LIBRARY FACULTY HANDBOOK

OF PERSONNEL POLICIES AND PROCEDURES

California Polytechnic State University
San Luis Obispo

Approved by the Library Faculty
23 September 2013

Approved by the Provost and Executive Vice President for Academic Affairs
25 September 2013
# TABLE OF CONTENTS

I. INTRODUCTION .................................................................................................................. 3

II. LIBRARIAN-SCHOLAR MODEL ..................................................................................... 4

III. RECRUITMENT OF PROBATIONARY LIBRARY FACULTY ........................................... 6

IV. EVALUATION CRITERIA BY RANK ............................................................................. 7

V. TEMPORARY LIBRARY FACULTY ................................................................................. 15

VI. LIBRARY FACULTY PROFESSIONAL DEVELOPMENT PLAN ...................................... 19

VII. MENTORING OF CANDIDATES FOR PERSONNEL ACTIONS ..................................... 20

VIII. EVALUATION CRITERIA ............................................................................................. 22

IX. PROCEDURES FOR RETENTION, PROMOTION, TENURE AND PEER POST TENURE REVIEW ........................................................................................................... 26

X. LEAVE WITH PAY POLICIES AND PROCEDURES ..................................................... 36
I. INTRODUCTION

The Kennedy Library supports Cal Poly’s mission by promoting open and informed inquiry, fostering collaboration and innovation, supporting the unique needs of every student and scholar at Cal Poly, and contributing to the cultural life of San Luis Obispo. In support of its mission, the library selects and delivers quality information in all formats, provides active learning environments, promotes the skills that are needed for student success, and collects and preserves unique collections.

Kennedy Library is committed to providing and promoting a collaborative, user-driven culture that supports innovation and experimentation in the face of continuous change both in higher education and in academic libraries. Our service to Cal Poly reflects the strong emphasis of our community on engaged and interactive learning (Learn by Doing), and our shared commitments to inclusive excellence, service, and community. All elements and standards of library faculty performance review recognize and reflect Cal Poly’s mission and strategic imperatives.

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), governing personnel actions. The shared goal of the LFC and library managers is to support the success both of the library faculty, and of the library’s services and programs, in order to help Cal Poly fulfill its mission.

This handbook provides discipline- and organization-specific guidance and clarification, and is developed collaboratively by the LFC, with and subject to the review and approval of the University Librarian, as well as the VP for Information Services and the Provost. In cases of conflict, campus policies or the CBA prevail.

The Personnel Committee of the LFC is responsible for drafting changes in the Handbook, and changes must be approved by a majority of probationary and tenured library faculty, before being reviewed and approved by the University Librarian for campus approvals. Changes become effective September 1 of each year, following approval by the VP for Information Services and the Provost.

The following resources provide additional information:

**Campus Administrative Policies (CAP)**
http://policy.calpoly.edu/index.htm

**University Personnel Action Procedures and Criteria (UPAPC)**
http://www.academic-personnel.calpoly.edu/PoliciesProcedures.html

**Unit 3 Collective Bargaining Agreement (CBA)**
http://www.calstate.edu/laborrel/contracts_html/current_cba.shtml

**Academic Personnel**
http://www.academic-personnel.calpoly.edu/
II. Librarian-Scholar Model

**Faculty Status:** Librarians have faculty status within the university and the union, but their roles and responsibilities differ in meaningful ways from teaching faculty in the colleges. While teaching faculty are evaluated primarily by their contributions to teaching and scholarship, librarians are evaluated primarily on their contributions to the campus community through the library and its programs. The quality of these contributions depends on continued engagement in our profession through research and scholarship, and participation in the communities of which we are a part. The changing goals and priorities of the library, and the community it serves, are reflected in the changing responsibilities and contributions of faculty librarians.

**Shared and Distinctive Roles:** The university library plays a critical role in the success of students and faculty. Librarians have a unique role within the university faculty, as well as sharing the fundamental teaching and scholarly roles common to all faculty. Individual librarian roles also vary widely due to factors that stem from the nature of our discipline and practice, particularly the library’s university-wide and community role and its service responsibilities; as well as local factors, such as the number of library faculty, and the programs and priorities of the library.

**Multiple and Changing Roles:** Librarians perform multifaceted roles both within the library and in the university. It is not unusual for librarian responsibilities to include multiple, and changing, roles. These frequently include selecting, evaluating, and providing access to information resources that support research and learning; and advising and supporting student and faculty in their use of information resources. In addition, librarians may serve as program managers, supervisors (of other staff, other librarians, or students), technology project leaders, and instructors of record. Many are involved directly in community outreach and communication and program assessment. Many provide expert consultative services in areas such as digital scholarship or data management planning.

The diversity of librarian strengths, interests, and abilities as well as their responsibilities, is encouraged at Kennedy Library, and seen as a source of resilience and strength that advances the library’s programs, while supporting career and professional growth by providing opportunities to gain experience with both depth and breadth despite the small size of our library faculty.

