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1. **Vision Statement**  
The Robert E. Kennedy Library connects people and inspires learning.  

2. **Mission Statement**  
The Robert E. Kennedy Library helps every member of the Cal Poly community engage in open and informed inquiry, and contributes through creation, innovation, and collaboration to the quality of life of our community. The Kennedy Library values learning, innovation, and the diversity of experiences and perspectives, which make our community sustainable, compassionate, and resilient. These values commit us to being open, responsive, and inclusive in the relationships we build across the entire Cal Poly campus and community, including our region, state, and beyond.  

3. **Librarian-Scholar Model**  
The Cal Poly librarian-scholar is characterized by a broad range of responsibilities and activities that support the intellectual, teaching, learning, and research needs of the campus, community, and profession. Librarian-scholars meet this charge through collaborative efforts within the library and across campus, as well as via unique individual contributions and initiatives. It is key to both the quality of library services and individual professional success that librarian-scholars both maintain currency in their fields and disseminate their scholarship.
The research, scholarly and creative activities of librarian-scholars should reflect one's professional practice and related intellectual and creative pursuits. Cal Poly librarian-scholars are committed to continual intellectual growth and share their evolving knowledge through appropriate, meaningful, and externally validated venues for research, scholarship and creative activities.

4. Purpose and Scope of this Document
The faculty members of the Kennedy Library have developed these policies, guidelines, procedures, and criteria to clarify the application of campus and system policies and procedures, including the Collective Bargaining Agreement (CBA), which governs personnel actions, and the University Personnel Action Procedures and Criteria. The shared goal of the Library Faculty Council (LFC) and library administration is to support the success of the library faculty and the library’s services and programs in order to help Cal Poly fulfill its mission and strategic imperatives.

This handbook is developed collaboratively by the LFC, with and subject to the review and approval of the Dean of Library Services, as well as the Senior Vice Provost for Academic Programs & Planning, and the Provost and Executive Vice President for Academic Affairs. In cases of conflict, campus policies and/or the Collective Bargaining Agreement prevail.

The Personnel Committee of the LFC is responsible for drafting changes to the Handbook, and changes must be approved by a majority of probationary and tenured library faculty before being reviewed and approved by the Dean of Library Services for campus approvals. Changes become effective no later than 14 days after the first day of instruction of the academic term, following approval by the Senior Vice Provost for Academic Programs & Planning, and the Provost and Executive Vice President for Academic Affairs.

Resources can be located at the Cal Poly Academic Personnel website http://www.academic-personnel.calpoly.edu/. Important policy and procedural documents include:

- Faculty (Unit 3-CFA) Collective Bargaining Agreement (CBA)
- Faculty Handbook
- University Personnel Action Procedures and Criteria (UPAPC)
- Campus Administrative Policies (CAP)
- Procedure for Recruiting Tenure-Track Faculty
- Leaves with Pay (Sabbatical and DIP)
- Retention, Promotion and Tenure Memos

5. Tenure-Track Library Faculty Appointments
Full and current details of policies and procedures provided by Academic Personnel should be consulted in conjunction with any tenure-track position search. At the time of this revision, the most current document is titled *Procedure for Recruiting Tenure-Track Faculty* (updated March 2017).

**Initiating a Search**
The Dean of the Library notifies the library faculty when the Provost has approved the initiation of a faculty search.

**The Search Committee**
The search committee has the primary responsibility for initiating the pre-recruitment process, recruiting viable candidates to apply, conducting candidate screening, identifying the finalists for on-campus interviews and voting on the recommendation for appointment. Tenured and probationary faculty in the department must elect eligible faculty to serve on the search committee. Only tenured and probationary faculty are eligible to serve on search committees as voting members, and probationary faculty require the approval of the dean to serve. Lecturers, technical staff, students, external faculty, and community members may participate in the search process and provide valuable input to the search committee, but they are not eligible to vote on the candidates.

Library faculty recruitment candidates are subject to several levels of review before appointment: reports and rankings of a) the search committee; b) the supervisor and/or department head; and c) the Dean of Library Services. Final reports are submitted to the Senior Vice Provost for Academic Programs & Planning for review. Only faculty members on the search committee may vote on the acceptability and rankings of the candidates. The appointing authority for academic positions rests with the Dean of the Library or equivalent administrator, and the final approval authority rests with the Senior Vice Provost for Academic Programs & Planning, and the Provost and Executive Vice President for Academic Affairs.

**Search committee membership is formed as follows:**
1. All search committee voting members shall be elected by the library faculty following LFC election procedures. In the case of library faculty this will be by blind ballot.
2. The search committee must consist of at least three full-time faculty members. All voting members of the search committee must be tenured or probationary faculty members. Probationary faculty may serve with the permission of the dean, but they may not serve as the committee chair. Only if necessary, the library faculty may elect tenured faculty in a related discipline from another department to serve as a voting or non-voting member of the committee or to serve as the Employment Equity Facilitator (EEF).
3. If a faculty member is serving in an administrative capacity as department chair they may not serve on the committee. That faculty member may participate in the screening and finalist interviews, but should submit a separate hiring recommendation to the dean.

4. The search committee must elect a chair from the search committee membership, and the search committee chair cannot also serve as the EEF.

5. The committee must select an EEF that has completed training in the last two years.

**Search Committee Responsibilities**

Each committee member is responsible for compliance with policies and procedures regarding the search, and all are required to maintain strict confidentiality throughout the search process. Responsibilities include, but are not limited to:

1. Attend required search committee process training; such training must be renewed every two years to be eligible to serve on search committees. (Contact Academic Personnel to arrange such trainings);
2. Development and review of the position vacancy announcement, recruitment and diversity/inclusivity plan, candidate evaluation form, search timeline and job requisition;
3. Review the department and college criteria for appointment and all policies governing the search before beginning the recruitment;
4. Members of search committees should be aware of potential sources of conflict of interest (for example, serving as a reference for a candidate as well as a member of the committee). In some cases, recusal may be the most appropriate action;
5. Candidate Review – all committee members must:
   a. Read ALL application submissions that include the candidate's application, cover letter and CV/resume;
   b. Participate actively in committee meetings;
   c. Evaluate candidates based on the candidate evaluation form and job requisition;
   d. Participate in all screening interviews;
6. Participate actively in the campus interview process;
7. Participate in hosting candidates;
8. Maintain strict confidentiality in all matters pertaining to candidates, applications, reference checks, selection, and nomination; and
9. Report any inappropriate activities to the EEF or Director of Equal Opportunity.

**Search Committee Chair Responsibilities**

The responsibilities of the Search Committee Chair include the responsibilities of all search committee members listed above and the following:

1. Attend required search committee process training and assure all committee members are properly trained;
2. Ensure that each member of the search committee has been advised of campus and CSU policies. Provide copies of Procedures for Recruiting Tenure-Track Faculty, the recruitment plan, and college and department ARPT policies to each committee member;
3. Enforce all policies and procedures for the committee and the department;
4. Act as a liaison between the committee, department chair, and dean;
5. Provide committee members access to CalPolyJobs website and candidate application materials as necessary;
6. Oversee the completion and submission of all recruitment materials, approvals and forms;
7. Correspond with candidates in a timely manner;
8. Request additional application information from candidates, if appropriate, treating all candidates consistently and fairly;
9. Arrange committee meetings to review application materials;
10. Conduct reference checks on finalists with the EEF, and report summary of information to the committee and dean;
11. Schedule interviews and campus visits as appropriate;
12. Host candidate visits;
13. Ensure that candidates are reimbursed appropriately and timely for personal expenses incurred for in-person interviews;
14. Keep candidates informed of the search’s progress and notify candidates no longer under consideration in a timely and respectful manner;
15. Perform other duties as needed to complete a timely and successful search.
16. Represent the department, college and university professionally with candidates and references.

In addition, it is the responsibility of the Search Committee Chair to communicate with the candidates during the process. Clear communication with the candidates has a critical bearing upon recruitment success. Candidates usually understand that commitments cannot be made “early” and that the process takes time. The search committee chair should communicate with the candidates to keep them informed of the timeline and next steps in the process.

