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FACULTY AFFAIRS COMMITTEE

DESIGNATION CODE: 13-14 FAC 9  
DATE SUBMITTED: February 24, 2014

**TO:** The Academic Senate  
**FROM:** Liz Ginno, Chair, Faculty Affairs Committee  
**SUBJECT:** 13-14 FAC 9: Dean of Libraries title change in Library RTP document  
**PURPOSE:** Information to Senate regarding non-substantive change to Library RTP document

**BACKGROUND:**

On February 13, 2014, the Office of Academic Affairs released a campus-wide communique noting that the University Librarian title had been changed, and would now be referred to as the Dean of Libraries. The Library Retention, Tenure and Promotion document has been updated to reflect the change in title.

**ACTION REQUESTED:**

That the Academic Senate accept the information that the Library RTP has been non-substantively altered to reflect the change in title for the Dean of Libraries.



**Library Faculty Retention, Tenure, and Promotion Policy and Procedures**

Senate approved, May 27, 1980;  
President approved, June 19, 1980; Amended, July 12, 1983;  
Amended, 1984, approved by President, March 6, 1985;  
Amended, 2001, approved by the Academic Senate, May 29, 2001;  
Amended, 2003, approved by the Academic Senate, April 29, 2003;  
Amended, 2007, approved by the faculty, 2007; not sent forward to the Academic Senate  
RTP document, 2010, approved by the faculty April 16, 2010; re-approved May 28, 2010;  
RTP document, 2012, approved by the library faculty April 26, 2012; approved by the Academic Senate June 5, 2012  
Amended by 12-13 FAC 3; approved by the Academic Senate February 12, 2013

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# **RETENTION, TENURE, AND PROMOTION POLICY AND PROCEDURES**

## **1.0 INTRODUCTORY STATEMENT**

The retention, tenure, and promotion policy of the University and of the Library Faculty Retention, Tenure, and Promotion Policy and Procedures are designed to assure, within the policies of the Trustees of the California State University and the Collective Bargaining Agreement, that (1) excellence in the educational function will be recognized and rewarded, and that (2) the quality of the Faculty of the University will be maintained at the highest possible level.

Retention, tenure, and promotion decisions are based on excellence; they are not automatic. The library faculty candidate must clearly satisfy the appropriate criteria. Achievement, as it is demonstrated, should be appropriately rewarded. Administrative and executive employees shall not acquire tenure or academic rank without prior consultation with the unit concerned (see Title 5, Section 42701, Consultative Procedures). For the library, this shall be the library faculty.

A profile approach shall be used in the evaluation of a candidate for retention, tenure, or promotion. Exceptional ratings on one or more of the criteria may offset minor deficiencies with respect to other criteria. California State University, East Bay is a teaching institution; hence instructional achievement will be the foremost criterion at all levels of review.

Retention, tenure, and promotion decisions are separate, and the standards which govern them, while similar, are not identical. A probationary library faculty member shall normally be considered for promotion at the same time he or she is considered for tenure. Promotion prior to the attainment of tenure is to be considered only in special circumstances. In no case shall a probationary library faculty member be promoted beyond the rank of Associate Librarian except when tenure and promotion to Librarian are granted simultaneously. When a candidate does not have tenure, a recommendation to promote does not entail an obligation to recommend for tenure; neither does the according of tenure entail an obligation later to recommend for promotion.

The policies, procedures, and criteria described herein, which conform to provisions of the Collective Bargaining Agreement between the Trustees of the California State University and the California Faculty Association (hereafter abbreviated as "CBA"), the CSU Statement of Collegiality, to other operative provisions of Title V of the California Administrative Code, Education, and to the Librarian Personnel Plan (FSA 78-64) of the Office of the Chancellor, shall apply to all recommendations relating to retention, tenure, and promotion. This document, including amendments recommended by the Academic Senate and approved by the President of the University, supersedes all previous Library Faculty policies on retention, tenure, and promotion.

