Library Faculty Handbook of Personnel Policies

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1. Preface

1.1. Summary

1.1.1. The prefatory materials in the document include a general statement of Kennedy Library’s vision and mission statements, along with Kennedy Library’s commitment to the Librarian-Scholar model. It states the hierarchy of policy in the CSU and includes a statement of the revision process for this document.

1.2. Vision Statement

1.2.1. The Robert E. Kennedy Library connects people and inspires learning.

1.3. Mission Statement

1.3.1. 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.

1.4. Librarian-Scholar Model

1.4.1. Kennedy Library embraces the Teacher-Scholar model in the specific mode of the Librarian-Scholar. 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 research, scholarship, and creative activities. The Librarian-Scholar Model includes, when possible, meaningful student engagement in faculty scholarly activity and inclusion of scholarship in teaching to create vibrant learning experiences for students. The personnel policies in this document promote the development of Librarian-Scholars.

1.5. Purpose and Scope of this Document

1.5.1. As per 1.5.5. of the University Faculty Personnel Policies document (UFPP) this document extends, develops, and applies university level policies in ways that are suited to Kennedy Library’s programs and activities. The faculty members of Kennedy Library have developed these policies, process guides, and criteria to clarify the application of campus and system policies, including the Collective Bargaining Agreement (CBA), which governs personnel actions and the UFPP. 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, the Provost, and the Vice Provost for Academic Affairs and Personnel. In cases of conflict, university policy and/or the Collective Bargaining Agreement shall prevail.

1.5.2. Useful external resources for guidance can be located at the Academic Personnel website. These include the Faculty (Unit 3-CFA) Collective Bargaining Agreement; University Faculty Personnel Policies; Procedure for Recruiting Tenure-Track Faculty; Leaves with Pay (Sabbatical and DIP); Retention, Promotion, and Tenure Memos.

1.6. Procedure for Updating Library Faculty Handbook of Personnel Policies

1.6.1. The Personnel Committee of the LFC is responsible for drafting changes to the Library Faculty Handbook of Personnel Policies, 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. Changes become effective no later than 14 days after the first day of instruction of the academic term, following approval by the Provost and the Vice Provost of Academic Affairs and Personnel.
2. Library Faculty Appointments

2.1. Summary

2.1.1. As per UFPP 2.5, this chapter provides Kennedy Library recruitment and appointment policies for faculty. Policies in this chapter refer to but do not include the more detailed hiring procedures maintained by Academic Personnel. Current University tenure-track recruitment procedures, as well as information about contract updates concerning academic appointments, are accessible at the Academic Personnel website. As per UFPP 2.1, this chapter includes specific hiring policies that go beyond university level policies, including statements of Kennedy Library’s specific criteria and requirements for library faculty appointments. This chapter also points to a helpful Library Appointments Process Guide, found in the appendices.

2.2. Library Tenure Track Recruitment

2.2.1. A search is initiated when the dean notifies the library faculty that the Provost has approved the start of a faculty search.

2.2.2. All Search Committee voting members shall be elected by blind ballot, as prescribed by current Library Faculty Council (LFC) procedures.

2.2.3. The Search Committee must elect a chair from the Search Committee, and the chair cannot also serve as the Employment Equity Facilitator (EEF).

2.2.4. The Search Committee must select an EEF who shall normally be a tenured faculty member and may not be the department chair/head, but who has completed EEF training in the last two years.

2.2.5. A faculty member serving in an administrative capacity as department chair/head may not serve on the committee. That faculty member may participate in screening and finalist interviews, but should submit a separate hiring recommendation to the dean.

2.2.6. All tenured and probationary library faculty not on sabbatical or leave are normally expected to serve on the Search Committee. Probationary faculty may serve with the permission of the dean, but may not serve as the Search Committee chair (CBA 12.22a). With the Dean’s permission, FERP faculty may serve on the Search Committee. Only if necessary, the library 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). The Search Committee shall elect a Screening Committee, which must consist of at least three full-time faculty members, to carry out the bulk of the recruitment duties. Both committees shall use procedures as determined by the University’s Procedure for Recruiting Tenure-Track Faculty, the UFPP, and any approved library recruitment policies and procedures.

2.2.7. The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. The search committee members and department chair/head shall review and sign the Personnel Action File for these candidates.

2.2.8. Library faculty recruitment candidates are subject to several levels of review before appointment: reports and rankings of: a) the Search Committee; b) the supervisors and or chair/department head; and c) the Dean of Library
Services. Final Reports are submitted to the Provost 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 Provost.

2.2.9. Advertising and Recruitment: Tenure-track positions must be advertised nationally. Academic Personnel will place an advertisement for all tenure-track searches in publications listed in documents on the Academic Personnel website. These advertisements meet the requirement to advertise the position nationally. Departments must also place all additional advertisements listed in the required recruitment plan. A minimum 30-day period is required between the latest of all ad publication dates (whether online or print) and the closing date or review begin date. For online advertising the 30 days is counted from the first day of appearance.

2.2.10. Applications for tenure-track faculty positions must be submitted to the university’s applicant tracking system. Applicants must submit a current CV, a cover letter, and names and contact information of at least three references. Unofficial transcripts may be requested at time of application; official transcripts are required for appointment. Additional materials, such as a cover letter, may be requested by the library. A list of standard application materials is included in Procedure for Recruiting Tenure-Track Faculty maintained and distributed by the Office of Academic Personnel.

2.2.11. For further details on the process and responsibilities of library faculty recruitments, refer to the Library Faculty Appointments Process Guide in the appendices.

2.3. Library Tenure-Track Qualifications

2.3.1. An American Library Association (ALA)-accredited MLIS or comparable experience with an advanced degree relevant to a specific recruitment shall be required for appointment to a library tenure-track position. All minimum degree requirements must be completed prior to the appointment start date.

2.3.2. The three tenure-track ranks of Senior Assistant Librarian, Associate Librarian, and Librarian have assigned specifications for relevant evidence of potential for excellence in the four basic criteria of Professional Performance, Professional Growth and Scholarly Activities, Service, and Other Factors of Consideration. The requirement for appointment at the Senior Assistant Librarian rank includes three years of relevant experience, and evidence of successful overall performance in each of the four basic criteria, with the clear potential for work worthy of promotion and tenure. The rank of Associate Librarian typically requires at least six years of relevant experience, evidence of successful performance in each of the four basic criteria, considerable professional achievement as a specialist in a given academic field or library function, and evidence for the potential of continued productivity at the Associate Librarian level at Kennedy Library and Cal Poly. The rank of Librarian requires at least ten years of relevant experience, evidence of outstanding performance in each of the four basic criteria, and evidence for the potential for continued productivity at the Librarian rank at Kennedy Library and Cal Poly.
2.3.3. Applicants for appointment with tenure shall normally be tenured professors or tenured librarians at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department (CBA 13.17).