**Employment Equity Facilitator (EEF) Responsibilities**
The responsibilities of the EEF include the responsibilities of all search committee members listed above and entail assuring and certifying the integrity of the search process, including:
1. Attend required trainings (search committee training, unconscious bias training and EEF training);
2. Be aware of the current composition by gender, ethnicity and other demographics of the department conducting the search;
3. Fully participate in the recruitment process from its initial stages to completion while keeping the Director of Equal Opportunity informed of any issues, concerns or questions that arise;
4. Attend ALL search committee meetings, committee interviews and search committee interview dinners and lunches;
5. Ensure that the recruitment plan includes efforts to attract well-qualified candidates representative of the diverse pool;
6. Ensure that the recruitment plan is followed throughout the search process, and certify that there were no equity violations of the recruitment plan and/or search protocol before an offer is made;
7. Monitor the selection process at the search committee level – take responsibility for assuring that all candidates are given fair consideration based on the candidate evaluation form, published job qualifications and criteria;
8. Review screening interview questions and monitor questions asked for appropriateness during the interview process including during informal social events such as meals with the candidates.
9. Participate in reference checks for finalists;
10. Communicate problems or violations of university policy to the committee and/or Director of Equal Opportunity as soon as possible;
11. Submission of completed Employee Equity Facilitators’ Report to the Office of Equal Opportunity. A template for the report is available on the following website: http://www.equalopportunity.calpoly.edu/content/eef.

Appointment
Library Administrative Services shall provide the new librarian with a copy of the Library Faculty Handbook, which serves as written notification of the evaluation criteria and procedures in effect at the time of initial appointment. This notification shall take place no later than fourteen days after the start of the quarter/semester, according to the provisions of the Collective Bargaining Agreement. Library Administrative Services shall also notify the new library faculty member of the time and place of the next Fall Conference Week orientation sessions for new faculty.

The supervisor or department head shall review with the new library faculty member the evaluation criteria and procedures in the Library Faculty Handbook.

6. Personnel Files

Personnel Action File (PAF)
The Personnel Action File (PAF) is the official permanent employment record of a faculty member and is kept in Library Administrative Services. Contents include a CV; hiring materials/letters of appointment; performance and periodic evaluations; leaves/grants/awards reports and other personnel related material. The library faculty member, peer review committee members, the supervisor, Dean of Library Services, and Senior Vice Provost for Academic Programs & Planning must review and sign this file as part of the review process.

Working Personnel Action File (WPAF)
The WPAF is initiated by the librarian under consideration for a performance review for retention, promotion, tenure, post-tenure or periodic review. The WPAF for tenure or tenure/promotion covers the entire employment period at Cal Poly. The WPAF for promotion shall emphasize the period since the last promotion at Cal Poly or appointment to the current rank. The Provost establishes a specific deadline by which the WPAF is declared complete for each type of personnel action. Insertion of materials after that date must have the approval of the peer review committee and is limited to items that became accessible after the deadline. If materials are added, the files are returned to the first level of review and a new time-line is established for all levels of review. Candidates do not have access to the WPAF after the closing date. The table of contents or index should be updated to reflect any material added to the file during the course of the evaluation cycle. All supporting materials in the WPAF should be referenced and clearly explained.

7. Evaluation Criteria

Library faculty are evaluated on their achievement in four criteria: Professional Performance, Professional Growth and Scholarly Activities, Service, and Other Factors of Consideration. The scope and significance of activities in all four criteria are expected to increase with years of experience and academic rank.

The primary standard for evaluating a candidate's performance in these criteria is based on the library faculty member's Position Description(s) and current and Professional Development Plan(s), in the context of their activities relative to rank.

This handbook provides expectations of criteria by rank, and candidates are to be evaluated rigorously at each rank according to the criteria for the relevant rank.

1. Professional Performance
A high level of effectiveness in Professional Performance relative to rank is required for retention, promotion, tenure, and post-tenure review. Candidates are evaluated within the context and scope of their rank, taking into account their Position Description(s), Professional Development Plan(s), and other documentation provided in their PAF and WPAF.

2. Professional Growth and Scholarly Activities
A high level of achievement in Professional Growth and Scholarly Activities is required for retention, promotion, tenure, and successful post-tenure review. Library faculty are expected to participate in: (1) professional associations and organizations; (2) research, scholarly, and creative activities; and (3) continuing education. Candidates are evaluated on their professional growth and scholarly activities within the context and scope of their professional development plan(s) and rank.
Indicators of achievement for this criterion may include, but are not limited to, the following examples:

Participation in Professional Associations and Organizations
- Committee membership
- Mentoring/advising
- Leadership position/officer
- Honor/award recipient

Research, Scholarly and Creative Activities
Scholarly work and creative activities can take many forms. Candidates shall specify scholarly work that is refereed, juried, or subject to other external validation. For collaborative projects and publications, the candidate shall describe their specific role in the accomplishment.
- Articles and professional publications
- Creative/Artistic Achievement
- Book
- Textbook
- Chapter(s) in a book
- Software and/or programming code
- Technical report
- Published book review
- Patents
- Consulting
- Collaborative projects (public and private sector)
- Editorships
- Invited and competitively accepted papers/presentations/posters
- Grants
- Fellowships
- Bibliographies

Continuing Education and Professional Development
- Participation in workshops, conferences, or professional meetings
- Formal courses, seminars, webinars and workshops
- Progresses toward or completes a certification, license, additional masters/advanced degree
- Additional advanced degree

3. Service
Service is an essential means by which library faculty members support the missions of the library and the university. Appropriate service activities for library faculty leverage individual skills, knowledge and abilities as collegial and productive assets to support these missions.

Candidates are evaluated on service activities supporting the library, the university, the California State University, and/or community. While candidates are not expected to participate in all possible service arenas, their service activities are evaluated on participation and contribution relative to rank.

Service activities, whether internal or external to the university, should capitalize on a faculty member’s strengths, strategically incorporating interests and expertise in professional or academic fields. Service to the community should not come at the expense of service in the other areas.

Note: Participation in professional organizations does not fall under the criterion of Service, but should be considered under the criterion of Professional Growth and Scholarly Activities.

4. Other Factors of Consideration
Library faculty have a shared responsibility of fostering a welcoming professional environment with fellow librarians, library staff, faculty, students and colleagues in the profession. This can be accomplished in a variety of ways. Collegiality, professionalism and successful interaction with coworkers, for example, are universally recognized as important contributing factors to the vitality of the library and higher education in general. Collegiality represents a reciprocal relationship among colleagues and a value system that views diverse members of a university community as critical for the progress and success of its academic mission. The concept of collegiality, however, should be distinguished from congeniality. To be congenial is parallel with sociability and agreeableness, while collegiality is a positive and productive association with colleagues. Moreover, collegiality among associates involves appreciation of and respect for differences in expertise, ideas, background, and viewpoints. Consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability.

8. Criteria by Rank

Assistant Librarian

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<tr>
<th>Personnel Action</th>
<th>Criteria</th>
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<tbody>
<tr>
<td>Appointment</td>
<td>ALA-accredited MLS, or comparable experience with relevant advanced degree</td>
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</table>
Retention, Promotion: Professional Performance  
Professional Growth and Scholarly Activities  
Service  
Other Factors of Consideration

Tenure:  
Not applicable at this rank

Post-Tenure:  
Not applicable at this rank

The rank of Assistant Librarian is the entry level for new library faculty members who have recently joined the profession. Appointments at this rank require expectation of successful overall performance and the potential for a promising career in libraries and information science.

At this rank, the librarian is expected to apply fundamentals of library science to academic library programs and to begin developing expertise within a subject area. Assistant Librarians receive close supervision and guidance, and must exhibit potential for broader or more complex assignments. For retention, the Assistant Librarian shall demonstrate strength in the four basic criteria: Professional Performance; Professional Growth and Scholarly Activities; Service; and Other Factors of Consideration.

The Assistant Librarian shall also complete a professional development plan in consultation with the supervisor that includes strategies for advancing in rank. The library faculty member is strongly encouraged to consult a mentor on preparation of a Working Personnel Action File and for recommendations on strategies for career advancement.