**Responsibilities:** The Cal Poly librarian-scholar is characterized by a broad range of responsibilities, activities, and values, centered on the symbiotic interweaving of praxis and scholarship. The outcomes of this relationship comprise quantitative and qualitative scholarly value, benefitting the academic health of the Kennedy Library, the university, the library profession, and the scholarly community. As such, the librarians’ professional work supports the development of deeper and more widespread expertise through a lively and evolving combination of service and communication methods.

Professional librarianship is inherently a community of practice. The Cal Poly librarian-scholar supports the intellectual, teaching, learning, and research needs of the campus and beyond through a broad range of pursuits. The responsibilities of librarian-scholars are dynamic and evolving, and support the vision, mission, goals, and strategic initiatives of the Robert E. Kennedy Library and the university. Librarian-scholars meet this charge through collaborative efforts both within the library and across campus, as well as unique, individual contributions and initiatives. It is important to the quality of library services and to the efforts of librarians to disseminate their scholarship, and to demonstrate their staying abreast of and applying the latest trends and knowledge in their areas of expertise.
The research and scholarship of librarians should be born from their practice and related intellectual and creative pursuits. Cal Poly librarian-scholars value research and scholarship as a vital aspect of professional development and a means of contributing to the profession. Librarian-scholars are committed to a program of continual intellectual growth that is informed through practice and experience, in essence promoting the scholarship of discovery, integration and application. Librarian-scholars share their research through appropriate, meaningful, and measurable avenues of external validation in its many forms. Research may be derived from relevant individual interests, library programming, committee involvement or other initiatives to inform the greater community; while practice may conversely be informed by local collaborations or new trends in the field. This is where scholarship and practice ultimately inform each other.

Librarian-scholars, particularly those with advanced training in other disciplines, may achieve insight into the research and disciplinary practices of scholarly communities outside librarianship, through research, publishing, and service in those communities. While not a primary focus of research and scholarship for librarians at an institution such as Cal Poly, active participation and contributions to disciplinary scholarship is a valued contribution to the practice and scholarship of libraries, and is a potential source of interdisciplinary discovery and problem-solving.

External Validation. External validation is an appropriate way to improve and authenticate the quality of research, scholarship or creative activities (RSCA). External validation assures that scholars actively engage in a continuous dialogue between informal networks, semi-formal venues, and more formal modes (where, for example, an editorial board agrees that the ideas are worthy of wide dissemination). Examples of external validation of the quality of library scholarship include:

- Publication of RSCA in refereed journals, with consideration of significance, quality, and quantity of publication;
- Presentation and posters of RSCA in refereed regional, national, and international conferences;
- Publication of review articles, chapters, books and/or publications, vetted through an editorial process.
- Success in developing competitive extramural research support as the principal or co-principal investigator of external, peer-reviewed, funded research projects
- Other external validation that document originality, independence, leadership, and continuing productivity in progressive, significant, and sustained RSCA.
III. RECRUITMENT OF PROBATIONARY LIBRARY FACULTY

Recruitment Process

The University Librarian directs the searches for library faculty positions. Successful recruitment efforts are by nature collegial and the library’s administrative policies and procedures encourage communication and cooperation between administrators and faculty throughout the recruitment process.

Composition of the Search Committee

Search committees for library faculty positions are composed of three probationary or tenured librarians and may be supplemented by additional non-voting members. The University Librarian must approve probationary librarians serving as voting members of the search committee.

The supervisor of the new position typically chairs the committee and is appointed by the University Librarian. Three elected librarians serve on a probationary librarian search committee. If the supervisor is a member of the library faculty, then all full-time librarians vote for two probationary or tenured librarians by secret ballot. If the supervisor is not a member of the library faculty, then all full-time librarians vote for three probationary or tenured librarians by secret ballot.

All members of the Library Faculty Council are eligible to vote for search committee members, but only probationary or tenured librarians are eligible to serve on the search committee. The University Librarian makes all other appointments to the search committee, including the Employment Equity Facilitator (EEF). The role of the EEF is to ensure that the selection process is a careful, thorough, and systematic consideration of the job qualifications of each applicant, and that the selection is based on valid job-related criteria.

The committee chair may consult with the University Librarian regarding likely candidates, interview questions, schedule, and other issues.
IV. EVALUATION CRITERIA BY RANK

Introduction

The candidate's preparation for appointment to the library faculty is based upon a master’s degree from an ALA-accredited library school or the requisite years of professional academic experience. The library subscribes to the professional standards delineated in the Association of College and Research Libraries’ *Model Statement of Criteria and Procedures for Appointment, Promotion in Academic Rank, and Tenure for College and University Librarians*, which states, “The basic quality, which must be evident for promotion in academic rank, is the ability to perform at a high professional level in areas that contribute to the educational mission of the institution.”