2.4. Library Temporary Faculty Recruitment

2.4.1. 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. This policy covers the procedures for appointment and reappointment of Unit 3 faculty members serving in full or part-time library appointments. Full-time temporary appointments are generally used to replace a librarian on leave or to meet a temporary instructional service or 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.

2.4.2. Associate Dean or department chair/head makes the hiring recommendation to the dean who is the appointing authority responsible for approving and hiring temporary librarians. Department faculty may be involved in screening or vetting applicants for the part-time pools or by serving on search committees for full-time temporary recruitments.

2.4.3. Full-time temporary faculty librarian appointments require a search with a process similar that of tenure-track searches.

2.4.4. Advertisements need to be posted and the requisition must be open for a minimum of 30 days before review of applicants can begin.

2.4.5. Applications for full-time temporary librarian positions must be submitted to the university’s applicant tracking system. Applicants must submit a current CV, and names and contact information of at least three references. Unofficial transcripts may be requested at time of application; official transcripts are required for appointment. Additional materials, such as a cover letter, may be requested by the library.

2.4.6. Criteria for appointment for full-time temporary librarians are determined by the library according to the nature of the position. Initial appointment is for 1 academic year with a possible 1-year extension. Full-time librarian appointments are unconditional and their work assignment cannot be reduced once these appointments are made. The department must meet the entitlements of other temporary librarians listed in the order of assignment in article 12.29 of the CBA.

2.4.7. The library can recruit temporary, part-time librarians by creating a part-time librarian pool that allows candidates to apply for consideration for appointments throughout the academic year as needed to fill positions. Department chairs and library faculty may review qualifications of the applicants and make quarter-by-quarter appointments following the order of assignment in accordance with article 12.29 of the CBA. Applicants who have worked for the library and been evaluated should be given careful consideration according to article 12.7 of the CBA. Those who have had a
part-time assignment for all three quarters of an academic year and are appointed to work in the fall quarter of the following academic year shall be appointed with a one-year part-time entitlement per article 12.3 of the CBA.

2.4.8. Advertisements must to be posted and the temporary, part-time pool must be open for a minimum of 14 days before review of candidates can begin.

2.4.9. Applications for part-time librarian pools must be submitted to the university’s applicant tracking system. Applicants must submit a current CV, and names and contact information of at least three references. Unofficial transcripts may be requested at time of application; official transcripts are required for appointment. Additional materials, such as a cover letter, may be requested by the library.

2.4.10. Criteria for appointment are determined by the library according to the specific position to be filled and appointment is made at the rank of Assistant Librarian. Initial appointments for part-time pool librarians can be for 1, 2 or 3 quarters.

2.4.11. Offers of appointment are to be made in writing by the Provost. 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.

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

2.4.13. Temporary librarian 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 of the CBA, where there is a determination by the appropriate administrator that a temporary faculty unit employee has performed the duties of their position in a satisfactory manner; and absent documented serious conduct problems. These temporary library 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 their successor three-year appointment may be reduced to reflect available work for which the faculty member is qualified.

2.4.14. Within 14 days after the start of the appointment, supervisors provide temporary librarians with written notification of the evaluation criteria for all library faculty, and policies in effect at the time of their appointment. Temporary librarians are to be advised of any changes to evaluation criteria and procedures prior to the commencement of the evaluation process.

2.5. Library Appointments Process Guide

2.5.1. For further details on library appointment processes, refer to the Library Appointments Process Guide found in the appendices.
3. Personnel Files

3.1. Summary

3.1.1. This chapter presents the university-wide requirements and policies for the Personnel Action File (PAF) and Working Personnel Action File (WPAF), with limited augmentations clearly defining library-specific requirements, as per UFPP 3.3.1, 3.4.3, and 3.4.5.

3.2. Personnel Action File (PAF)

3.2.1. The Personnel Action File (PAF) is the one official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (CBA 11.1)

3.2.2. The Dean of Library Services or equivalent supervising administrator is the custodian of the PAF. Contents of the Personnel Action File stored in paper and/or electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file under the terms of the CBA. (CBA 11.1)

3.2.3. The library faculty applicant, peer review committee (PRC), the Associate Dean or the department chair/head, and Dean of Library Services must review and sign this file as a part of the review process.

3.2.4. Contents of the library faculty PAF include:
- Hiring materials/letters of appointment
- CV retained from WPAF
- Index retained from WPAF
- Professional Development Plan from WPAF
- Library Faculty Position Description(s)
- Performance and periodic evaluation reports (AP 109, dean and provost letters)
- Leaves/grants/awards reports
- Other personnel related material

3.3. Purpose of Working Personnel Action File (WPAF)

3.3.1. The WPAF is compiled by the applicant to support consideration for a periodic evaluation or performance review. During the time of periodic evaluation and performance review of a library faculty employee, the Working Personnel Action File (WPAF), which includes all information, materials, recommendations, responses and rebuttals, shall be incorporated by reference into the Personnel Action File. (CBA 11.8)

3.3.2. Contents of the WPAF stored in paper or electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file. All supporting materials in the WPAF should be referenced and clearly explained.

3.3.3. The WPAF for retention and tenure reviews shall cover the entire employment period at Cal Poly. The WPAF for promotion and librarian range elevation shall cover the period at rank or range at Cal Poly.
3.3.4. 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 (PRC) 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. The table of contents or index should be updated to reflect any material added to the file during the course of the evaluation cycle.

3.4. Contents of WPAF

3.4.1. Contents of Working Personnel Action File (WPAF) for library faculty include:
   - Table of Contents or Index
   - Library Faculty Position Description(s)
   - Current CV
   - Substantial narrative arranged according to the library’s four evaluative criteria
   - Supplementary evidence documenting the nature and quality of evaluative criteria
   - AP 109
   - For tenure requests, a minimum of five letters of recommendation from colleagues external to the library are required

3.4.2. Library faculty shall include a Professional Development Plan in the form of a written narrative as a guide to evaluators for understanding the candidate’s short and long-term goals and values as a librarian-scholar.