Library faculty members are not tenured at this rank.

1. Professional Performance:

The Assistant Librarian shall demonstrate effectiveness in academic library assignment in quantity and quality of performance. The librarian shall develop the ability to work effectively in a range of library functions and subject areas, demonstrate judgment in problem solving and organizing work, and uphold the library's service values. A librarian at this rank, after the initial period of training, shall show the ability to work with progressively less supervision, and demonstrate potential ability to initiate and carry projects to conclusion.

2. Professional Growth and Scholarly Activities:
Library faculty at this rank are members of appropriate professional organizations and attend relevant meetings, conference, seminars and workshops; actively participate in professional interest groups, roundtables, and committees; begin to acquire subject expertise in areas that contribute to the library's knowledge base, collections, and services; and begin to participate in research, scholarly, and creative activities that have the potential for external validation.

3. Service:

At this level, the candidate acquires an understanding of campus governance and higher education issues; is appointed, elected or volunteers to serve on library and/or university and/or California State University: (1) committees; (2) working groups/task forces; (3) coordinating/operational groups; (4) advisory and governance groups; and/or community organizations in areas related to the profession, assignment, or subject fields.

4. Other Factors of Consideration:

Consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability.

**Senior Assistant Librarian**

**Personnel Action**  
**Criteria**

Appointment: ALA-accredited MLS, or comparable experience with relevant advanced degree  
Professional Growth and Scholarly Achievement  
Minimum three years of relevant experience

Retention, Tenure, Post-Tenure, Promotion: Professional Performance  
Professional Growth and Scholarly Activities  
Service  
Other Factors of Consideration

The rank of Senior Assistant Librarian requires the independent performance of a full range of professional activities, as well as specialization within a particular subject or function. At this rank, the librarian is expected to complete complex assignments, develop expertise in subject areas, and contribute to the campus and the profession. The rank of Senior Assistant Librarian requires added responsibility
for a particular area, with an increasing level of complexity. Librarians at this rank may supervise others.

Appointments at this rank require indication of successful overall performance in each of the four basic criteria, with the potential for work worthy of promotion and tenure. Retention and promotion to this rank shall require evidence of effective performance in all four evaluation criteria.

The Senior Assistant Librarian shall complete a professional development plan in consultation with the supervisor that includes strategies for advancing in rank. The library faculty member is strongly encouraged to consult a mentor on preparation of a Working Personnel Action File and for recommendations on strategies for career advancement.

1. Professional Performance:

   The Senior Assistant Librarian shall demonstrate increased effectiveness in the performance of academic library assignment. The librarian at this rank shall show evidence of the ability to work effectively in a range of library functions and subject areas, and demonstrate the development of a degree of special expertise, which is sought after by library, campus and professional colleagues. The Senior Assistant Librarian shall begin to show evidence of originality in developing approaches to problems or assignments, and the ability to relate assigned functions to more general educational objectives of the library and the university. The librarian at this rank is committed to the library's service values and is willing to take extra steps beyond routine duties when necessary to achieve a goal.

2. Professional Growth and Scholarly Activities:

   Library faculty members at this rank possess an active record of professional growth and scholarly achievement. Librarians participate in externally validated research, scholarly, and creative activities. The Senior Assistant Librarian distills insights gained in professional meetings into workable ideas that benefit the Library. Librarians at this rank continue formal and informal development in professional and subject specific fields. The Senior Assistant Librarian actively participates in relevant professional associations and continues professional growth and education through workshops, seminars, and coursework.

3. Service:

   The Senior Assistant Librarian actively participates through election, appointment or volunteer service on library and/or university and/or
California State University: (1) committees; (2) working groups/task forces; (3) coordinating/operational groups; (4) advisory and governance groups; and/or community organizations in areas related to the profession, assignment, or subject fields.

4. Other Factors of Consideration:

Consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability. The candidate demonstrates that their professional interactions and relationships have created a foundation for increasingly meaningful and productive activities, and that these interactions are increasingly moving into venues beyond the library.

**Associate Librarian**

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<th>Personnel Action</th>
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<td><strong>Appointment:</strong></td>
<td>ALA-accredited MLS, or comparable experience with relevant advanced degree</td>
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<tr>
<td></td>
<td>Professional Growth and Scholarly Achievement</td>
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<td>Minimum six years of relevant experience</td>
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<th>Retention, Tenure, Post-Tenure, Promotion:</th>
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<tbody>
<tr>
<td>Professional Performance</td>
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<td>Professional Growth and Scholarly Activities</td>
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<td>Service</td>
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<td>Other Factors of Consideration</td>
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The rank of Associate Librarian typically requires at least six years of academic library experience and considerable professional achievement as a specialist in a given academic field or library function. The Associate Librarian practices a broad range of library activities using initiative, judgment, and innovative approaches to solve unique problems.

Promotion to this rank shall require evidence of significant professional contributions to the library and to the university in relation to assignment, in research, scholarly, and creative activities, and other professional endeavors. The Associate Librarian is able to supervise others in increasingly complex projects and assignments.

Because of the senior nature of this rank and the privilege of tenure normally attached to it, positive recommendations should only be made for individuals who
have demonstrated distinctive value to the university and who possess outstanding capability for further development and contributions.

1. Professional Performance:

   The Associate Librarian is expected to attain: a degree of special expertise that is sought after by library, campus and professional colleagues; a high level of professional skills, understanding of current trends, techniques and technologies; and effectiveness in working with students, faculty and staff. At this rank, the librarian must show versatility, ability to uphold the library’s service values, capacity to work effectively in a range of library functions and subject areas, and demonstrated ability to make and implement decisions effectively. The librarian demonstrates the ability to plan and organize work priorities, meet deadlines, follow regulations, suggest improvements, and display originality in developing solutions to problems typically involving more than a single library unit or function.

   The Associate Librarian shall show responsiveness to the needs of the academic community and exhibit a high level of commitment to provide effective service. Leadership ability is expected, as reflected in sound thinking and doing, which advances the library’s mission. This may require negotiating cross-functional changes in operations, as well as workplace attitudes, which must be diplomatically negotiated.

2. Professional Growth and Scholarly Activities:

   Library faculty at this rank possess a strong record of professional growth and scholarly achievement. Associate Librarians participate in externally validated research, scholarly, and creative activities. Librarians at this rank engage in formal and informal continuing education and professional development. The Associate Librarian actively participates in relevant professional associations and continues professional growth and education through workshops, seminars, and coursework.

3. Service:

   The Associate Librarian makes significant contributions through election, appointment or volunteer service on library and/or university and/or California State University: (1) committees; (2) working groups/task forces; (3) coordinating/operational groups; (4) advisory and governance groups; and/or community organizations in areas related to the profession, assignment, or subject fields.

4. Other Factors of Consideration:
Consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability. The candidate demonstrates that their professional interactions and relationships have become increasingly meaningful and productive, and these interactions move beyond the library.

Librarian

**Personnel Action** | **Criteria**
--- | ---
Appointment: | ALA-accredited MLS, or comparable experience with relevant advanced degree
Professional Growth and Scholarly Achievement
Minimum ten years of relevant experience

Retention, Post-Tenure: | Professional Performance
Professional Growth and Scholarly Activities
Service
Other Factors of Consideration

The rank of Librarian recognizes a library faculty member’s advancing contributions to the library, the university, and the profession. It is awarded to library faculty members who demonstrate their ability to leverage their extensive knowledge and experience in the library and at Cal Poly to make significant and meaningful contributions. Librarians at this rank are recognized leaders who are respected by their colleagues in the library, across campus, and in the professional community for their innovative and creative ideas, approaches and solutions for addressing complex issues and challenges. Librarians who desire to achieve this rank have at least ten years of experience and are recognized for their outstanding contributions in the areas of professional performance; research, scholarship and creative activity; service; and other factors of consideration.

