, it should be noted that the minimum salary for librarians is not to be taken as the maximum S & W salary.

I. *Evaluation and review*

For the ranking system to be successful, rigorous application of the procedure for review must be made by all supervisors. Each professional librarian at the Librarian I rank should have an annual interview with his supervisor to determine whether or not he is fulfilling the expectations of the supervisor and to afford him an opportunity to outline his own expectations and future aspirations. The librarian should be made aware of the possibilities for growth within his present position and within the University Library system as a whole.

Results of all interviews should be recorded, shared with the librarian under review, and placed in his file. This procedure of written evaluation would be continued every other year during the five-year appointment at the Librarian II level, and every fifth year after the appointment without limit of time is granted. Careful attention to this procedure should prevent personnel from being relieved of their duties without adequate warning and should give them an opportunity to correct and improve in areas where their performance has been unsatisfactory. While it is anticipated that reviews at the Librarian II and III levels would not always need to be detailed, provision for review should be made, especially to accommodate librarians entering the system at upper levels.

The interview sessions and substantial review which take place at the times when a change in rank is in question would be carried out by the appropriate personnel librarian and the Department Head. Opinions of colleagues of the candidate and/or opinions of the faculty would be included in consideration of a change in rank.

J. *Factors to be considered in recommending advancement*

As described in Appendix B, the work of professional librarians can be classified under the headings of collection-building, bibliographical

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organization, public service, and management and coordination; these responsibilities call for such attributes as understanding of libraries and their services, familiarity with library techniques and their underlying principles, special subject knowledge, special linguistic knowledge, and administrative abilities. In addition, superior performance on the job requires the exercise of independent judgment and the ability to analyze problems.

In addition to performance on the job, the following factors might be taken into account in considering recommendations for advancement:

Professional growth and activity — This category would include the candidate's attempts to improve his professional capabilities by pursuing further courses relating to his specialty, by acquiring new language skills, or by investigating related activities in other library systems. It would also include participation in activities of the profession. A candidate's membership in professional associations, his service on their committees, his holding office, and his presentation of papers at gatherings of those associations should be taken into account.

Research and publications.

Service to the University community — This category would include participation on University committees and in House activities, as well as teaching courses.

APPENDIX A

In 1958 Paul Buck, Director of the University Library, instituted a new personnel program for the professional librarians at Harvard. (For the full text, see his *Annual Report* for 1957–58, pp. 29–36, or HARVARD LIBRARY BULLETIN, XII:3, Autumn 1958, 289-296.) This program provided for five major ranks:

Library Intern: a pre-professional class for persons with at least a baccalaureate degree who are preparing for a career in librarianship. Annual appointments as "services and wages" employees are given. The maximum period in this class is three years.

Librarian I: for librarians with postgraduate library degrees and other persons of established professional caliber. The first two steps in this class call for annual "services and wages" appointments; the three upper steps are as officers of administration with Corporation appointments. The maximum period in this class is five years.

Librarian II: for experienced librarians and those in junior supervisory positions. Corporation appointments are given. There is no time limit in this class.

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Librarian III: for senior supervisors and experienced librarians with considerable responsibility. Corporation appointments. No time limit.
Librarian IV: for senior officers. Corporation appointments. No time limit.

Several changes in the foregoing program have evolved since 1958, the most notable being the elimination of the annual S & W appointments for starting librarians during their first two years of employment. Corporation appointments are now given to all starting "librarians with post-graduate degrees and other persons of established professional caliber." Although the Buck program provided for four professional ranks and stated that reappraisal of personnel should be made at regular intervals, a University-wide procedure for evaluation and promotion has never been developed. The degree of supervisory responsibility held by an individual has in most cases been a major consideration in determining the rank at which appointments have been made under this program, though "in classifying positions, every effort has been made to avoid giving undue weight to any single skill," according to Professor Buck's account of the program.