3.4.3. As per 3.4.5 of the UFPP, the appropriate evidence categories for library faculty, designated here as the library’s four evaluative criteria, are defined. The expectations for achievement are scaled to rank and type of appointment. Detailed expectations of criteria by rank and acceptable types of evidence are found in Chapter 7.

3.4.4. 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 commensurate with years of experience and academic rank.

3.4.5. Criteria 1: Professional Performance. 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. A high level of effectiveness in Professional Performance relative to rank is required for retention, promotion, tenure, and post-tenure review.

3.4.6. Criteria 2: Professional Growth and Scholarly Activities. 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. 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. For tenure-track faculty, a high level of achievement in Professional Growth and Scholarly Activities is required for retention, promotion, tenure, and successful post-tenure review.

3.4.7. **Criteria 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 field.

3.4.8. **Criteria 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.
4. Responsibilities in Library Faculty Evaluation Processes

4.1. Summary

4.1.1. Faculty evaluation processes have various definable functions that are common across the university, such as the roles of candidates undergoing evaluation, Peer Review Committees, Department Chair/Heads or Associate Deans, and administrators such as the Deans and the Provost. This chapter defines the responsibilities of these roles in library faculty evaluation, and points to a useful Process Guide for Library Faculty Evaluation, located in the appendices.

4.2. Candidates

4.2.1. Faculty subject to evaluation are candidates in the evaluation process. Candidates must provide a complete set of materials that includes evidence appropriate for the nature of the evaluation process and narrative reports pertinent to the purpose of the evaluation. (CBA 15.12)

4.2.2. While faculty scheduled for a mandatory review will be notified by the Library Administration, library faculty intending to be considered for promotion to associate librarian or librarian or early tenure must notify the dean in writing (email is acceptable). This notification shall also be copied to the department chair/head or Associate Dean.

4.2.3. Candidates under review must view their own Personnel Action File (PAF) according to access requirements prior to the commencement of an evaluation and sign the PAF Log.

4.2.4. Candidates must assemble and submit a Working Personnel Action File (WPAF) by the University established deadline for their evaluation process. For required library WPAF elements, see 3.4.1 of this document.

4.2.5. The ten days following the receipt of an evaluation report from any level of review comprises a rebuttal period during which the candidates may submit a written rebuttal or request to meet with the evaluator(s) to discuss the evaluation. (CBA 15.5)

4.2.6. For further detail regarding the candidate’s responsibilities and the nature of the documentation to be provided for evaluation, see the Process Guide for Library Faculty Evaluation, in the appendices.

4.3. Library Faculty Peer Review Committee (PRC)

4.3.1. For library faculty evaluation processes using a Peer Review Committee (PRC) (see Chapter 6), the initial level of review of the candidate is conducted by the PRC. Evaluation of tenure-track faculty shall commence with a PRC level of review. Temporary library faculty evaluation may commence with a PRC level of review, but shall commence with a PRC level of review when temporary faculty are appointed full-time for an entire academic year; or when temporary faculty who are appointed part-time for an entire academic year are in Year 6 of their evaluation cycle; or when temporary faculty are being considered for a 3-year appointment.

4.3.2. 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 probationary candidates for retention, tenure, and/or promotion, and for the purpose of post-tenure review for tenured librarians. The PRC members must have a higher rank than candidates being considered for promotion.

4.3.3. When there are insufficient eligible library faculty members to serve on the peer review committee, the candidate along with 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 Provost. When applicable a librarian will always serve as chair of the peer review committee.

4.3.4. At the discretion of the Dean of Library Services and the Provost, faculty participating in the Faculty Early Retirement Program (FERP) may also engage in deliberations and make recommendations regarding the evaluation of a library faculty. However, faculty committees established for this purpose may not be comprised solely of faculty participating in the Faculty Early Retirement Program. Approval shall be obtained from the Dean of Library Services to have faculty in FERP participate as an evaluator. (CBA 15.2) FERP faculty may decline to serve at their own discretion.

4.3.5. Faculty may serve on only one level of review (PRC, department chair/head). (CBA 15.29) Faculty unit employees being considered for promotion themselves are ineligible for service on promotion or tenure peer review committees (CBA 15.42). A potential PRC member with a clear conflict of interest with a faculty member scheduled for review should not stand as a candidate for that PRC.

4.3.6. All PRC members shall review both the PAF and the WPAF in a secure online environment. The PRC shall review any professional development plan and offer guidance to the candidate for any needed modifications to that plan. This feedback on the professional development plan is especially important in helping faculty develop a compelling record for eventual promotion. All deliberations of the PRC shall be confidential (CBA 15.10).

4.3.7. The PRC shall use forms provided by Academic Personnel for their evaluation report. This report shall critically analyze the evidence on each performance dimension (Professional Performance, Professional Growth and Scholarly Activities, Service, and Other Factors of Consideration), and offer any suggestions for improvement. The report shall clearly establish the basis for the conclusions of the report and how any recommendations resulted from the assessment of the evidence.

4.3.8. PRC evaluation recommendations shall be approved by a simple majority of the committee (CBA 15.45). The PRC shall vote for or against the proposed action (retention, promotion and/or tenure), or, under very rare circumstances, abstain. Abstentions require written explanation. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report.
4.3.9. The PRC shall submit to the subsequent levels of evaluation a ranking of those promotion applicants whom they positively recommended (CBA 15.44).

4.3.10. The PRC report shall be provided to the candidate at least 10 days before sending the evaluation to the department chair/head or Associate Dean. If the candidate requests a meeting concerning a rebuttal to the PRC report, the PRC shall meet with the candidate within the 10-day rebuttal period. The PRC shall review any written rebuttal with the option of revising the recommendation or correcting errors in the original report. No other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate.

4.3.11. This section 4.3 (4.3.1 - 4.3.9) complies with the UFPP 4.3.10 calling for the Library to specify the composition of its peer review committees.

4.4. Department Chair/Head or Associate Dean

4.4.1. Department chairs/heads or Associate Dean shall conduct their own separate level of review. For evaluation processes using a PRC, the Department chair/head or Associate Dean review shall follow the PRC review. For evaluation processes not using a PRC, the Department chair/head or Associate Dean level of review initiates the review process.