The Librarian demonstrates specialized expertise that is recognized and sought by colleagues and peers. As such, the Librarian understands complex issues and challenges and executes viable solutions that will provide the greatest benefit to the library, the campus, and the profession. The Librarian is a leader who takes an active and effective role in assignments and who accomplishes work with and through others. As a leader, the Librarian facilitates teamwork with library administrators, support staff, other library faculty and campus partners. The Librarian also contributes to the professional development of others in the library, university, and profession.
Promotion to this rank requires significant evidence of exceptional professional contributions to the library and to the university in relation to assignment; in research, scholarly, and creative activities; and in other professional endeavors. Particular attention is to be paid to the candidate’s professional stature, both within the university and in the professional community at large.

1. Professional Performance:

The librarian at this rank utilizes their specialized expertise to advance the mission and function of the library and university in a proactive and effective manner. The Librarian upholds the library's values and is highly committed to providing exceptional library service in the areas of assignment and beyond. The Librarian shall demonstrate exceptional leadership, judgment, and originality in identifying and contributing to the solution of complex library issues involving multiple organizational units or functions. The Librarian contributes substantially to the mission of the library by exercising initiative and demonstrating the capacity to lead new initiatives, programs, and ideas to successful implementation using their specialized professional skills, ingenuity, creativity and resourcefulness that exceeds what is expected at the rank of Associate Librarian. The Librarian demonstrates a holistic understanding of library functions and services, allowing them to effectively contribute to the overall library mission.

2. Professional Growth and Scholarly Activities:

Library faculty at this rank possess a long-standing and continued record of professional growth and scholarly achievement. Librarians participate in externally validated research, scholarly, and creative activities. The Librarian actively participates in relevant professional associations and continues professional growth and education through workshops, seminars, and coursework.

3. Service:

The Librarian provides a high level of service to the library to foster continued excellence and growth in the organization. The Librarian continues to contribute a high level of service via active participation through election, appointment or volunteer service on library and/or university and/or California State University: (1) committees; (2) working groups/task forces; (3) coordinating/operational groups; (4) advisory and governance groups; and/or community organizations in areas related to the profession, assignment, or subject fields.

4. Other Factors of Consideration:
The Librarian exercises a high level of collegiality in the library and across campus. This includes working collaboratively, cooperatively, and productively with colleagues both internal and external to the library, as well as demonstrating initiative and dependability. As a result, the Librarian’s professional interactions and relationships have reached a level that significantly impacts and enhances the role the library plays in the university as a whole.

9. Periodic Evaluations and Performance Reviews

Periodic Evaluation and Performance Review Definitions

**Periodic Evaluation:** an evaluation process that does not result in a formal personnel action but that can be used to provide feedback and guidance to the faculty member and support future personnel actions.

**Performance Review:** an evaluation process that results in a personnel action for tenured or tenure-track faculty, such as retention (reappointment), tenure, or promotion.

**Personnel Actions**

**Retention:** Retention or reappointment is based on merit demonstrated in the Library’s four evaluative criteria: Professional Performance; Professional Growth and Scholarly Activities; Service; and Other Factors of Consideration.

The normal period of probation shall be a total of six years of full-time probationary service and credited service, if any. The President may grant to a faculty unit employee at the time of initial appointment to probationary status up to two years service credit for probation based on previous service at a post-secondary education institution, previous full-time CSU employment, or comparable experience.

An elected peer review committee, the supervisor, Dean of Library Services, and Senior Vice Provost for Academic Programs & Planning evaluate probationary faculty annually for the purpose of recommending retention or non-retention to the Provost. Retention reviews are undertaken to assess the faculty member’s performance according to the library’s criteria, make recommendations regarding retention or non-retention, and provide helpful feedback to the faculty member regarding performance expectations.

Evaluation of librarians involves a comprehensive assessment of performance, with continuing retention seen as progressing toward the award of tenure. If a
probationary librarian is not likely to achieve tenure, then they should not be recommended for retention.

Librarians, students, academic administrators, and the President may contribute information to the evaluation of a librarian. Information submitted by the librarian and by academic administrators may include statements and opinions about the qualifications and work of the employee provided by other persons identified by name. However, only tenured full-time librarians and academic administrators may engage in deliberations and make recommendations to the President regarding the evaluation of a librarian during the periodic evaluation and performance review processes.

Other provisions regarding retention are found in Article 13 of the Collective Bargaining Agreement.

**Tenure:** Tenure decisions are based on merit demonstrated in the Library’s four evaluative criteria: Professional Performance; Professional Growth and Scholarly Activities; Service; and Other Factors of Consideration.

Tenure is normally considered during the 6th year performance review. Early tenure will be granted only in exceptional cases. Candidates seeking early tenure must fully document an exceptional record of performance, validated by previous evaluations and performance reviews in all four evaluative criteria.

An elected peer review committee, the supervisor, Dean of Library Services, and Senior Vice Provost for Academic Programs & Planning evaluate candidates for the purpose of recommending award of tenure or denial of tenure to the President. Tenure reviews are undertaken to assess the faculty member’s performance according to the library’s criteria, make recommendations regarding tenure, and provide helpful information to the faculty member regarding performance expectations.

If the librarian does not have the potential for promotion to Senior Assistant Librarian or above, tenure should not be granted.

The criteria for tenure are closely aligned to the criteria for promotion in academic rank. Tenure is not recommended routinely; rather, it is granted to those who, by reason of their excellent performance and promise of long-range contribution to the educational purpose of the institution, are deemed worthy of this important commitment.

Tenure means the right of a faculty member to continue employment at Cal Poly unless voluntarily terminated or terminated for cause, lack of funds, or lack of work. For those denied tenure following the final probationary year, a terminal year shall be awarded if the probationary faculty member has served a minimum of three
years. A probationary academic employee shall not serve more than seven successive full-time years. Tenure at Cal Poly is effective at the beginning of the academic year following the year in which tenure is awarded.

The President shall officially notify the probationary librarian of the final decision on the award or denial of tenure. The faculty member awarded tenure is then slated for periodic evaluation at intervals not to exceed five years under the peer post-tenure provisions outlined in this document under the heading, Post-Tenure Review.

Other provisions regarding tenure are found in Article 13 of the Collective Bargaining Agreement.

**Promotion:** Advancement in rank is based on merit demonstrated in the Library's four evaluative criteria: Professional Performance; Professional Growth and Scholarly Achievement; Campus and Community Service; and Other Factors of Consideration.

Promotion of tenured faculty members normally occurs after five years of full-time service in the current academic rank. However, length of service or time in rank is not, in and of itself, sufficient cause for promotion.

Early promotion will be granted only in exceptional cases. Candidates seeking early promotion must fully document an exceptional record of performance, validated by performance evaluations, in all four evaluative criteria.

An elected peer review committee, the supervisor, Dean of Library Services, and Senior Vice Provost for Academic Programs & Planning evaluate candidates for promotion for the purpose of recommending or denying promotion to the President. Performance reviews for promotion are undertaken to assess the faculty member’s performance according to the library’s criteria, make recommendations regarding promotion, and provide helpful feedback to the faculty member regarding performance expectations.

Librarians, students, academic administrators, and the President may contribute information to the evaluation of a librarian. Information submitted by the librarian and by academic administrators may include statements and opinions about the qualifications and work of the employee provided by other persons identified by name. However, only tenured full-time librarians and academic administrators may engage in deliberations and make recommendations to the President regarding the evaluation of a librarian during the periodic evaluation and performance review processes.

Both scope and complexity of performance within each criterion distinguishes one librarian rank from another. Rank is not to be determined solely on the basis of
assigned responsibility. Factors to be considered in judging the extent of performance include degree of demonstrated expertise, leadership, creativity, versatility, initiative, innovation, and collegiality.

Promotion in rank requires not only a record of successful fulfillment of criteria at the candidate’s current rank, but also a demonstrated potential for achievement commensurate with the next rank. The scope and significance of accomplishments increases with years of experience and academic rank.

Probationary librarians shall not be promoted beyond the rank of Associate Librarian. A probationary librarian shall normally be considered for promotion at the same time as consideration for tenure.

The promotion of a tenured librarian shall normally be effective at the beginning of the sixth year after appointment to the current academic rank/classification. In such cases, the performance review for promotion shall take place during the year preceding the expected date of the promotion. This provision shall not apply if the librarian requests in writing that the librarian not be considered for promotion.