APPENDIX B

Criteria for Corporation Appointment
As Librarian in the Harvard University Library

If measured in man-hours, approximately 25% of the Harvard Library's work is done by professional librarians. This work can be classified under four major headings:

Collection-building, or the selection and acquisition of books and an increasing quantity of material in other forms
Bibliographical organization by means of classification, cataloguing, and other processes
Public service, including reference assistance, circulation facilities, and publications
Management and coordination

In performing his share of this work and in supervising and directing the non-professional supportive staff, the librarian must bring to bear knowledge and skills of more than one kind. To share in the determination of policy, exercise the independent judgment demanded by his duties, and analyze problems in his area, he must have such attributes as:

A broad understanding of libraries and their services to teaching and research
Familiarity with techniques peculiar to librarianship and the principles underlying them
Special knowledge of one or more subjects
Knowledge of one or more languages other than English
Administrative abilities

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The individual position determines the relative importance of each of the foregoing qualifications; some librarians are occupied almost entirely with administrative duties; the work of others depends very largely on their familiarity with the literature and bibliography of a special subject; still others are responsible primarily for applying techniques of cataloguing or for developing systems for the replacement of manual procedures by computerized operations. The professional librarian can be expected to understand the relationship of his particular responsibility to the Harvard Library as a whole and to the University.

The standard preparation for a beginning professional position is the master's degree in library science. The Harvard Library, however, has always been ready to recognize that the essential consideration is the individual's knowledge and ability. Graduate education in a subject other than librarianship or several years of applicable library experience can be an acceptable substitute for formal library training when bibliographical expertise and knowledge of an academic subject or professional field are the most important qualifications for a specific position.

An increasingly close relationship between the Assistant University Librarian for Personnel and the Librarians of the various departmental, research-institution, and Faculty libraries has helped to maintain standards for appointment of librarians in the University Library. To insure consistency in the future it is recommended that all recommendations for Corporation appointments of librarians in the University be forwarded to the President with the approval of both the appropriate Dean and the University Librarian.

Occasionally a member of the Library staff to whom the above criteria do not apply may qualify for a Corporation appointment. In such cases, criteria established for administrative or other appropriate appointments should apply and the recommendation for appointment should be endorsed by the University Personnel Office.

14 September 1971

Report No 3

Professional Development and Participation

This report on professional development and participation deals with a variety of topics, as indicated by the following tabulation:

Continuing Professional Education
- Orientation
- Institutes and Seminars (both those organized by the Library and those sponsored by other organizations)
- Meetings (both library and academic organizations)
- Academic courses (in both languages and subjects, including Harvard courses and those given by other institutions)

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Fellowships
Leaves (both paid and unpaid)
Research by Librarians
Communication (including staff meetings, committees, and publications)
Participation (also including both meetings and committees, with a proposal for an experiment with liaison librarians)

A draft report was studied by a subcommittee of the University Librarians' Council and was discussed at several meetings of the Council. Consequently we can now report both the suggestions and recommendations of the Study Committee and the views of the Council on these questions.

The Committee and the Council fully agree that all the activities enumerated above are desirable in principle. The fact that they are wanted is evidence of the high quality of the staff, and they are essential if personnel of high quality are to be retained and recruited. The objectives are clear but inevitably there are questions regarding the best means of reaching them.

NEEDS

Information must be provided if staff members are to avail themselves of existing opportunities, and information on staff interests is essential if an improved program is to be developed.

Funds will always be a problem. The Council observed that virtually all of the proposals require support in time and money.

Guidelines are needed, particularly since a major problem is how to spend limited funds to best advantage.

PRINCIPLES

These are voluntary activities. A contribution of time or money (or both) by the Library is justified because they promise to benefit it either directly or indirectly. The individual librarian must also expect to invest time and money of his own in them. The Council recommends a Library contribution if such activities are "professionally related to the individual's career development and the Library's needs, and provided that they are adaptable to the individual's work responsibilities." The Study Committee agrees that this is reasonable.

The question of standards and guide-lines will require continuing attention. Practices are not uniform throughout this highly decen-

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tralized University Library; this may seem unfair, but a code of regulations that could win adoption by all the Faculties might curtail opportunities now enjoyed by many members of the staff. It is evident also that questions of interpretation would always remain — a phrase such as "professionally related to the individual's career development and the Library's needs" cannot possibly be defined in such detail that it will mean exactly the same thing to everyone.