4.4.2. The department chair/head or Associate Dean shall review both the PAF and the WPAF, signing the logs in each file. The department chair/head or Associate Dean shall review any PRC evaluation. The department chair/head or Associate Dean shall review any rebuttal to the PRC evaluation from the candidate. The department chair/head or Associate Dean shall review any professional development plan and offer guidance to the candidate for any needed modifications to that plan. This feedback on the professional development plan is especially important in helping faculty develop a compelling record for eventual promotion.

4.4.3. Department chairs/heads or Associate Dean shall use forms provided by Academic Personnel for their evaluation report. This report shall critically analyze the evidence on each performance dimension (Professional Performance, Professional Growth and Scholarly Activities, Service, and Other Factors of Consideration), and offer any suggestions for improvement. The report shall clearly establish the basis for the conclusions of the report and how any recommendations resulted from the assessment of the evidence. The report from the chair/head shall be provided to the candidate at least 10 days before sending the evaluation to the dean.

4.4.4. If the candidate requests a meeting concerning a rebuttal to the department chair/head’s or Associate Dean’s report, the department chair/head or Associate Dean shall meet with the candidate within the 10-day rebuttal period. The department chair/head or Associate Dean shall review any written rebuttal with the option of revising the recommendation or correcting errors in the original report. No other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate. (CBA 15.5)
4.4.5. The department chair/head or Associate Dean may submit to the subsequent levels of evaluation a ranking of those promotion applicants whom they positively recommended (CBA 15.44).

4.5. Administrative Evaluators

4.5.1. For tenure-track library faculty the administrative evaluator is the Dean for Library Services. For temporary library faculty the Dean may designate an Associate Dean to serve as the final level of administrative evaluation.

4.5.2. The Dean of Library Services shall review both the PAF and WPAF, signing the logs in each file, as well as all previous levels of evaluation and any rebuttals submitted. The Dean of Library Services shall provide a separate written evaluation that shall be provided to the candidate at least 10 days before placing the evaluation in the faculty member’s PAF.

4.5.3. Candidates may request a meeting and/or submit a rebuttal to the administrative evaluator within the 10-day rebuttal period. The administrative evaluator shall review rebuttal material with the option of revising the recommendation or correcting errors in the original report; no other written response, other than acknowledgement of receipt of the rebuttal statement, shall be provided to the candidate.

4.5.4. Administrative evaluators shall submit to the Provost a ranking of those promotion applicants whom they positively recommended (CBA 15.44).

4.6. Provost

4.6.1. The Provost is the final level of administrative evaluation for evaluation processes that conclude with the personnel actions of retention, promotion, and/or tenure.

4.6.2. The Provost shall review the candidate’s PAF, WPAF and reports from all levels of evaluation for final evaluation for retention, promotion and/or tenure.

4.6.3. The Provost’s letter to the candidate constitutes the final decision on retention, promotion and/or tenure.
5. Library Faculty Evaluation Processes

5.1. Summary

5.1.1. This chapter declares which of the permissible evaluation sequences the library elects to use in library faculty evaluation. All possible sequences are defined in chapter 5 of the UFPP. Only those used by the library are listed here.

5.2. Tenure-Track Library Faculty Evaluation Processes

5.2.1. Library Faculty Periodic Evaluation

5.2.1.1. Library Faculty Periodic Evaluation is a periodic evaluation that provides feedback and guidance to the tenure-track library faculty member in support of future personnel actions.

5.2.1.2. Tenure-track Library Faculty Periodic Evaluation consists of the following levels of evaluation:

   - PRC
   - Department Chair/Head or Associate Dean
   - Dean of Library Services

5.2.2. Tenure-Track Library Faculty Performance Evaluation

5.2.2.1. Tenure-track Library Faculty Performance Evaluation results in retention, promotion, or tenure of tenure-track library faculty.

5.2.2.2. Tenure-track Library Faculty Performance Evaluation consists of the following levels of evaluation:

   - PRC
   - Department Chair/Head or Associate Dean
   - Dean of Library Services
   - Provost

5.3. Temporary Library Faculty Evaluation Processes

5.3.1. Two-Stage Part-Time Librarian Evaluation

5.3.1.1. Two-Stage Part-Time Librarian Evaluation provides feedback and guidance to the faculty member.

5.3.1.2. Two-Stage Part-Time Librarian Evaluation consists of the following levels of evaluation:

   - Department Chair/Head or Associate Dean
   - Dean

5.3.1.3. The library uses a Two-Stage Part-Time Librarian Evaluation for periodic evaluation of part-time librarians who are not 12.12 nor 12.13 eligible, whether they are appointed in all three terms of an academic year, or fewer than three terms.

5.3.2. Three-Stage Periodic Evaluation

5.3.2.1. Three-Stage Periodic Evaluation provides feedback and guidance to the faculty member in support of future personnel actions.

5.3.2.2. Three-Stage Periodic Evaluation consists of the following levels of evaluation:

   - PRC
   - Department Chair/Head or Associate Dean
   - Dean.
5.3.2.3. The library uses a Three-Stage Periodic Evaluation for full-time temporary librarian evaluation.

5.3.2.4. The library uses a Three-Stage Periodic Evaluation for part-time librarian evaluation for those who are eligible for 12.12 or 12.13 appointments.

5.3.2.5. The library employs Three-Stage Periodic Evaluation for librarian range elevation.

5.4. Exceptions
5.4.1. If the department chair/head is not a tenured faculty member or academic administrator, then this level of evaluation is skipped and the evaluation will move to the next level of review. (CBA 15.43)

5.4.2. If a conflict of interest exists between the faculty member under review and chair/head or administrator, such as close relationship, prejudice, bias, etc., the chair/head or administrator should withdraw from this level of evaluation and provide a written rationale for withdrawal.

5.4.3. Deans withdrawing from their level of evaluation may designate the Associate Dean to perform the duties of the dean’s level of evaluation.

5.5. University Evaluation Process Calendar
5.5.1. The office of Academic Personnel will publish the annual evaluation process calendar. This process calendar will provide the dates by which levels of review should be concluded.
6. Library Faculty Evaluation Cycle Patterns

6.1. Summary

6.1.1. Evaluation cycle patterns are multi-year sequences of annual evaluation processes leading to personnel actions. For instance, the sequence of annual evaluations that lead to retention, promotion, and tenure for tenure-line faculty comprise an evaluation cycle pattern, as does the sequence of lecturer or temporary librarian evaluations that lead towards a three-year contract or range elevation. This chapter lists the evaluation cycle patterns that the library chooses to use as best serving its needs and expectations.