Other provisions regarding promotion are found in Article 14 of the Collective Bargaining Agreement.

**Post-Tenure Review:** Post-tenure review is based on the library’s four evaluative criteria: Professional Performance; Professional Growth and Scholarly Activities; Service; Other Factors of Consideration.

Tenured faculty shall undergo a periodic evaluation or performance review at least every five years. Tenured faculty shall be scheduled for a periodic evaluation if it is their fifth year since being evaluated. The periodic evaluation process will be replaced by a performance review if the faculty member is under consideration for promotion. Librarians who have recently been evaluated for promotion need not be evaluated until the fifth year subsequent to that review.

Librarians will not be reviewed while on sabbatical leave, difference-in-pay leave, or leave of absence. Librarians may be reviewed earlier than the five-year cycle if the supervisor, Dean of Library Services, and/or Senior Vice Provost for Academic Programs & Planning believe(s) such a review is warranted, or if a librarian requests a review in writing.

Evaluation of tenured faculty is consistent with the library and the university’s mission of educational excellence. The purpose of the evaluation of tenured library faculty is to benefit the librarian through peer review and to maintain and improve a tenured librarian’s effectiveness. The five-year review process provides each librarian with the opportunity to identify and review progress toward these standards. Library faculty who have gained tenure are expected to maintain their
effectiveness in their library assignments and to develop and undertake scholarly
and innovative projects and programs that benefit the librarian, library and
academic community.

The evaluation should encourage and recognize the accomplishments of tenured
faculty and make recommendations for addressing any deficiencies. The committee
chair, the supervisor, Dean of Library Services, and Senior Vice Provost for
Academic Programs & Planning discuss the final evaluation with the librarian. Upon
completion of the peer post-tenure review process, the following components of the
Working Personnel Action File (WPAF) are placed in the librarian's master
Personnel Action File (PAF) held in Library Administration Services: CV, Index,
Professional Development Plan, the written performance reviews, and the
candidate’s responses.

When areas for improvement are noted in the periodic evaluation or performance
review processes, the librarian and the supervisor shall first review the librarian’s
Professional Development Plan, agree to performance benchmarks, and establish
more frequent evaluations. If, in the judgment of the supervisor, Dean of Library
Services, and Senior Vice Provost for Academic Programs & Planning, the librarian’s
performance continues to be deficient, “Disciplinary Action Procedures,” Article 19
of the Collective Bargaining Agreement, which addresses dismissal, demotion, or
suspension without pay of faculty members, may be invoked.

Other provisions regarding post-tenure review are found in Article 15 of the
Collective Bargaining Agreement.

Overview of Periodic Evaluation and Performance Review Processes

1. Library Administrative Services provides WPAF folders and draft Periodic
   Evaluation/Performance Review Timetables to candidates
2. Candidate reviews PAF in Library Administrative Services for accuracy
3. Academic Personnel provides Final Periodic Evaluation/Performance Review
   Timetables to Library Administrative Services
4. Library Administrative Services notifies candidates of Final Periodic
   Evaluation/Performance Review Timetables
5. Candidate submits Working Personnel Action File to Library Administrative
   Services
6. Peer Review Committee evaluates Candidate (AP109: DPRC Faculty Evaluation
   Form)
7. Candidate reviews/responds
8. Supervisor evaluates candidate (AP109: DH/DC Faculty Evaluation Form)
9. Candidate reviews/responds
10. Dean of Library Services evaluates Candidate
11. Candidate reviews/responds
12. Senior Vice Provost for Academic Programs & Planning evaluates candidate
13. Candidate reviews/responds
14. President / Provost evaluates candidate
15. Notification to Candidate
16. At the end of the review cycle, the index, faculty resume, professional development plan, evaluation summaries, and any responses or rebuttal statements from the WPAF will be filed in the permanent PAF held in Library Administrative Services

Refer to periodic evaluation timetables and calendars for processing professional leave with pay available from the Academic Personnel website:
http://www.academic-personnel.calpoly.edu/index.html
http://www.academic-personnel.calpoly.edu/index.html
http://www.academic-personnel.calpoly.edu/index.html

In the event the established deadlines listed below occur on a Saturday or Sunday or holiday, the deadline will be extended to the first working day immediately following that date, except for reappointment and tenure notification, which must be made no later than June 1.

When recommendations and candidate’s optional responses are added to the WPAF, they are thereafter considered part of the file. WPAFs are returned to Library Administrative Services at each step and Library Administrative Services staff notifies participants when WPAFs are ready for review.

**RPT Provisions:**

The following provisions also apply to the evaluation process:

- Faculty members who wish to be evaluated for promotion or tenure must notify the Dean of Library Services in writing with a copy to the supervisor by October 15 of the RPT cycle. Early tenure and/or early promotion are considered only under extraordinary conditions of performance and achievement.
- The peer review committee may request a meeting with the candidate as part of the review of the candidate during the periodic evaluation or performance review process.
- Within ten days following receipt of the recommendation, the candidate may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation.
- A copy of the response or rebuttal statement will accompany the Working Personnel Action File and will also be sent to all participants in previous levels of review.
- The committee may reconvene to consider the candidate’s rebuttal statement. The committee either revises its recommendation in writing...
or makes no change to its prior recommendation. In the case of no change, no further statement is necessary from the committee.

- Before a recommendation is forwarded to a subsequent review level, the faculty member under evaluation will be given a signed copy of the written recommendation, which includes reasons for the recommendation.
- All deliberations in the evaluation process are to be confidential. Written recommendations are also confidential and available only to the candidate, appropriate administrators, and peer review committee members.
- The President shall notify the librarian in writing of the final decision on retention, promotion and tenure and post-tenure review. Such response shall include the reasons for approval or denial and shall indicate the effective date of the promotion, if any.
- The President may delegate personnel actions to the Provost.
- Following the President’s review, Library Administrative Services is responsible for inserting necessary documentation into the PAF and returning supporting documentation to the faculty member, as appropriate.
- Library faculty may be evaluated at other than regularly scheduled times at the discretion of the supervisor or other appropriate administrator. The librarian may also request that an evaluation be performed.

Periodic Evaluation and Performance Reviews

Roles in the Process
Effective and timely mentoring brings clarity to the process of becoming a productive and valued faculty member. Successful preparation is a partnership between the candidate, library administration, the supervisor, and the candidate’s faculty colleagues.

The Candidate’s Role
The candidate for personnel action initiates informal and/or informal consultation and mentoring with faculty colleagues. Candidates are advised to seek mentoring assistance well before the deadline for personnel action(s).

Library Administrative Services’ Role
Library Administrative Services will provide newly appointed faculty a copy of the Library Faculty Handbook, which serves as written notice of the evaluation criteria and procedures in effect at the time of initial appointment. This notification shall take place no later than fourteen days after the start of their first quarter/semester, according to the provisions of the Collective Bargaining Agreement. Library Administration will continue supporting faculty through such actions as providing timely notifications of the annual calendar of personnel actions, providing access to
and ensuring security of candidate WPAFs and PAFs, routing WPAF and PAFs through each level of review according to annual calendar deadlines, and providing candidate responses to each level of review (if applicable).

**The Supervisor's Role**
The supervisor shall review with library faculty member the evaluation criteria and procedures in the *Library Faculty Handbook*, with emphasis on the current year’s actions. The supervisor shall also work closely with new library faculty to assist in developing a robust Professional Development Plan (PDP) as well as accurate position descriptions and current assignments.

**The Senior Library Faculty’s Role**
To assist candidates with library faculty periodic evaluations and performance reviews, senior library faculty members are expected to demonstrate their collegiality by serving as informal mentors to advise candidates on:

- Procedures and timeline of specific evaluations and reviews
- Understanding the *Library Faculty Handbook*
- Preparation of effective Working Personnel Action Files
- Content and formatting of a successful Working Personnel Action File(s)
- Other topics relating to personnel actions in the library

**The Library Faculty Council’s Role**
The Library Faculty Chair and colleagues on the Library Faculty Council can also implement their collegiality via committee and subcommittee-sponsored activities to assist in mentoring fellow faculty in progress through personnel actions. The Personnel Committee may advise tenure-line faculty in their preparation for periodic reviews and personnel actions.