Assistant Librarian

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<th>Action</th>
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<tr>
<td>Appointment:</td>
<td>ALA-accredited MLS, or comparable academic library experience with relevant advanced degree</td>
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| Retention, Promotion: | Professional Performance  
|                 | Professional Growth and Scholarly Achievement  
|                 | Campus and Community 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 Achievement; Campus and Community Service; and Other Factors of Consideration.

The Assistant Librarian shall also complete an annual professional development plan in consultation with the supervisor that includes strategies for advancing in rank. The library faculty member may also wish 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. S/he 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 to conclusion projects within the library.

2. Professional Growth and Scholarly Accomplishment:

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; and begin to acquire subject expertise in areas that contribute to the library’s knowledge base, collections, and services.

3. Campus and Community Service:

At this level, the candidate acquires an understanding of campus governance and higher education issues; is appointed, elected or volunteers to serve on university committees and/or community organizations.

4. Other Factors of Consideration:

Library faculty members at this rank demonstrate collegiality, professionalism and successful interaction with coworkers. The candidate contributes to a positive workplace environment through constructive resolution of issues and demonstrates the ability to work effectively as part of a team.
Senior Assistant Librarian

**Action**

**Criteria**

Appointment:
- ALA-accredited MLS, or comparable academic library experience with relevant advanced degree
- Professional Growth and Scholarly Achievement
- Three to five years of relevant library experience

Retention, Tenure, Post-Tenure, Promotion:
- Professional Performance
- Professional Growth and Scholarly Achievement
- Campus and Community 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 more 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. Promotion to this rank shall require evidence of significant professional, scholarly, and service contributions to the library and/or the university.

Both reappointment and promotion to this rank shall require evidence of substantial and effective performance all four evaluative criteria.

The Senior Assistant Librarian shall also complete an annual professional development plan in consultation with the supervisor that includes strategies for advancing in rank. The library faculty member may also wish 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 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. Typically, 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 Accomplishment:**

   Library faculty members at this rank possess an active record of professional growth and scholarly achievement that includes productive membership in appropriate professional organizations at the
state and national level. The Senior Assistant Librarian distills insights gained in professional meetings into workable ideas that benefit the Library. The Senior Assistant Librarian creates knowledge in areas that contribute to the library’s knowledge base and presents the results of this work at professional meetings and in the literature. The Senior Assistant Librarian holds office in and/or leads professional interest groups, roundtables, and committees; and plans and conducts workshops on library issues for colleagues. Librarians at this rank continue formal and informal study in professional and subject fields.

3. Campus and Community Service:

   The Senior Assistant Librarian actively participates through election, appointment or volunteer service on university and/or CSU committees or assignments; contributes to academic governance; advises student committees and clubs; and may serve in community organizations in areas relating to the profession.

4. Other Factors of Consideration:

   Library faculty members at this rank demonstrate collegiality, professionalism and successful interaction with coworkers. The candidate contributes to a positive workplace environment through constructive resolution of issues and demonstrates the ability to work effectively as part of a team.
Associate Librarian

Action | Criteria
---|---
Appointment: | ALA-accredited MLS, or comparable academic library experience with relevant advanced degree
Professional Growth and Scholarly Achievement
Six years of experience in academic libraries

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

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 substantial professional contributions to the library and to the university as well as attainment of a high level in bibliographical, instructional, and outreach activities, in research, and in 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 which is sought after by colleagues, a high level of professional skills and a grasp of library methods, understanding of current 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. S/he 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 Achievement:
Library faculty at this rank possess a superior record of professional growth and scholarly achievement that includes active participation in professional associations; continuing professional education, such as formal courses, seminars and workshops; and creating knowledge in areas that contribute to the Library and the CSU’s knowledge base. The Associate Librarian presents at professional conferences; publishes in refereed journals; secures grants or other external funding; collaborates with colleagues at other campuses; contributes to professional literature, such as books, articles, book reviews, editorships, bibliographies, handbooks, and digital authoring. The Associate Librarian also contributes scholarly work to the library’s institutional repository.

3. Campus and Community Service:

The Associate Librarian demonstrates the library’s public value to the university and its teaching and learning objectives. S/he makes meaningful contributions to the university, CSU, and the community through election, appointment, or volunteer participation in academic governance, student organizations, and community groups. Examples may include but are not limited to serving on system-wide committees, senate and university committees, and/or being appointed or elected to board positions at non-profit organizations.

4. Other Factors of Consideration:

Library faculty members at this rank continue to demonstrate collegiality, professionalism and successful interaction with coworkers. The candidate continues to contribute to a positive workplace environment through constructive resolution of issues and demonstrates the ability to work effectively as part of a team. The candidate demonstrates that their professional interactions and relationships have become increasingly meaningful and productive, and that these interactions are increasingly moving into venues beyond the library.
### Librarian

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<th><strong>Action</strong></th>
<th><strong>Criteria</strong></th>
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| Appointment: | ALA-accredited MLS, or comparable academic library experience with relevant advanced degree  
Professional Growth and Scholarly Achievement  
Ten years of experience in academic libraries  
Recognition in the profession |
| Retention, Tenure, Post-Tenure: | Professional Performance  
Professional Growth and Scholarly Achievement  
Campus and Community Service  
Other Factors of Consideration |

The rank of Librarian is reserved for library faculty members who have earned a high order of respect and recognition from their colleagues and whose work demonstrates creative approaches and solutions to difficult problems for which there are no precedents. Librarians at this rank have at least ten years of academic library experience and are recognized for their outstanding professional performance, scholarship, and in other professional endeavors at the state and national level.