6.2. Probationary Faculty Evaluation Patterns

6.2.1. Evaluation patterns for probationary faculty consist of a sequence of periodic and performance evaluations. The Library default is to employ Four-Stage reviews for periodic and performance evaluations for retention, promotion, and tenure. With organizational shifts, an extra layer of administrative review sometimes interposes between the Dean of Library Services and the Provost, creating a Five-Stage review.

6.2.2. The library elects to use the Annual Retention Pattern. This starts with a Periodic Evaluation in the first year of appointment and culminates in a four-stage performance review for promotion and tenure. From the second through the fifth year of appointment candidates undergo Performance Evaluation for retention to the next year. In the sixth year of appointment the candidate undergoes Promotion and Tenure evaluation.

6.2.3. The Annual Retention Pattern proceeds as follows for each year of appointment:

- Year 1: Periodic Evaluation
- Year 2: Retention to third year
- Year 3: Retention to fourth year
- Year 4: Retention to fifth year
- Year 5: Retention to sixth year
- Year 6: Promotion and Tenure

6.2.4. The annual retention pattern defined above is for faculty hired without service credit. The pattern provides a basis for the formulation of alternatives for faculty hired with service credit.

6.3. Post-Tenure Faculty Evaluation Pattern

6.3.1. A Three-Stage Periodic Evaluation of library faculty at any rank shall be conducted at least once every five years after promotion or appointment to their respective academic rank. Four-Stage performance evaluations for promotion shall serve in lieu of periodic evaluations at the request of the candidate.

6.3.2. More frequent periodic evaluation of a tenured library faculty may be conducted by request of the faculty member, the department chair/head or Associate Dean, or the Dean of Library Services. After such a request, the periodic evaluation shall be conducted as soon as possible.

6.3.3. A Three-Stage Periodic Evaluation may be conducted during the third year in which a tenured faculty employee has served in the academic rank of Associate Librarian. The purpose of the evaluation is formative and intended
to assist and guide the Associate Librarian in their preparation for subsequent promotion review.

6.3.4. Participants in the Faculty Early Retirement Program (FERP) shall not be required to undergo a periodic evaluation unless an evaluation is requested by either the FERP participant or the appropriate administrator (CBA 15.35).

6.4. **Temporary Librarian Evaluation Patterns**

6.4.1. Full-time temporary librarians appointed for the entire academic year that do not hold a three-year appointment with a 12.12 or 12.13 entitlement must be evaluated each year by a department PRC, the department chair/head or Associate Dean, and dean.

- Years 1–5: Three-Stage Periodic Evaluation (Annual)
- Year 6: Three-Stage Periodic Evaluation (6 year cumulative)

6.4.2. Part-time temporary librarians appointed for the entire academic year that do not hold a three-year appointment with a 12.12 or 12.13 entitlement must be evaluated each year by the department chair or Associate Dean, and dean. Tenured faculty members should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24).

- Years 1–5: Two or Three-Stage Periodic Evaluation (Annual)
- Year 6: Three-Stage Periodic Evaluation (6 year cumulative)

6.4.3. Full-time or part-time temporary librarians appointed for one or two academic quarters or a partial year for 12-month temporary faculty employees that do not hold a three-year appointment with a 12.12 or 12.13 entitlement may be evaluated at the discretion of the temporary faculty member, department chair/head or Associate Dean, or dean (CBA 15.25). These evaluations must include the department chair/head or associate dean, dean levels of review and may include a department PRC. Tenured faculty members not participating on the PRC should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24). If a temporary librarian’s evaluation may result in a 3-year appointment, a PRC will be required.

6.4.4. Full-time and part-time temporary librarians that hold a three-year appointment with a 12.12 or 12.13 entitlement must be evaluated at minimum in the third year of their three-year appointment. The temporary faculty member may be evaluated more frequently at the request of the temporary faculty member or dean (CBA 15.26).

- Year 3: Three-Stage Periodic Evaluation (Cumulative)

6.4.5. Part-time temporary librarians must be evaluated at least by the department chair/head or Associate Dean, and by the dean. The Year 3 evaluation shall be a Three-Stage Evaluation, including a PRC as well as department chair/head or Associate Dean and dean. Tenured faculty members should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24). Department and college personnel policies may require evaluation by a department PRC in addition to the department chair/head or Associate Dean and dean levels of review.

- Year 3: Three-Stage Periodic Evaluation (Cumulative)
6.4.6. Librarians eligible for range elevation must undergo at least a Three-Stage Periodic Evaluation. A Four-Stage Evaluation for librarian range elevation is permissible.
7. Personnel Action Eligibility and Criteria

7.1. Summary

7.1.1. This chapter covers the eligibility for personnel actions, which consist of retention, promotion, tenure for tenure-track faculty, and range elevation for temporary faculty. This chapter includes general principles from the UFPP, according to which the library here specifies the criteria warranting personnel actions. The library has expanded on the UFPP policies with its own criteria appropriate to the professional responsibilities of library faculty.

7.1.2. Chapter 7 established by Academic Senate Resolution AS-893-20.

7.1.3. 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.

7.1.4. 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 Professional Development Plan(s), in the context of their activities relative to rank.

7.1.5. This handbook provides expectations of criteria by rank in Chapters 8, 9, and 10, and candidates are to be evaluated rigorously at each rank according to the criteria for the relevant rank.

7.2. Retention, Promotion and Tenure of Tenure-Track Faculty

7.2.1. The quality of library faculty performance is the most important element to consider in evaluating individual achievement. The degree of evidence will vary in accordance with the academic position being sought by the applicant.

7.2.2. Recommendations for retention, promotion, and tenure of library faculty are based on the exhibition of merit and ability in each of the following areas:

- Professional performance
- Professional growth and scholarly activities
- Service
- Other factors of consideration

7.2.2.1. Professional performance is the primary and essential criterion for the evaluation of tenure-line library faculty; however it alone is not sufficient for retention, promotion, and tenure.

7.2.2.2. The granting of tenure requires stronger evidence of worthiness than retention, and promotion to Librarian requires a more rigorous application of criteria than promotion to Associate Librarian.

7.2.3. Professional Performance of Library Faculty

7.2.3.1. 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.