**Responsibilities in the Process**

**Responsibilities of the Candidate:** The candidate prepares the Working Personnel Action File that contains clear evidence of the librarian’s accomplishments and qualifications for the requested personnel action, arranged according to the library faculty four criteria: Professional Performance; Professional Growth and Scholarly Activities; Service; and Other Factors. The Library faculty member being considered for retention, promotion and/or tenure, or peer post-tenure review is responsible for compiling and submitting a WPAF that includes the following:

- Table of contents or index
- AP109: Faculty Evaluation Form
- Library Faculty Position Description(s)
- Library Faculty Professional Development Plan(s)
- Curriculum vitae
- Substantial narrative arranged according to the library’s four evaluative criteria
- Supplementary evidence documenting the nature and quality of activities within the evaluative criteria
- For tenure requests, supporting documentation is required, including a minimum of five letters of recommendation from colleagues external to the library, addressing the nature and quality of activities within the four evaluative criteria

**Importance of the Position Description and Professional Development Plan**

Librarians perform multifaceted roles within the library and the university, and it is typical for librarian responsibilities and roles to rapidly change. As the quality of faculty performance is the most important element to consider in evaluating individual achievement, to understand and accommodate the needs for both librarian professional stability with changes in current assignments, it is important for candidates to provide in the WPAF, and for evaluators to consult, the following documents as part of the evaluation process:

**Position Description**

Faculty Librarian Position Descriptions often share many of the features of the Job Requisition that culminate in appointment. Newly appointed faculty librarians should work with the supervisor to refine the Job Requisition into an informative and accurate Position Description. While focusing on the responsibilities of the position, the Position Description should articulate ways a librarian will advance the strategic initiatives of the library, college, and university, and describe the research, scholarship, creative activities, service activities and other primary responsibilities of the position.

**Professional Development Plan**

The Professional Development Plan (PDP) is a written narrative intended to serve as a guide to evaluators for understanding the faculty librarian's professional goals and values as a librarian-scholar. It outlines how the faculty member’s expertise will be developed and how this development will impact the individual, the library and the campus. It serves as a road map for faculty success in retention, tenure, promotion and post-tenure review. The PDP includes short-and long-term goals and objectives elucidating how the faculty librarian intends to contribute as a librarian-scholar. Because of the dynamic nature of library faculty assignments, librarian PDPs should be tripartite in nature: one section devoted to strategic, long term professional development and goals; another section devoted to short term goals; and a third section briefly outlining the candidate’s current assignment. This third section allows evaluators to understand the relation of the goals not only to the position, but to the roles, responsibilities and workload of the current
assignment. Major changes in responsibilities must be reflected in the current assignment and must be accomplished via formal documentation processes that include official consultation with Academic Personnel. Official letters of notification affirming any such changes will be placed in the faculty librarian’s PAF. Candidates are encouraged to consult with their library faculty colleagues in shaping, developing, and constructing a robust and clear PDP. The supervisor and the Dean of Library Services each review the plan, providing feedback and suggestions.

In developing the PDP the librarian should address all areas of anticipated activity/achievement: Professional Performance; Professional Growth and Scholarly Activities; Service; and Other Factors of Consideration.

(a) Probationary faculty should emphasize what s/he intends to accomplish by the time s/he is considered for tenure. Newly appointed faculty will begin writing a “working” PDP draft within six weeks of arriving at Cal Poly

(b) From the second year forward the strategic, long-term portion of the PDP will stabilize and should emphasize what the candidate intends to accomplish by the time s/he is considered for tenure.

(c) Applicants for tenure and/or promotion should articulate a long-term professional development plan noting how they intend to continue making a valuable contribution to the University, its instructional program(s), and the academic community.

(d) A five year-PDP is required for tenured faculty, with an expectation that the strategic, long-range portion will remain relatively stable (with addendums if needed) and short-term goals and current assignments will be revised annually.

(e) Each faculty librarian reviews and amends the PDP as part of summer planning.

(f) PDPs must be finalized prior to the starting date of the finalized periodic evaluation and performance review timetables provided by Academic Personnel.

The Working Personnel Action File
The Working Personnel Action File represents the candidate’s best case for retention, tenure and/or promotion. A well-organized and accurate file serves the interests of the candidate by making the information and materials on which the evaluation is based easily accessible to the reviewers.

It is the responsibility of the candidates to present clear, yet concise, evidence of their qualifications for the requested personnel action. Candidates are requested to submit materials in the binders supplied by Library Administrative Services. Accomplishments may only be listed under one criterion and may not be repeated in others.
The Working Personnel Action File should emphasize the candidate’s performance and achievements during the period since the last periodic evaluation or performance review. The WPAF for tenure or tenure/promotion includes the entire employment period at Cal Poly. The WPAF for promotion shall emphasize the period since the last promotion at Cal Poly or appointment at the current rank.

Any party to the review may initiate a request for an external review of materials submitted by a faculty unit employee at any level of review. Such a request shall document (1) the special circumstances which necessitate an outside reviewer, and (2) the nature of the materials needing the evaluation of an external reviewer. The President must approve the request with the concurrence of the faculty unit employee (CBA Article 15).

The candidate’s responsibilities also include:

- Review CSU, campus and library personnel policies and procedures
- Seek consultation and mentoring from library faculty colleagues
- Develop/revise a Professional Development Plan
- Develop and submit complete WPAF to Library Administrative Services by established deadline (deadlines available from the Academic Personnel website: http://www.academic-personnel.calpoly.edu/), providing adequate documentation to support requested personnel action
- Review RPT recommendations and submit written response/rebuttal within ten days, as appropriate

**Responsibilities of the Peer Review Committee:** The probationary and tenured librarians shall elect a peer review committee consisting of no less than three tenured full-time librarians of appropriate rank for the purpose of reviewing and recommending candidates who are being considered for retention, award of tenure, promotion, and peer post-tenure review. Librarians being considered for promotion are ineligible for service on promotion or tenure peer review committees.

When there are insufficient eligible library faculty members to serve on the peer review committee, the candidate along with the Library administration may suggest eligible peer review committee members from the Cal Poly faculty. The probationary and tenured librarians shall then elect a peer review committee. The elected member name(s) will then be forwarded to the Dean of Library Services and Senior Vice Provost for Academic Programs & Planning. When applicable a librarian will always serve as chair of the peer review committee.

At the discretion of the Dean of Library Services and the Senior Vice Provost for Academic Programs & Planning, library faculty participating in Faculty Early Retirement Program (FERP) may serve on a peer review committee if needed and/or appropriate. However, FERP faculty may decline to serve on a peer review
committee at their own discretion. The peer review committee may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

Peer reviews are undertaken to assess the library faculty member’s performance according to the *Library Faculty Handbook* criteria, make recommendations regarding the requested personnel action, and provide helpful information to the faculty member regarding performance expectations.

Because of the importance of all personnel actions, members serving on peer review committees are expected to perform due diligence; observe strict confidentiality; review, understand and apply the relevant criteria; and provide constructive written assessment of the candidate’s performance.

The peer review committee’s responsibilities include:

- Elect PRC chair
- Review CSU, campus, and library personnel policies and procedure
- Review and sign the candidate’s PAF and WPAF
- Complete and submit a written evaluation using the appropriate AP109: Faculty Evaluation Form. The form can be found on the Academic Personnel website: [http://www.academic-personnel.calpoly.edu/index.html](http://www.academic-personnel.calpoly.edu/index.html)
- Submit a signed minority report by committee member(s) when opinion differs from the views expressed by the majority
- Rank-order all candidates for promotion who were positively recommended

Members of peer review committees are professionally obligated to review the information in both the WPAF and the PAF before they vote or provide a written recommendation. All recommendations should be supported by demonstrable evidence in the WPAF and/or the PAF that the candidate meets established evaluation criteria. Members of the peer review committees must sign the logs in both the PAF and the WPAF before they submit their written recommendations. These files are maintained in Library Administrative Services.