MACHINERY

Appointment of an Officer for Professional Development has been recommended by the Study Committee. The Council has agreed, but has specified that he be responsible to the Assistant University Librarian for Personnel. Knowing the heavy burden of work carried by the Personnel Office, the Study Committee fears that work on professional development will be subordinated to other duties if it is not kept separate. Orientation, advice on continuing education, and provision of information on opportunities will be major responsibilities, as well as organization of Harvard Library seminars and workshops.

The Study Committee further recommends that there be a University Library staff committee to advise and assist the Officer for Professional Development.

The Study Committee also recommends that a survey be made of the voluntary, library-related activities of Harvard librarians; this is intended to provide information useful in planning a program and determining priorities. The Study Committee suggested that a grant be sought for this survey; the Council has agreed and has added that, if outside funds cannot be obtained, the survey should be made by the Library staff.

A series of appendices follows, summarizing findings of the Study Committee and comments of the Council on specific topics.

A

CONTINUING PROFESSIONAL EDUCATION

Continuing professional education is obviously of great value both to the Library and the individual. There is rapid change in librarianship and the related fields of information science and documentation; there are changing demands from users of libraries, reflecting innovations in teaching and in re-

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search. Experimentation, flexibility, and new skills are required. Automation, interlibrary cooperation, and new management techniques are among the features of contemporary librarianship with which the librarian must keep up to date; in addition he must bring to bear linguistic skills and subject knowledge in order to build collections and provide services in all the disciplines covered by a great university. Finally, he needs an understanding of this University of which he is a member.

Facilities for Continuing Education

To a large extent the librarian continues his education through his own work, his reading, his discussions with colleagues, and other informal means. The value of these means should not be underestimated, but they need to be supplemented by facilities that the Library can help to make available. In particular, a sound program for continuing education ought to include:

Orientation

This is essential for new employees; a week is not too much time to devote to introducing a member of the professional staff to the organization and resources of a library as large and complex as Harvard's. This introduction will probably be more meaningful if deferred until two or three months after the new staff member begins work. Supplementary orientation will often be desirable when a librarian first takes responsibility for heading a library or major department. (The Council agrees that a formal orientation program should be established.)

Institutes, Seminars, and Workshops

Many of these are sponsored by non-Harvard organizations; others should be sponsored by the Library (sometimes in cooperation with other institutions in the vicinity) to meet specific needs, e.g., recent workshops or meetings on automation and conservation. Members of the staff should be encouraged to suggest relevant subjects. (The Council agrees.)

Meetings of Library Organizations and Academic Societies

In view of what has been said above of the need for keeping up to date, to say nothing of the growing importance of interlibrary cooperation, it is obvious that many Harvard librarians ought to participate in the work of library organizations and academic societies; the Committee and the Council agree that professional librarians at all levels should be encouraged to attend the meetings of such organizations and societies. The extent to which they can in fact be encouraged at present is distinctly limited by the funds available and is complicated by differences in policy between one Faculty and another. Obviously there are great difficulties in deciding how to apportion such funds as are available, taking into account the contribution that the individual has made by membership in the organization and participation as an officer or committee member, estimating the relative value to him and to the Library of a specific meeting, seeking to encourage those who ought to continue important activities yet not to deny help to younger members of the staff who wish to participate.

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Efforts must be made to increase the support that can be provided and to establish guidelines.

Academic Courses

Regular courses at Harvard, summer-school courses, and extension courses are available without payment of tuition to professional librarians. The Council agrees that time with pay ought to be made available for attendance at courses professionally related to the individual's career development and the Library's needs and adaptable to work responsibilities. Time for courses at other institutions should be available on the same basis, and tuition should be paid by the Library when this appears to be justified by the direct benefit to the Library that can be anticipated.

At present, a full-time officer of the Faculty of Arts and Sciences who wishes to work for credit under this Faculty may do so only as a Special Student, but can transfer the credit earned as a Special Student if he subsequently becomes a candidate for a degree. The Study Committe recommends that the possibility of permitting a librarian to register as a candidate for a degree be explored.