The librarian at this rank possesses a level of special expertise that is acknowledged and sought by colleagues and other professionals; recognizes complex problems, suggests solutions, and follows projects through to completion; accomplishes work with and through others; Recognizes and encourages behaviors that contribute to teamwork by assigned support staff, library faculty and task groups; stimulates the professional development of support staff and librarians; accepts responsibility and provides leadership within the department, the library, the university, and/or the CSU; and takes an active and effective role in committees, meetings, and task groups.

Particular attention is to be paid to the candidate’s professional stature, both within the university and in the academic community at large. Outside reviewers will document that the faculty member is a recognized leader and that his/her scholarly and creative activities meet the highest standards in the profession and relevant subject areas. For this level, notable service contributions at the state or national level are expected.

1. **Professional Performance:**

   The Librarian shall demonstrate exceptional leadership, judgment, and originality in defining and contributing to the solution of library problems involving several organizational units or functions, or in the performance of extremely difficult and comprehensive special projects requiring professional skills, ingenuity, creativity and resourcefulness exceeding those of the Associate rank.

   Typically, the librarian at this rank has expertise in a range of library functions and areas, and is able to relate this expertise effectively to the educational objectives of the library and university in terms of actionable knowledge of budget, space and personnel available to implement individual proposals. The Librarian is able to stimulate the professional development of colleagues and is highly committed to the provision of effective library service upholding the library’s service values. S/he has sufficient influence and aptitude to lead new initiatives to successful implementation. The Librarian
makes professional judgments when evaluating activities and accomplishments of colleagues and constructively evaluates their performance within the peer review process.

2. **Professional Growth and Scholarly Achievement:**

Library faculty at this rank possess an exceptional record of professional growth and scholarly achievement that includes significant participation in professional associations; continuing professional education, such as formal courses, seminars and workshops; and creating knowledge in areas that contribute to the library’s knowledge base. The Librarian presents original thought in invited and refereed papers at professional conferences; publishes in refereed journals; secures grants or other external funding; contributes to professional literature, such as books, articles, book reviews, editorships, bibliographies, handbooks, and digital authoring. Librarians at this rank also serve as visiting lecturers and/or paid consultants; attain stature in the profession, including regional, state, and national awards and recognition; possess a level of singular expertise that is acknowledged and sought by other professionals; and stimulate the professional development of colleagues. The Librarian also contributes scholarly work to the library’s institutional repository.

3. **Campus and Community Service:**

The librarian at this rank shall be responsible for significant leadership or involvement in campus activities and academic programs; chairing or participating on university and/or CSU committees; and contributing to academic governance. The librarian at this rank serves as an unremunerated consultant, conducts numerous workshops or training sessions, serves as a member of a board (school, library, or non-profit organization), or other activities of a creative or innovative nature appropriate to the librarian’s area that provides a definite service to the community.

4. **Other Factors of Consideration:**

Library faculty members at this rank continue to demonstrate collegiality, professionalism and successful interaction with coworkers. The candidate demonstrates leadership in achieving a positive overall workplace environment. The candidate demonstrates that their professional interactions and relationships have reached a level that significantly enhances the role the library plays in the university as a whole.
V. TEMPORARY LIBRARY FACULTY

Introduction

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 Vice Provost for Information Services and Chief Information Officer. 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.

Beginning with the 2002/03 academic year, 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 unit employees employed during the prior academic year and possessing six (6) or more years of prior consecutive service on that campus shall be offered a three-year temporary appointment following an evaluation conducted pursuant to provisions 15.20(d) and 15.28, 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.

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 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, University Librarian, and Vice Provost for Information Services and Chief Information Officer 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.
The periodic evaluation of temporary librarians is based on merit demonstrated in the four criteria delineated in Sections III and IV of the *Library Faculty Handbook*: Professional Performance; Professional Growth and Scholarly Achievement; Campus and Community Service; and Other Factors. An elected peer review committee, the supervisor, University Librarian, and Vice Provost for Information Services and Chief Information Officer 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.

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.