**Responsibilities of the Department Head/Supervisor:** The librarian’s supervisor ensures that candidates are properly oriented to the RPT process and provides specific input and feedback on the candidate’s performance.

The supervisor’s responsibilities include:

- Ensure candidates avail themselves of opportunities for guidance on the RPT process, including relevant workshops offered by the University, availability of mentors, Library Faculty Council workshops, and other formal and informal methods of orientation and assistance
• Provide guidance on an appropriate Professional Development Plan and assure accurate position descriptions and clarity of current assignment(s)
• Prior to the annual review cycle, meet with RPT candidates to review the RPT evaluation process and expectations
• Review candidate’s PAF, WPAF, and evaluations/recommendations from prior review levels, including any candidate response/rebuttal statements
• Complete and submit a separate review and recommendation to the Dean of Library Services on the appropriate AP109: Faculty Evaluation Form

**Responsibilities of the Dean of Library Services:** The Dean of Library Services oversees the peer review process at the Library level.

The Dean of Library Services responsibilities include:

• Review candidate’s PAF, WPAF, and evaluations/recommendations from prior review levels, including any candidate response/rebuttal statements
• Prepare a separate evaluation and recommendation on retention, promotion, tenure, and post-tenure peer review, and submit this to the candidate
• Meet with the candidate and the supervisor in the event the Dean of Library Services does not concur with the recommendation of the supervisor and review the reasons for disagreement
• Submit the candidate’s WPAF with the evaluations and recommendations to the Senior Vice Provost for Academic Programs & Planning, along with any response/rebuttal statements received from the candidate

**Responsibilities of the Senior Vice Provost, Academic Programs & Planning:** The Senior Vice Provost for Academic Programs & Planning oversees the peer review process at the division level.

The Senior Vice Provost for Academic Programs & Planning responsibilities include:

• Review candidate’s PAF, WPAF, and evaluations/recommendations from prior review levels, including any candidate response/rebuttal statements
• Prepare a separate evaluation and recommendation on retention, promotion, tenure, and post-tenure peer review, and submit this to the candidate
• Meet with the candidate and Dean of Library Services in the event the Senior Vice Provost for Academic Programs & Planning does not concur with the recommendation of the Dean of Library Services and review the reasons for disagreement
• Submit the candidate’s WPAF with the evaluations and recommendations to the President, along with any response/rebuttal statements received from the candidate

**10. Temporary Library Faculty Appointments, Policies and Procedures**
Individuals appointed as temporary librarians serve in non-probationary library faculty assignments. Temporary appointments automatically expire at the end of the period stated in the letter of offer and do not establish any further appointment rights. This policy covers the procedures for appointment, reappointment of Unit 3 faculty members serving in full or part-time temporary appointments. This policy also specifies and defines appropriate titles to be assigned to temporary faculty. The procedures provided in this policy are based on the provisions of the Cal Poly Faculty Handbook and Article 12.3-12.20 of the Collective Bargaining Agreement.

Full-time temporary appointments are generally used to replace a librarian on leave or to meet a temporary instructional or service need. Temporary appointments are also used to meet the service goals of the library when budget constraints in the library and/or university prohibit filling a probationary position. Temporary appointments in the latter circumstances are generally available for three years and may be extended.

**Definition**

All types of temporary appointments are distinct from probationary appointments and do not guarantee or imply the right to tenure or the eventuality of a probationary appointment.

Eligible persons initially appointed to temporary positions may apply for probationary appointment if available. Persons appointed to probationary positions may be granted one to two years of credit toward tenure for previous service.

**Initial and Subsequent Appointments**

Offers of appointment are to be made in writing by the Senior Vice Provost for Academic Programs & Planning. Official notification of appointment should include the start and termination date of the appointment, classification, time base, rank when appropriate, employee status, assigned department or team, and other conditions of employment. The notification shall also state that the appointment automatically expires at the end of the stated period and does not establish an entitlement or any special consideration for subsequent appointments or any further appointment rights.

Temporary librarians employed during the prior academic year and possessing six or more years of prior consecutive service on that campus shall be offered a three-year temporary appointment.

Temporary faculty holding three-year appointments shall be reappointed to a subsequent three-year appointment following an evaluation conducted pursuant to provisions 15.20(d) and 15.29, where there is a determination by the appropriate administrator that a temporary faculty unit employee has performed the duties of his/her position in a satisfactory manner; and absent documented serious conduct problems.
These temporary faculty will be reappointed after a three-year appointment unless there is insufficient work for which the faculty member is qualified. In the event there is insufficient work to support the reappointment at the previous time base, the time base of his/her successor three-year appointment may be reduced to reflect available work for which the temporary faculty member is qualified.

**Evaluation Criteria**

Within 14 days after the start of the quarter of appointment, supervisors provide temporary librarians with written notification of the evaluation criteria for all library faculty (see section 8 of this document) and procedures in effect at the time of their appointment. Librarians are to be advised of any changes to evaluation criteria and procedures prior to the commencement of the evaluation process.

**Personnel Files**

**Personnel Action File (PAF).** The PAF is the official permanent employment record of a faculty member and is kept in Library Administrative Services. Peer review committee members, the supervisor, Dean of Library Services, and Senior Vice Provost, Academic Programs & Planning must review and sign this file as part of their deliberations.

**Working Personnel Action File.** Temporary library faculty members undergoing periodic evaluation are responsible for compiling and submitting an annual Working Personnel Action File that includes the following:

- Table of contents or index
- Library Faculty Job Description
- Library Faculty Professional Development Plan(s)
- Current curriculum vitae
- Substantial narrative arranged according to the library's four evaluative criteria
- Supplementary evidence documenting the nature and quality of evaluative criteria

The Working Personnel Action File represents the candidate's accomplishments during the period of review. A well-organized and accurate file serves the interests of the candidate by making the information and materials on which the evaluation is based easily accessible to the reviewers.

It is the responsibility of the candidates to present clear, yet concise, evidence of their qualifications. Candidates are requested to submit materials in the binders supplied by Library Administrative Services.

Accomplishments may only be listed under one criterion and may not be repeated in others. The Working Personnel Action File for temporary librarian’s periodic
evaluation should emphasize the candidate’s performance and achievements since the librarian's last evaluation at Cal Poly, unless the temporary librarian is scheduled for a cumulative review for a 12.12 or 12.13 three-year appointment.

The periodic evaluation of temporary librarians is based on merit demonstrated in the four criteria: Professional Performance; Professional Growth and Scholarly Achievement; Campus and Community Service; and Other Factors. An elected peer review committee, the supervisor, Dean of Library Services, and Senior Vice Provost, Academic Programs & Planning evaluate the temporary faculty members annually. Periodic evaluations are undertaken to assess the faculty member's performance according to library criteria and to provide helpful information to the faculty member regarding performance expectations.

**Annual Periodic Evaluation Procedures for Temporary Librarians**
Temporary librarians undergo periodic evaluation for formative feedback. It does not include a personnel action or decision for reappointment. The reappointment decision is made outside of the periodic evaluation process.

The evaluation procedure is as follows:

- The probationary and tenured faculty members elect a peer review committee of tenured full-time faculty to evaluate and recommend individuals for temporary library faculty actions.
- Peer review committee evaluation reports are approved by a simple majority of the committee; minority reports are permitted.
- The results of these consultations are presented in writing and accompany the supervisor’s written evaluation to the Dean of Library Services.
- The Dean of Library Services and Senior Vice Provost, Academic Programs & Planning’s evaluations are added to the file.

The following provisions also apply to the evaluation procedures:

- Before an evaluation is forwarded to a subsequent review level, the faculty member under evaluation will be given a signed copy of the written evaluation.
- Within ten days following receipt of the evaluation, the candidate may submit a rebuttal statement or response in writing and/ or request a meeting be held to discuss the evaluation.
- A copy of the response or rebuttal statement will accompany the Working Personnel Action File and will also be sent to all participants in previous levels of review.
• Following the Dean of Library Services’ and Senior Vice Provost, Academic Programs & Planning’s review, copies of the completed Working Personnel Action File shall be forwarded to Library Administrative Services for inclusion in the PAF. Supporting documentation may be returned to the faculty member, as appropriate.