Fellowships

It would be highly desirable if the Library could regularly offer two or three fellowships annually for study or travel that promised to benefit both the individual and the Library. The Council has recommended further investigation of the financial feasibility of this. Possibly a donor could be interested in endowing such a program.

Leaves

The Council agrees that leaves should continue to be available for a variety of purposes subject to the Library's ability to cover the individual's duties. A program of paid leaves is recommended as a long-range goal by the Study Committee, and further comment on this will be found in the appendix dealing with Research by Librarians.

Support for Continuing Education

Information and Advice

All of the facilities listed above (except library-financed fellowships) are already available in some measure. A central source of information would help Harvard librarians to exploit more fully the opportunities that now exist. As it is, the information is widely dispersed. Sound advice could also be useful; these activities are voluntary, and some members of the staff are not in need of advice, but others would welcome the opportunity to discuss their career plans with a well-qualified specialist in continuing professional education who would be informed of the needs of the Library and could suggest educational possibilities that promised to be of greatest value to both the Library and the individual.

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Time and Money

It must be recognized that support of continuing education by the Library costs money. A few hours of released time per year for an occasional member of the staff may not affect the budget perceptibly, but an effective program will require much more than this. The Library will profit if a good program increases the competence of its staff and helps it to recruit a staff of high quality, but gains of this kind are much harder to demonstrate than the direct costs. An effective program will need to be supported vigorously by Library administrators — and sometimes explained to members of the Faculty who (forgetting that most librarians work from 9 to 5, with a one-month vacation) may think it unreasonably generous.

Recognition and Advancement

It should be noted that the Library can also encourage and support continuing professional education by taking the individual's achievements in this field into account when he is considered for salary increases or promotion. The Study Committee's Second Report (on Ranking and Appointment) specifies that these are factors to be considered in recommending advancement.

Guidelines and Priorities

The Study Committee and the Council agree on the need to establish guidelines for widening and equalizing opportunities. Given the present financial situation, there is not going to be any spectacular overnight increase in the program, but there ought to be goals toward which the Library is committed to work. Given Harvard's decentralization, there is not going to be an identical policy and program in every unit of the Library, but policies should be carefully considered and should be made public; the differences between policies of one unit and another ought to be intentional (or unavoidable) rather than inadvertent.

Organization and Further Investigation

Three recommendations of the Study Committee have been made under the heading "Machinery". These are:

An Officer for Professional Development

Appointment of such an officer would be visible evidence of the Library's commitment to professional development, would go a long way toward meeting the needs that have been noted for information and advice, an orientation program, and library-sponsored institutes, seminars, and workshops. The Study Committee recommends that funds be made available to this officer for meeting unusual needs and helping to equalize opportunities throughout the Library system.

A University Library Staff Committee on Professional Development

Since this is a subject of general interest to the staff, and one on which it is particularly important that staff views be ascertained and taken into account, the

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Study Committee has recommended that a University Library Staff Committee be established to advise and assist the Officer for Professional Development.

A Survey

Finally, a survey has been recommended as an essential step in planning a program and determining priorities.

B

RESEARCH BY LIBRARIANS

Research should be recognized as one of the means by which librarians serve as intermediaries between people and books. There are a few positions in which the incumbent should be expected to devote a portion of his time to research. Aside from these, research — like continuing education — is a voluntary activity that promises to benefit the Library and consequently deserves encouragement and support.

Bibliographical research, in particular, is a natural extension of the Library's work in collecting materials, organizing and cataloguing its holdings, and providing assistance in their use. Harvard's great collections offer the librarian unique opportunities; it is frustrating if such possibilities cannot be exploited. New directions in scholarship may be made possible by creative bibliographical research. Moreover, the skills of the librarian in helping others, in cataloguing, and in collection-building may be developed by the experience and knowledge that can best be acquired through research of his own. Opportunities for research can enable members of the staff to increase their competence, and can help the Library to recruit outstanding librarians.

The publications of Harvard librarians demonstrate that much has been accomplished. Some of this work has been encouraged and supported by the Library. As in the case of continuing education, the need is to broaden opportunities and to work out guidelines that will promote greater consistency.