**Annual Periodic Evaluation Procedures for Temporary Librarians**

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 University Librarian.
- The University Librarian’s and Vice Provost for Information Services and Chief Information Officer’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 University Librarian’s and Vice Provost for Information Services and Chief Information Officer’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 contract.
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 University Librarian and Vice Provost for Information Services and Chief Information Officer. The Vice Provost for Information Services and Chief Information Officer 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.
VI. LIBRARY FACULTY PROFESSIONAL DEVELOPMENT PLAN

Role of the PDP: The Professional Development Plan (PDP) is a collaboratively developed document that effectively balances the librarian-scholar’s responsibilities, while allowing flexibility for timely shifts in light of new opportunities. The PDP encompasses short-term and long-term goals required for retention, promotion, and tenure, and post-tenure review. The librarian develops the PDP in light of the four criteria (Professional Performance, Professional Growth and Scholarly Activity, Campus and Community Service, and Other Factors of Consideration) while the supervisor provides input, guidance, and suggests appropriate revisions. This collaboration culminates in a document that will help the librarian achieve full potential as a librarian-scholar and contribute to continued success in retention, promotion and tenure as well as post tenure review.

The PDP is intended to be a guide, and not a strict checklist, as new priorities or initiatives may be identified. Achievements and opportunities not predicted in the PDP, may be elucidated in the narrative of the ensuing WPAF, and incorporated into succeeding iterations of the PDP, always ensuring that the four criteria are sufficiently addressed to help librarians succeed in retention, promotion and tenure, as well as post-tenure review.

Purpose: This process establishes the goals necessary to meet department, library, and university expectations while progressing satisfactorily toward retention, promotion, and tenure. Writing a PDP helps ensure that candidates understand clearly what is expected of them and encourages candidates to assess their professional development and accomplishments relevant to tenure and promotion. Completing the PDP in consultation with the supervisor is an important step in understanding the process, expectations, and procedures for retention, tenure, and promotion at Cal Poly.

Procedures and Timeline: Faculty members who have served at least one year at Cal Poly shall complete the PDP as part of the annual planning process during the summer quarter. The supervisor and the University Librarian each review the plan, providing feedback.

Newly appointed library faculty complete a PDP during the first three to six months at Cal Poly. This PDP shall describe the faculty member's professional goals, areas of interest, resources required and accomplishments s/he expects to achieve to progress toward retention, tenure, and promotion. The supervisor and the University Librarian each review the plan, providing feedback.
VII. MENTORING OF CANDIDATES FOR PERSONNEL ACTIONS

Purpose

Effective and timely mentoring brings clarity to the process of becoming a successful faculty member. Successful mentoring is a partnership between the candidate, the supervisor, and the candidate’s colleagues.

Library Administrative Services Role

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 Fall Conference Week orientation sessions for new faculty.

The Supervisor’s Role

The supervisor shall review with the new library faculty member the evaluation criteria and procedures in the Library Faculty Handbook, with special emphasis on the procedures for the first and second year of review. The supervisor shall also work closely with library faculty to complete the library faculty Professional Development Plan (PDP).

The Senior Library Faculty’s Role

To assist candidates for library faculty personnel actions, senior library faculty members may serve as informal mentors to advise candidates on:

- Procedures and timeline of a specific personnel action
- Preparation of effective Working Personnel Action Files
- Understanding the Library Faculty Handbook
- Contents of a successful Working Personnel Action File(s) by providing their own files for the candidate’s review
- Other topics relating to personnel actions in the library

Outside the scope of the mentor’s responsibilities is assistance writing or compiling the candidate’s Working Personnel Action File.

The Personnel Committee’s Role

Librarians serving as members of the Personnel Committee may also volunteer to work directly with a candidate for personnel action. Personnel Committee members also provide a summary document of the RPT process and organize and present workshops to orient library candidates for personnel actions with the requirements of the Library Faculty Handbook.

The Candidate’s Responsibilities
The candidate for personnel action initiates the process and makes arrangements for consultation directly with the mentor(s). The candidate is advised to seek assistance from a mentor well before the deadline for their personnel action(s). The candidate is advised to consult a volunteer mentor who is not likely to serve on the candidate’s peer review committee.
VIII. EVALUATION CRITERIA

The four criteria for retention, promotion, tenure, and post-tenure review are included here with examples for demonstrating proficiency within each criterion. The examples given are not intended to be exhaustive; the candidate may employ other ways of demonstrating proficiency appropriate to these criteria.

Professional Performance is the primary and essential criterion; however, satisfactory performance in this criterion alone will not be sufficient for retention, promotion, or tenure. Serious weight is also given to the remaining three criteria: Professional Growth and Scholarly Achievement; Campus and Community Service; and Other Factors.

The four criteria are:

1. Professional Performance

The primary standard for evaluation is the candidate’s professional performance as indicated in the library faculty member’s job description. The range of assignments in an academic library requires individual library faculty to perform in multiple roles to deliver library resources and services to students and faculty and other scholars.

The roles and responsibilities of the academic library are to support the university in its evolving mission to discover, integrate, articulate, and apply knowledge. To accomplish this, library faculty must be active collaborators and partners with academic departments and other campus units. The scope and significance of activities in this criterion increases with years of experience and academic rank.