7.2.3.2. Evaluators shall consider such factors as furthering the objectives of the library and the University by cooperating with fellow librarians; applying
bibliographic techniques effectively to the acquisition, development, classification, and organization of library resources; initiating and carrying to conclusion projects within the library; demonstrating versatility, including the ability to work effectively in a range of library functions and subject areas; and supervisory and/or administrative abilities.

7.2.3.3. The library specifies in Chapter 8 how these factors enter into the evaluation of professional performance.

7.2.4. Professional Growth and Scholarly Activities
7.2.4.1. 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.

7.2.4.2. Evaluators shall consider such factors as the applicant’s educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, external validation, and peer review of scholarly and creative activities.

7.2.4.3. The library specifies in Chapter 9 how these factors enter into the evaluation of professional growth and scholarly achievement.

7.2.5. Service
7.2.5.1. 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.

7.2.5.2. 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.

7.2.5.3. 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.

7.2.5.4. 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.

7.2.5.5. Evaluators shall consider such factors as the applicant’s participation in co-curricular activities; membership of library, the Academic Senate and its committees, and University committees; individual assignments; systemwide assignments; and, service in community affairs directly related to the applicant’s professional and/or research areas as
distinguished from those contributions to more generalized community activities.

7.2.5.6. The library specifies in Chapter 10 how these factors enter into the evaluation of service.

7.3. **Retention Eligibility**

7.3.1. Performance reviews for the purpose of retention shall be in accordance with Articles 13 and 15 of the CBA.

7.3.2. It is the responsibility of applicants to provide sufficient evidence that they have fulfilled the Library’s four criteria for retention: professional performance, professional growth and scholarly activities; service; and other factors of consideration.

7.3.3. The normal probationary period is six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

7.3.4. Evaluation of probationary faculty involves a comprehensive assessment of performance during the entire probationary period with retention seen as leading to tenure.

7.3.5. Faculty who have not demonstrated the potential to achieve tenure should not be retained.

7.3.6. In the event of a non-retention decision, a probationary faculty employee who has served a minimum of three years of probation (including any credit for prior service) will be extended a terminal year of employment with no further appointment rights.

7.4. **Promotion Eligibility**

7.4.1. Promotion eligibility shall be governed by the terms of Article 14 of the CBA.

7.4.2. Promotion in rank is not automatic and is granted only in recognition of the professional performance as a librarian, professional growth and scholarly activities, and meritorious service during the period in rank. The application of criteria will be more rigorous for promotion to Librarian than to Associate Librarian.

7.4.3. Applicants for promotion to the academic rank of Librarian must be tenured or concurrently be granted tenure.

7.4.4. An application for promotion to Associate Librarian is considered normal if the applicant is eligible and both of the following conditions hold:

- The applicant is tenured or the applicant is also eligible for and applying for normal tenure.
- The applicant has completed at least the equivalent of four years in their academic rank at Cal Poly.

7.4.5. An application for promotion to Associate Librarian is considered “early” if one of the following conditions holds:

- The applicant is a probationary faculty employee who is not in their sixth probationary year and is not eligible for normal tenure.
- The applicant is a tenured faculty employee and has not satisfied the equivalent service requirements of at least four years in their academic rank at Cal Poly.
7.4.6. Early promotion will be granted only in exceptional cases. The circumstances and record of performance which make the case exceptional shall be fully documented by the applicant and validated by evaluators.

7.4.7. The fact that an applicant has reached the maximum salary in their academic rank or meets the performance criteria for promotion does not in itself constitute an exceptional case for early promotion.

7.4.8. 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.

7.4.9. 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.

7.4.10. 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.

7.5. Tenure Eligibility

7.5.1. Tenure eligibility shall be governed by the terms of Article 13 of the CBA.

7.5.2. Applicants for appointment with tenure shall normally be tenured librarians at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department. Possession of an MLS from an ALA-accredited institution, or relevant advanced degree, is required for tenure.

7.5.3. Normal tenure is for applicants who have accrued credit for six academic years of fulltime probationary service (including any credit for prior service granted at the time of appointment).

7.5.4. Early tenure is for applicants who have not yet achieved credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment). 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.

7.6. Tenure Criteria

7.6.1. Tenure represents the University’s long-term commitment to a faculty employee and is only granted when there is strong evidence that the individual who, by reason of their excellent performance and promise of long-range contribution as a librarian-scholar to the educational purpose of the institution, is deemed worthy of this important commitment. Tenure means the right of a faculty employee to continue at Cal Poly unless
7.6.2. Tenure decisions are considered more critical to the University than promotion decisions.
7.6.3. An applicant who does not have the potential for promotion to Associate Librarian and Librarian should not be granted tenure.
7.6.4. Retention is not a guarantee of tenure.
7.6.5. Tenure is not a guarantee of promotion.
7.6.6. Early promotion is not a guarantee of tenure.
7.6.7. An applicant for tenure must at least fully meet the requirements of their assignment and be making a valuable contribution to the university according to library criteria for tenure in each of the following performance areas: professional performance, professional growth and scholarly activities, service, and other factors of consideration.
7.6.8. An applicant for early tenure must meet library criteria for normal tenure and provide evidence of exceptional performance in each of the following performance areas: professional performance, professional growth and scholarly activities, service, and other factors of consideration.
7.6.9. An applicant for early tenure should, at a minimum, receive a favorable majority vote from the library peer review committee.
7.6.10. 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.

7.7. Temporary Librarian Range Elevation Eligibility and Criteria

7.7.1. Policies for temporary librarian range elevation are governed by CBA 12, and the memo “Amendments to the Range Elevation Procedures 2016” negotiated between the CSU and CFA. Cal Poly requirements about the library establishing their own lecturer range elevation criteria were established by AS-538-00/FAC, which is superseded by UFPP.
7.7.2. The university shall notify temporary librarian faculty in a timely manner of their eligibility to be considered for range elevation.
7.7.3. Temporary librarian faculty members shall submit requests to be elevated to a higher range according to the university timeline accompanying the notification of eligibility. Faculty members shall document the reasons for which they believe that they should be elevated in the materials submitted in their WPAF according to the library criteria for temporary librarian range elevation as outlined in Chapters 8 and 10.
8. Evaluation of Professional Performance

8.1. Summary

8.1.1. This chapter includes general requirements and guiding principles for how the evaluation of professional services for library faculty should be conducted by evaluating bodies. The library has expanded on the general UFPP requirements and has applied its principles to offer concrete guidance and clear expectations for how professional performance should be evaluated.