Time. The Council has suggested that, in planning a research project, an individual should expect to spend at least as much of his own time [as of time] made available to him by the Library. There are so many variables — including the individual's working habits, the nature of the project, and problems of staffing the department in which he works — that flexibility, rather than a code of rules, seems to be essential.

Financial Assistance may be needed for supplies, clerical assistance, research aides, and travel. Possibilities include outside support, access to research funds of the Faculty by whom the librarian is employed, funding provided in the budget of each library, and a general University Library fund for research. All of these — including the possibility of attracting an endowment for support of research by Harvard librarians — need further exploration.

Publication. Publishing programs of Harvard libraries should be examined; there are library needs, particularly in bibliography, that do not appear to be well provided for by other publishers.

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While assessment of the individual research project will often call for consideration by an *ad hoc* committee, we believe that the Officer for Professional Development and the University Library staff committee in this field should consider policies and guidelines applicable to research by librarians, and should also take responsibility for trying to meet informational needs. As a "voluntary, library-related activity," research would also be included in the proposed survey.

C

COMMUNICATION

In *Report N° 1* (Revised) we have indicated that a major purpose of the proposed Assembly will be to improve communication, and we have proposed a University Library committee on communications and orientation. The orientation program and the institutes and seminars recommended in Appendix A of this Third Report, should also contribute to better communications.

Luncheons, such as those for cataloguers and for public-service personnel, have been useful; we recommend, however, that wider participation be developed by inviting more members of the staff who are not department-heads, and by changing the list of participants at least twice a year.

Publications. The proposed University Library Committee on communications should act as an advisory committee to the Editor of *HUL Notes* and the *Harvard Librarian.* Numerous publications, including annual reports, new acquisitions lists, and other serials, are available for free distribution; we recommend that these be listed annually, that the list be distributed to Harvard librarians, and that each be asked to indicate which publications he would like to receive.

Non-serial publications should be regularly listed in the *Harvard Librarian* with an indication of their availability. Those that are priced should be made available at cost (or, preferably, free of charge) to Harvard librarians. We suggest that an inquiry be made to determine the cost of supplying the HARVARD LIBRARY BULLETIN free of charge to all Harvard librarians who wish to have it.

Manual. The 1968 pamphlet, *Personnel Information for Library Staff*, should be expanded and a revised edition should appear annually.

D

PARTICIPATION

The Assembly and the University Library committees proposed in our Revised First Report are intended to increase staff participation in determination of policies as well as to improve communications. The same report recommends that the individual Harvard library and major department take this staff-meeting and committee plan as a model. We believe that new styles of management are developing — a more collegial system — and that this is even more

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important at the level of the individual department or library than at the University-wide level. We applaud efforts that have been made — and invite further efforts — to provide management training for librarians; library administrators must be well informed if the Library is to benefit from innovations in management theory and practice and if it is to experiment intelligently with such techniques as collegiality and rotation of administrative responsibility.

Faculty library committees and library committees of departments and research institutions appear to be chiefly useful as means of informing librarians of the needs of library users. Increased reporting and participation in discussion by members of the staff in addition to chief administrators would be desirable. This need not entail appointment of additional librarians to most of these committees; members of the staff should be invited to attend meetings whenever they are particularly qualified to contribute to discussion of a topic on the agenda.

A certain amount of confusion results from titles. There are more than 200 librarians on the staff of the University Library, and it would clarify matters if the administrative head of each library were "Chief Librarian of . . ." rather than simply "Librarian of . . ."

Liaison Librarians

The Study Committee recommends that the College Library undertake an experiment in designating one or more librarians to act as liaison between one of the departments of the Faculty of Arts and Sciences and the Library. Informal arrangements of this sort already exist between various departments and the Widener book selectors, certain members of the Houghton staff, and librarians in the Hebrew, Middle Eastern, and Slavic Divisions. We believe that further, more formal arrangements of this kind could improve library services and enable the individual librarian to participate more effectively in the intellectual life of the University.

Since this recommendation calls for an experiment in the College Library, the Council has recommended that it be referred to the Librarian of Harvard College.

2 May 1972

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