Examples of effective professional performance by library faculty include, but are not limited to, the following:

- Accomplishes professional objectives and fulfills responsibilities as described in the candidate’s job description in support of the library and the university’s mission statements
- Meets regularly with faculty and students from assigned colleges and departments to discuss library collections, services, policies, and to encourage the use of library resources and services
- Presents and interprets library services and policies to users from both within and from outside the university
- Visits faculty and students in the classrooms and studios of assigned colleges and departments
- Delivers instructional services, including orientations, tours, classroom instruction, online tutorials, and information literacy efforts
- Works collaboratively to help communicate and market the library’s services to assigned departments and the campus as a whole
- Provides orientations, tours, lectures, and authors web-based guides and tutorials regarding the library’s resources and services
- Acts as a consultant with faculty and students to assist them in using library resources
- Provides reference and research support in a variety of settings
- Works creatively to provide access to a wide range of resources for assigned disciplines
- Evaluates and selects monographs, serials and digital resources for assigned colleges and departments
• Encourages teaching faculty to become involved in information resources acquisition and periodic review
• Coordinates activities with other librarian selectors especially in the area of electronic resources
• Manages budget allocations effectively in support information resource acquisition and access for the students, faculty and staff
• Builds digital collections to facilitate users’ process of discovery
• Positions the library as an instructional system that can facilitate its learning and the ability to communicate it to others, regardless of location
• Promotes student learning through the appropriate collection and classification of materials, through appropriate reference or consultation, and through design of effective delivery systems for off-campus sites
• Participates in new and ongoing projects involving digital resources and digital initiatives
• Acts as a consultant with faculty and students to assist them in online searching, post-search software and instructional technology
• Initiates and carries to conclusion innovative projects that contribute substantially to the library mission
• Demonstrates versatility, including the ability to work effectively in a range of library function and subject areas
• Understands and applies appropriate metadata schemas in the creation and retrieval of digital files and objects
• Encourages the professional growth and development of support staff and library faculty through effective supervision
• Trains, coaches, delegates, and develops capabilities of assigned support staff and library faculty
• Provides counseling, leadership and direction to assigned support staff, library faculty and task groups
• Provides on-going feedback to assigned support staff and library faculty and completes timely and balanced performance evaluations
• Recognizes and encourages behaviors that contribute to teamwork by assigned support staff, library faculty and task groups

2. Professional Growth and Scholarly Achievement

Academic librarians commit themselves to a program of continual growth that anticipates and complements the evolving information needs of the university and of society. In addition to an individual and institutional commitment to lifelong learning and professional development, the successful candidate for personnel action also conducts and shares the results of scholarly research as an essential component of an academic career. The scope and significance of activities in this criterion increases with years of experience and academic rank.

Examples of effective professional growth and scholarly achievement by library faculty include, but are not limited to, the following:

• Stays current with literature and key resources in the field
• Possesses a sound grasp of current issues and trends in academic libraries, especially the innovative use of technology
• Attends meetings of professional organizations and distills insights into meaningful contributions on campus and within the library
• Continues professional education, such as formal courses, seminars and workshops
• Progresses toward or completes a second master’s or other advanced degree
• Maintains professional memberships, certification, or licensing
• Participates actively in professional organizations at the regional, state and national levels, including holding office and chairing sections and roundtables
• Presents poster sessions, workshops, and/or invited and refereed papers
• Contributes scholarly work to the campus institutional repository
• Conducts research that informs the library’s mission and goals and advances the profession
• Contributes to professional literature, such as books, articles, book reviews, editorships, bibliographies, handbooks, and digital authoring
• Prepares grant proposals and secures external funding
• Serves as a visiting lecturer
• Serves as a paid consultant
• Attains stature in the profession, including regional, state, and national awards and recognition
• Possesses a level of special expertise that is acknowledged and sought by colleagues and other professionals
• Stimulates the professional development of colleagues

3. Campus and Community Service

Active participation in university life is an essential component of an academic career. Service includes contributions to students, the institution, and the local community, especially when such activity helps shape professional or academic policies, serves the university community, or advances the local community in areas relating to the librarian’s professional or academic fields. The scope and significance of activities in this criterion increases with years of experience and academic rank.

Examples of effective campus and community service by library faculty include, but are not limited to, the following:

• Participates via election or appointment in Academic Senate, university and CSU committees, task forces, and boards
• Active participation in academic governance, including serving as an Academic Senator or on Academic Senate committees
• Serves as an advisor for student clubs or student activities officially recognized by the university
• Participates in activities advancing the university’s commitment to diversity
• Participates within the librarian’s professional or academic fields in community organizations
• Performs volunteer library work for non-profit community groups
• Serves as an unremunerated professional consultant to non-profit community groups
• Serves as a member of a community board or committee

4. Other Factors of Consideration

Library faculty have a shared responsibility of fostering a welcoming professional environment with fellow librarians and Library staff, faculty, students and colleagues in the field. 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.