8.1.2. University academic personnel policies are established by shared governance and included in “University Faculty Personnel Policies” (UFPP). Chapter 8 of the UFPP remains in draft form at the time of this Handbook’s approval. Once Chapter 8 has been finalized and passed by Academic Senate, the library shall update this chapter of its Handbook to conform with the finalized chapter, and shall cite in this section the foundational Senate action which establishes the chapter.

8.2. Evaluation of Professional Performance for Library Faculty

8.2.1. 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.

8.2.2. 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.

8.2.3. 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.

8.2.4. The **Librarian** 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.

8.3. **Evaluation of Professional Performance for Temporary Librarians for Range Elevation**

8.3.1. Temporary librarians should strive for excellence in effectiveness in the performance of their academic library assignment and there should be evidence of reasonable attainment of this goal. Such excellence in effectiveness is demonstrated through the ability to work effectively in a range of library functions and subject areas, and the development of a degree of special expertise, which is sought after by library, campus and professional colleagues. Academic standards consistent with the mission of the library and University are expected as are approaches that encourages student engagement and success.
9. Evaluation of Professional Growth and Scholarly Activities

9.1. Summary

9.1.1. This chapter includes general requirements for how evaluation of professional development should be conducted by evaluating bodies. The function of the professional development plan is the central concern of this chapter, both as constructed by the candidate and as assessed by evaluating bodies so as to guide the candidate towards the next personnel action.

9.1.2. University academic personnel policies are established by shared governance and included in “University Faculty Personnel Policies” (UFPP). Chapter 9 of the UFPP remains in draft form at the time of this Handbook’s approval. Once Chapter 9 has been finalized and passed by Academic Senate, the library shall update this chapter of its Handbook to conform with the finalized chapter, and shall cite in this section the foundational Senate action which establishes the chapter.

9.2. Evaluation of Professional Growth and Scholarly Activities for Library Faculty

9.2.1. 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

9.2.2. The Assistant Librarian is a member of appropriate professional organizations and attends relevant meetings, conference, seminars and workshops; actively participates in professional interest groups, roundtables, and committees; begins to acquire subject expertise in areas that contribute to the library’s knowledge base, collections, and services; and begins to participate in research, scholarly, and creative activities that have the potential for external validation.

9.2.3. The Senior Assistant Librarian possesses an active record of professional growth and scholarly achievement. Librarians at this rank 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.

9.2.4. The Associate Librarian possesses 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.

9.2.5. The Librarian possesses 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.

9.3. Evaluation of Professional Growth and Scholarly Activities for Temporary Librarians for Range Elevation

9.3.1. If professional development is expressly part of the temporary librarian’s work assignment, a documented and continuing professional development program, which can take on many forms, normally is required for advancement.
10. Evaluation of Service and Other Factors of Consideration

10.1. Summary

10.1.1. This chapter includes general requirements for how the evaluation of service should be conducted by evaluating bodies. Colleges and departments should augment the university expectations to establish expectations about service appropriate to various faculty assignments and ranks.

10.1.2. University academic personnel policies are established by shared governance and included in “University Faculty Personnel Policies” (UFPP). Chapter 10 of the UFPP remains in draft form at the time of this Handbook’s approval. Once Chapter 10 has been finalized and passed by Academic Senate, the library shall update this chapter of its Handbook to conform with the finalized chapter, and shall cite in this section the foundational Senate action which establishes the chapter.

10.2. Evaluation of Service for Library Faculty

10.2.1. The Assistant Librarian 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.

10.2.2. 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.

10.2.3. 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.

10.2.4. 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.

10.3. Other Factors of Consideration for Library Faculty

10.3.1. 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.

10.3.2. For the Assistant Librarian, consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability.

10.3.3. For the Senior Assistant Librarian, consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability. The Senior Assistant Librarian 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.

10.3.4. For the Associate Librarian, consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues); initiative; cooperativeness; and dependability. The Associate Librarian demonstrates that their professional interactions and relationships have become increasingly meaningful and productive, and these interactions move beyond the library.

10.3.5. 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.

10.4. Evaluation of Service for Temporary Librarians for Range Elevation

10.4.1. If appropriate to a temporary librarian’s specific work assignment, active and productive service strengthens a temporary librarian’s case for advancement.
11. Governance

[RESERVED FOR FUTURE USE]

11.1. Summary

11.1.1. This chapter sets university level expectations for the definition of academic program governance at the library level. This chapter will include definitions of library leadership as “chairs” or “heads” and university level requirements for defining any changes between those models of library leadership. This chapter also includes university-level policies concerning library recommendations to the dean for the appointment of department chairs. Other documents, referenced in the appendix of this document, articulate other policies about the library’s governance, including committees within the library.

11.1.2. [CITATION OF FOUNDATIONAL SENATE ACTION].

11.2. [Reserved] Guiding Principles

11.3. [Reserved] College Governance

11.4. [Reserved] Department Governance

11.5. Associate Dean Appointments

11.5.1. Subchapter 11.5 established by Academic Senate Resolution AS-884-19.

11.5.2. Appointment of associate deans is governed by the MPP (Management Personnel Program) policies of the CSU and state law.

11.5.3. The appointment of associate deans in the colleges or library shall involve a consultative process with faculty and staff.

11.5.4. Colleges and the library shall specify in their personnel policy documents the nature of the consultation with faculty and staff for standard appointments of associate deans.* *[Such specification to be addressed in the next update of the Library Faculty Handbook]
12. Workload

12.1. Summary

12.1.1. This chapter includes policies covering various aspects of faculty workload, including office hours, assigned time, Summer and Extended Education teaching, FERP or PRTB workload.

12.2. Office hours

12.2.1. Subchapter 12.2 established by AS-886-20. This policy supersedes the previous university policy on office hours originally in CAM 370.2.

12.2.2. Library faculty with instructional assignments as instructors of record for credit bearing courses shall follow the campus policy for office hours as delineated in Chapter 12 of the current UFPP.

12.3. [Reserved] Assigned Time for Exceptional Levels of Service to Students

12.4. Sabbatical Leave Eligibility

12.4.1. Chapter 12.4 was established by Academic Senate Resolution AS-908-21.

12.4.2. Sabbatical and difference-in-pay leaves are intended to provide a benefit to the university through research, scholarly and creative activity, instructional improvement, or faculty retraining.