• All deliberations in the evaluation process are to be confidential. Written evaluations are also confidential and available only to the candidate, appropriate administrators, and peer review committee members are to have access to written evaluations.

• Part-time and visiting temporary library faculty members appointed for less than one year shall be evaluated at the discretion of the supervisor or other appropriate administrator. The employee may also request that an evaluation be performed.

Range Elevation
Range elevation to the next rank is not automatic. The temporary librarian can request advancement if they meet the range elevation eligibility requirement set forth in the collective bargaining agreement.

Range elevation shall be requested, or recommended, during the regular annual evaluation cycle. The peer review committee and the supervisor shall consider the range elevation request and make a recommendation to the Dean of Library Services and Senior Vice Provost, Academic Programs & Planning. The Senior Vice Provost, Academic Programs & Planning is the designee of the President in determining range elevations.

Procedures for range elevation on the salary schedules that have been previously established at each campus by the President, after recommendation by the appropriate Academic Senate Committee, shall continue in effect unless revised by the campus. Any such procedures that do not provide deadlines for the beginning of the review and the conclusion of the review shall be amended to include these deadlines. The range elevation salary increases shall be effective at the beginning of the first appointment in the academic year following the review.

Please refer to CBA Article 12 for more information.

11. Leave with Pay Policies and Procedures

Sabbatical Leave

Purpose: Sabbatical leaves are awarded to library faculty for purposes that benefit the California State University, such as research, scholarly and creative activity,
faculty retraining, or instructional improvement related to librarianship and/or information management.

**Eligibility:** Full-time faculty unit employees, except coaches, are eligible to apply for a sabbatical leave after completing six academic years of full-time service within the past seven years, or at least six years after a previous sabbatical or difference-in-pay leave. Credit granted towards the completion of the probationary period for service shall also apply towards fulfilling the eligibility requirement for a sabbatical. Because tenure is not a requirement, qualified lecturers and probationary faculty members may apply.

**Award:** Library faculty may request three months of leave at full salary, six months of leave at three-quarters full salary, or nine months of leave at half salary.

**Work Status:** A library faculty member on sabbatical leave shall be considered in work status and shall receive health, dental and appropriate fringe benefits provided by the California State University in the same manner as if they were not on sabbatical leave. Service credit for CalPers will be earned on a pro rate basis depending on the faculty member’s actual pay. A library faculty member on sabbatical leave shall be entitled to accrue sick leave, vacation, and service credit toward merit salary adjustment eligibility, eligibility toward promotion, if applicable, and seniority credit.

A library faculty member on sabbatical leave shall not accept additional and/or outside employment without prior approval of the Provost. A library faculty member granted a sabbatical leave may be required by the Provost to provide verification that the conditions of the leave were met. The statement of verification shall be provided to the Provost and the Library Professional Leave Committee.

A library faculty employee shall render service to the CSU upon return from a sabbatical leave at the rate of one month of service for each month of leave. Other provisions regarding sabbatical leaves are found in Article 27 of the Collective Bargaining Agreement.

**Difference-in-Pay Leave**

**Purpose:** Difference-in-Pay leaves are awarded to library faculty for purposes that provide a benefit to the California State University, such as research, scholarly and creative activity, instructional improvement or faculty retraining related to librarianship and/or information or knowledge management.

**Eligibility:** The initial eligibility requirement for a difference-in-pay leave is the same as above for sabbatical leaves (six years of full-time service within the past seven years). For a subsequent difference-in-pay leave, faculty unit employees
become eligible after serving full-time for three academic years following the last sabbatical or difference-in-pay leave.

**Award:** The salary for a difference-in-pay-leave for a librarian employee shall be the difference between the librarian employee's salary and the minimum salary of the lowest comparable time base librarian rank.

Other provisions regarding difference-in-pay leaves are found in Article 28 of the Collective Bargaining Agreement.

**Criteria for Awarding Librarian Sabbatical and Difference-in-Pay Leaves**

The criteria governing the award of sabbatical and difference-in-pay leave(s):

Leaves of absence with pay may be granted to faculty members for purposes of research, study, scholarly and creative activity, instructional improvement, retraining, service, or travel appropriate to their positions at the University. Criteria for award of leaves of absence include but are not limited to:

- Enhancement of the librarian's effectiveness and contributions to the library and campus
- Significance of the proposal in relation to current or emerging issues in the profession, the library, and/or the California State University.

**Sabbatical and Difference-in-Pay Leave Proposals**

Applicants for leave with pay are responsible for submitting proposals that are clear, compelling and complete according to the format outlined below. Applicants are encouraged to begin planning their leaves well in advance, consulting with the relevant supervisor, mentors, and other colleagues, so that the application for leave may be as well articulated as possible.

The library faculty member requesting paid leave is responsible for compiling and submitting a proposal that includes the following:

- Abstract of the proposal
- A detailed outline of the proposed plan of study, research, scholarly or creative activity, and clearly stated project outcomes that will benefit the University or CSU
- Current curriculum vitae and statement indicating the applicant's qualifications for the proposed project
- Statement regarding preparation for the leave evident in advanced study or research
- Statement of the urgency of the proposed leave and its benefit to the applicant, the library and Cal Poly
• Statement indicating resources required and requested of the library, university, or CSU, and
• Completion reports from prior leaves with pay, if any, and
• Supporting documentation, such as letters of recommendation, descriptions of university or other institutional programs sponsoring or assisting with the project, or other information that speaks to the relative merits of the proposal, as well as an annotated literature search indicating the need for the project, if appropriate.

The candidate for leave with pay submits the leave proposal to the appropriate supervisor. Following consultation with departmental faculty, the supervisor prepares and forwards a written statement to the Library Professional Leave Committee (LPLC) regarding the possible effect on the resources of the unit, should the librarian be granted leave with pay (CBA 27 and 28).

**Library Professional Leave Committee**
Committee Membership: All faculty librarians vote to elect at least two tenured librarians, who are not applying for leave with pay during the cycle, to a Library Professional Leave Committee.

Committee Chair: The committee chair must be a member of the LPLC and shall be elected by the members of the LPLC. The chair is responsible for forwarding all leave with pay applications and LPLC recommendations to the supervisor and Dean of Library Services.

Committee Functions and Guidelines:
• Review University leave with pay procedures and criteria.
• Review and/or recommend Library leave with pay procedures and criteria.
• Review all leave with pay applications and interview all applicants.
• The LPLC will provide a summary report to the Dean of Library Services that includes the following information for each applicant:
  • name
  • ranking within the sabbatical pool
  • department
  • recommendations of the LPLC
  • one paragraph abstract or summary
• Leave with pay applications that do not meet established University and Library guidelines should be given a negative recommendation.
• Recommend to the Dean of Library Services approval or denial of applications based on Library procedures and criteria.
• If more than one sabbatical leave proposal is being recommended, provide to the Dean of Library Services a rank-ordered list.
• The LPLC must clearly state in its report to the Dean of Library Services its reasons for recommending denial of an application.
• The LPLC will provide a summary report to the Dean of Library Services that includes the following information for each applicant:
  • name
  • ranking within the sabbatical pool
  • department
  • recommendations of the LPLC
  • one paragraph abstract or summary

The same evaluative criteria and procedures are applied to difference-in-pay leave requests as sabbatical leave proposals.

Postponement of an awarded leave from one academic year to a subsequent year may not be authorized. However, postponement of a leave from one quarter to another quarter within the same academic year is permitted if approved by the Dean, Senior Vice Provost and Provost, and will allow the librarian some flexibility between the time of the initial application and the commencement of the leave.
I have reviewed the subject document, approved by the Library Faculty September 13, 2017, and recommend approval.
To: Mary Pedersen, Senior Vice Provost  
   Academic Programs and Planning  
Date: September 15, 2017  

From: Kathleen Enz Finken  

Copies: Adriana Popescu  
       Al Liddicoat  

Subject: Library Faculty Handbook of Personnel Policies and Procedures  

The subject document, approved by the Library faculty in September 2017, is approved for immediate implementation. Please provide the Library faculty access to the document as soon as possible.