Indicators of achievement for this criterion may include, but are not limited to, the following examples:

- Contributes to a positive workplace environment through constructive resolution of issues.
- Establishes and nurtures effective working relationships both within and beyond the library.
- Offers professional guidance and/or developmental support to colleagues, either formally or informally as a mentor.
- Demonstrates ability to work effectively as part of a team working with culturally diverse faculty, students and staff.
- Shares expertise freely with those who need it.
- Demonstrates successful interactions with Cal Poly constituents at all levels.
- Exhibits willingness to take risks to affect improvements, enhancements, and innovations in library services and processes.
- Demonstrates ability to listen to and consider diverse viewpoints and ideas.
IX. PROCEDURES FOR RETENTION, PROMOTION, TENURE (RPT) AND PEER POST-TENURE REVIEW

Levels of Review

**Retention:** Retention or reappointment 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.

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, University Librarian, and Vice Provost for Information Services and Chief Information Officer 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 information to the faculty member regarding performance expectations.

Evaluation of librarians involves a comprehensive assessment of performance, with continuing retention seen as progressing to possible tenure. If a librarian is not likely to obtain tenure, then the individual 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.

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 Achievement; Campus and Community Service; and Other Factors.

The 6th year Performance Review is for tenure consideration. Early tenure will be granted only in exceptional cases. Candidates seeking early tenure must fully document an exceptional record of performance, validated by performance evaluations, in all four evaluative criteria.

An elected peer review committee, the supervisor, University Librarian, and Vice Provost for Information Services and Chief Information Officer 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 accorded.

The criteria for tenure are closely allied 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 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 no later than June 1. The lack of official notice shall not result in the award 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 Section II of this document.

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.

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, University Librarian, and Vice Provost for Information Services and Chief Information Officer evaluate candidates for promotion for the purpose of recommending or denying promotion to the President. Promotion reviews are undertaken to assess the faculty member’s performance according to the library’s criteria, make recommendations regarding promotion, and provide helpful information 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. 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 record of achievement commensurate with the next rank. The scope and significance of accomplishments increases with years of experience and academic rank.

Faculty members who wish to be evaluated for promotion to Librarian, early promotion to Associate Librarian prior to tenure consideration, or early tenure must notify the University Librarian 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.

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 s/he is considered 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 s/he not be considered.

The President shall notify the librarian in writing of the final decision on the promotion no later than June 15. Such response shall include the reasons for approval or denial and shall indicate the effective date of the promotion, if any.

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 Achievement; Campus and Community Service; and Other Factors.

Upon receipt of tenure and/or promotion, a fifth-year evaluation date will be established for each librarian. All tenured librarians at the Senior Assistant, Associate, and Librarian ranks are subject to peer post-tenure review at least once every five years. Promotion is considered to be a performance evaluation, and 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, University Librarian, and/or Vice Provost for Information Services and Chief Information Officer believe(s) such a review is warranted, or if a librarian requests a review in writing.

Library Administrative Services is responsible for distributing a list of those librarians scheduled for peer post-tenure review for the academic year.

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 not only encouraged to maintain their effectiveness in their library
assignments, but also 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, University Librarian, and Vice Provost for Information Services and Chief Information Officer discuss the final evaluation with the librarian. Upon completion of the peer post-tenure review process, the Working Personnel Action File (WPAF), the written performance reviews, and the candidate’s responses are placed in the librarian's master Personnel Action File (PAF) in Library Administrative Services.

When areas for improvement have been identified, 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, University Librarian, and Vice Provost for Information Services and Chief Information Officer, 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.

**Progression of the Evaluation Process.** The intensity of the evaluation process will vary in accordance with the rank of the individual librarian and the personnel action being considered. Thus, where granting of tenure requires stronger evidence of worthiness than reappointment, promotion to Associate Librarian or Librarian requires a more rigorous application of the criteria delineated than promotion from a lower rank. Evaluation of librarians shall involve a comprehensive assessment with reappointment seen as progressing to possible tenure. It should be understood that if a librarian is not likely to pass the test for obtaining tenure, then the individual should not be reappointed.

The President makes retention, tenure and promotion decisions. The President may delegate these decisions to the Provost.

**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. Peer review committee members, the supervisor, University Librarian, and Vice Provost for Information Services and Chief Information Officer must review and sign this file as part of their deliberations.

**Working Personnel Action File (WPAF):** 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
- Library Faculty Job Description
- 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 evaluative criteria
For tenure and promotion requests, external supporting documentation is required, including no less than five letters of support from colleagues documenting the nature and quality of professional performance, together with evidence of scholarship and research.

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. Though the Working Personnel Action File for reappointment may emphasize the candidate’s performance and achievements since the previous performance review or evaluation at Cal Poly, the content should present the candidate’s cumulative work within their current rank. The Working Personnel Action File for tenure or tenure/promotion includes the entire employment period at Cal Poly. The Working Personnel Action File for promotion includes the period since the last promotion at Cal Poly.

The Academic Personnel Office establishes a specific deadline by which the Working Personnel Action File is declared complete. 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. The WPAF should be sent back to the first level of review.