12.4.3. Deans or appropriate administrators are responsible for notifying eligible faculty and advising them of the application deadline.

12.4.4. Sabbatical Leave Eligibility

12.4.4.1. Library faculty unit employees are eligible to take an approved 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. Service credit granted towards the completion of the probationary period for tenure-track faculty shall also apply towards fulfilling the eligibility requirement for a sabbatical.

12.4.4.2. Current 12-month library faculty who are granted leave with pay may remain in 12-month status for the duration of the approved leave. Eligible 12-month faculty unit employees may apply for a sabbatical leave of 3 months in length at full pay, 6 months at 75% pay, or 9 months at 50% pay. The start date of a sabbatical leave for a 12-month faculty employee with instructional responsibilities shall coincide with the start date of the appropriate academic term.

12.4.4.3. Faculty employees serving as department chair/head (class codes 2481 or 2482) shall be assigned to the equivalent instructional faculty classification (2360 or 2361) for the duration of the sabbatical, and will not receive the department chair/head stipend while on sabbatical leave.

12.4.4.4. Grant-related instructional faculty (GRIF) must be converted to instructional faculty classifications for the duration of leave.

12.4.5. Difference-in-Pay Leave Eligibility

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

12.4.6. Sabbatical and DIP leave applications must include clearly stated outcomes that benefit the university or CSU. It is critically important that those involved in reviewing leave applications recommend approval only of those applications that satisfy library and university criteria and meet the requirements of Articles 27.5-27.7 and 28.7-28.9 of the CBA.

12.4.7. Criteria governing the award of sabbatical and difference-in-pay leave(s):
   - 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.

12.4.8. Sabbatical and Difference-in-Pay Leave Proposals

12.4.8.1. 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.

12.4.8.2. 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.

12.4.9. Associate Dean or Department Chair/Head Recommendations

12.4.9.1. After reviewing the applicant’s leave proposal, the Associate Dean or department chairs/head shall prepare a written statement regarding the possible effect on the resources of the library unit, should the librarian be
granted leave with pay (CBA 27 and 28). This statement shall be forwarded to the Library Professional Leave Committee (LPLC).

12.4.9.2. If an applicant is the current Associate Dean or department chair/head, the dean shall make the equivalent recommendation.

12.4.10. Library Professional Leave Committees (LPLC)

12.4.10.1. The library shall convene a Library Professional Leave Committees (LPLC). All faculty librarians vote to elect at least two tenured librarians to the LPLC. As per CBA 27.5, LPLC members shall be composed of tenured faculty who are not applying for a sabbatical or DIP leave.

12.4.10.2. The LPLC 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 Associate Dean or department chair/head and Dean of Library of Services.

12.4.10.3. The LPLC shall review its leave applications to form recommendations to the dean or appropriate administrator based on the quality of the proposals. The LPLC shall conduct interviews of applicants as part of their formal application review process.

12.4.10.4. The LPLC shall rank order all recommended sabbatical leave applications, and separately rank order any DIP leave applications under the scope of its review. After the review, the LPLC will provide a summary report to the Dean, which will include the following information for each applicant: 1) name, 2) ranking within the sabbatical pool, 3) department, 4) recommendations of the LPLC, 5) and a one paragraph abstract or summary. The LPLC report shall clearly state to the dean or appropriate administrator the impact of the interviews on the rank ordering of leave applicants and the reasons for recommending denial of an application, and this report should be forwarded to the dean or appropriate administrator along with the leave applications.

12.4.10.5. Leave with pay applications that do not meet established University and Library guidelines should be given a negative recommendation.

12.4.10.6. Other LPLC functions and guidelines include:
- Review University leave with pay procedures and criteria.
- Review and/or recommend Library leave with pay procedures and criteria.

12.4.11. Dean Recommendations

12.4.11.1. The Dean of Library Services shall review all sabbatical and DIP leave applications in the library and make recommendations to the provost.

12.4.11.2. Deans shall consider at least the following points when making recommendations for sabbatical and DIP leaves:
- Benefit of the leave to the university
- Merit of the proposal
- Recommendations of the prior levels of review
- Program needs
- Campus budget implications.

12.4.11.3. Deans should be aware that faculty members from small departments should not be disadvantaged from obtaining a sabbatical or DIP leave.
12.4.11.4. Deans shall verify that post-leave reports have been completed for all previous sabbatical and DIP leaves prior to recommending approval.

12.4.11.5. Deans shall rank order all sabbatical leave applications that are being recommended (including all three-, six- and nine-month sabbatical applications). Deans shall separately rank order all DIP leave applications that are being recommended.

12.4.12. **Provost Decision**

12.4.12.1. The Provost is the final level of administrative evaluation for sabbatical and DIP leave.

12.4.12.2. The Provost shall review the candidate’s materials and reports from all levels of evaluation.

12.4.12.3. The Provost’s letter to the candidate constitutes the final decision on sabbatical and DIP leave.

12.4.13. A copy of the completed leave application form with all appropriate signatures and a copy of the leave abstract and detailed leave proposal shall be placed into the candidate’s Personnel Action File (PAF).

12.4.14. Leave recipients shall submit a post-leave report to the Dean of Library Services or appropriate administrator (with a copy to the department chair/head) within two months of their return from leave. The Dean of Library Services or appropriate administrator is responsible for requesting and ensuring that the required post-leave report is obtained from each faculty member who took sabbatical or DIP leave upon the faculty member’s return to teaching. Upon receipt, the post-leave report shall be filed in the faculty member’s PAF.

12.4.15. 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 rata 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.

12.4.16. Following the conclusion of faculty sabbatical or DIP leaves, the CBA articles 27 and 28 require recipients to return service to the CSU equivalent to the period of leave taken. Faculty who fail to return to Cal Poly employment will be required to repay the university for the amount of salary and benefits earned for the duration of their leave.
13. Appendices

13.1. Glossary

13.1.1. [CITATION OF FOUNDATIONAL SENATE ACTION]

13.1.2. [Reserved for future use]
To: Adriana Popescu, Dean
Library Services

From: Cynthia Jackson-Elmoore, Ph.D.
Provost and Executive Vice President

Subject: Library Faculty Handbook of Personnel Policies

Date: September 2, 2021

Copies: Al Liddicoat
Kathryn Rummell

The subject document, approved by the Library faculty in June 2021, is approved for immediate implementation. Please provide the Library faculty access to the document as soon as possible.