RPT Responsibilities

Responsibilities of the Candidate: The candidate prepares the Working Personnel Action File that contains clear evidence of his/her qualifications for the requested personnel action, arranged according to the library faculty four criteria: Professional Performance; Professional Growth and Scholarly Achievement; Campus and Community Service; and Other Factors.

The candidate’s responsibilities include:

- Review library and campus personnel policies and procedures
- Select and consult with faculty mentor
- Develop/revise a Professional Development Plan which addresses short and long-term goals for Professional Performance, Professional Growth and Scholarly Achievement, Campus and Community Service, and Other Factors of Consideration
- 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
- Include no less than five letters of recommendation from colleagues outside the library in the WPAF for promotion and tenure requests
- Review RPT recommendations and submit written response/rebuttal within ten calendar days, as appropriate
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).

**Election and 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 probationary and tenured librarians shall then elect peer review committee member(s) from full-time Cal Poly faculty of appropriate rank. When there is only one peer review committee member from the library faculty, this library faculty member shall automatically chair. The elected member name(s) will then be forwarded to the University Librarian and Vice Provost for Information Services and Chief Information Officer.

At the discretion of the University Librarian and the Vice Provost for Information Services and Chief Information Officer, library faculty participating in Faculty Early Retirement Program (FERP) may serve on a peer review committee if needed and/or appropriate, if approved by the Provost. 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:

- Review campus, college, and any departmental personnel policies and procedures
- Review and sign the candidate’s PAF and WPAF
- Complete and submit a written evaluation using the 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

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 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 Supervisor: The librarian’s supervisor plays a key role in ensuring that candidates are oriented to the RPT process and that specific feedback on the candidate’s performance is provided.

The supervisor’s responsibilities include:

- Ensure candidates avail themselves of opportunities for guidance on the RPT process, including Academic Affairs’ Fall Conference workshop, availability of mentors, Library Faculty Council workshops, and other formal and informal methods of orientation and assistance
- Provide guidance for development and revision of the candidate’s Professional Development Plan
- Meet with RPT candidates to review the RPT evaluation process and expectations
- Observe candidate classroom teaching, as applicable
- Evaluate library faculty members with specific outreach assignments to academic departments/colleges or library faculty holding joint shared appointments in consultation with relevant department head(s)
- Review the candidate’s PAF, WPAF and peer review committee recommendations
- Complete and submit a separate review and recommendation to the University Librarian on the AP109: Faculty Evaluation Form

Responsibilities of the University Librarian: The University Librarian oversees the peer review process at the Library level.

The University Librarian’s 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 University Librarian 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 Vice Provost for Information Services and Chief Information Officer, along with any response/rebuttal statements received from the candidate

Responsibilities of the Vice Provost for Information Services and Chief Information Officer: The Vice Provost for Information Services and Chief Information Officer oversees the peer review process at the division level.

The Vice Provost for Information Services and Chief Information Officer’s 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 University Librarian in the event the Vice Provost for Information Services and Chief Information Officer does not concur with the recommendation of the University Librarian 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
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)

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 retention 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.
The following provisions also apply to the evaluation 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.
- 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 employee may also request that an evaluation be performed.
X. 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. Since 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 s/he 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.
  - 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 defined 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.

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 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

All librarians vote to elect at least two tenured librarians, who are not applying for leave with pay during the cycle, to a standing Library Professional Leave Committee. This committee evaluates and ranks leave proposals according to the criteria listed above. Once the committee is elected, members serve staggered two-year terms with one-half member(s) elected in even years and one-half of the member(s) elected in odd years.

One member of the Library Professional Leave Committee shall be elected annually by the members of the committee to serve as chair. The chair is responsible for convening meetings of the leave committee, setting up committee interviews with leave candidates and, if necessary, their respective supervisor(s), compiling the committee’s written ranked recommendations, and forwarding the applications and committee recommendations to the University Librarian.

Leave Committee Review Procedures

• Review Section IX of this document, “Sabbatical And Difference-In-Pay Leave Policy And Procedures”
• Review all sabbatical and difference-in-pay leave applications for eligibility and relevance to the criteria outlined above
• Interview all applicants individually to elicit further information regarding the nature and value of the proposed project
• Evaluate the applications and recommend or reject applications in a written ranked report to the University Librarian

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, with approval from the Provost, is permitted and will allow the librarian some flexibility between the time of the initial application and the commencement of the leave.
Completion Report

Within one month after returning to the library from a sabbatical or difference-in-pay leave, the librarian submits a written report on the outcome and results of the leave project to the University Librarian, the supervisor, and the chair of the Library Professional Leave Committee. An oral presentation may be made to the members of the Library Faculty Council. A copy of this completion report must be attached to all future requests for leave with pay.

Please refer to the Cal Poly Academic Personnel site for all clarification and possible policy updates: http://www.academic-personnel.calpoly.edu/index.html
The subject document, approved by the Library faculty in September 2013, is approved for immediate implementation. Please provide the Library faculty access to the document as soon as possible.