## **2.0 NOTIFICATION TO NEW FACULTY REGARDING RETENTION, TENURE, AND PROMOTION POLICIES AND PROCEDURES**

### **2.1 *First Notification***

2.1.1 The Provost and Vice President of Academic Affairs will notify faculty of deadline dates for submission of dossiers by the opening day of the Fall Quarter each year.

- 2.1.2 The Provost shall inform the Library Faculty Chair of his/her responsibilities as outlined in Sections 2.2 and 2.3, and shall provide the Chair with a list of all probationary faculty with their years of service identified and of all professors eligible for promotion; and shall provide sufficient copies of the RTP document for all such faculty.

## 2.2. *Faculty Notification*

In order to ensure that every new regular library faculty member of the University is aware of his or her responsibility for maintaining a dossier for the use of the Library Faculty, College, and University in decisions regarding his or her retention, tenure, and promotion, the Library Faculty Chair shall, within the first four weeks of the library faculty member's initial appointment, bring to the attention of the new library faculty member the then-current University documents describing the policies, procedures, and deadline dates governing retention, tenure, and promotion. The Library Faculty Chair shall inform the new library faculty member of the need to maintain a dossier and the kinds of evidence to be included in it. The Library Faculty Chair shall also file in the faculty member's Folder #1 of the Working Personnel Action File a dated copy of the following statement signed by the new library faculty member:

“I hereby affirm that my Faculty Chair has informed me about the Retention, Tenure, and Promotion Policy and Procedures of California State University, East Bay. I understand that I am required to create and maintain a dossier of evidence documenting my instructional and professional achievements and other contributions to the University. I understand further it is my responsibility to know the provisions governing any instance of retention, tenure, or promotion for which I may come under review, and to adhere to stipulated time-tables for such reviews.”

## 2.3 *Mentorship*

The Library Faculty Chair or Chair Designee shall serve as formal advisor for all library faculty members eligible for retention, tenure, and promotion, discussing the candidate's progress no later than the end of each academic year. Probationary library faculty are urged to seek out mentors within or outside the Library Faculty unit and the assistance of the Faculty Development Center.

## 3.0 **GENERAL PROVISIONS**

### 3.1 *Sequence of Evaluation*

Library faculty considered for retention, tenure, and promotion shall be evaluated by their faculty colleagues. This judgment shall be rendered by elected Retention, Tenure, and Promotion Committees at appropriate levels. The recommendations of these Committees, together with the separate recommendations of the Library Faculty Chair and the **Dean of Libraries**, shall be forwarded to the President of the University. The President of the University shall make the final decision in each case.

- 3.1.1 Evaluation of library faculty members shall begin at the University Libraries level. The general sequence of recommendations shall be from the Library Faculty to the **Dean of Libraries** to the University level.
- 3.1.2 *In retention cases*, the Library Faculty Committee shall first make its recommendation, which will be transmitted to the Library Faculty Chair. The Chair shall forward the Committee's recommendation, together with his or her own recommendation, to the **Dean of Libraries**. If the Library Faculty Committee and the Library Faculty Chair disagree on their retention recommendations, or if the **Dean of Libraries** requests it, a second Library Faculty Committee will be formed to consider the recommendations of the first Library Faculty Committee and the Library Faculty Chair and formulate its own recommendation, which will be transmitted to the **Dean of Libraries**. The **Dean of Libraries** shall separately evaluate the library faculty member and forward his or her recommendation, together with the recommendations of the other reviewing bodies, to the President. The University Tenure and Promotion Committee, University Libraries Subcommittee shall be consulted in retention cases only where bias is charged, according to procedures specified in Sections 11.2.9 and 12.2.4(b).
- 3.1.3 *In cases of tenure and/or promotion*, the sequence of evaluations shall be identical at all levels for candidates and shall consist of the following stages: (1) separate evaluations first by the Library Faculty Committee and then by the Library Faculty Chair; their recommendations are to be forwarded by the Library Faculty Chair to the **Dean of Libraries**; (2) separate evaluation by the **Dean of Libraries**; that recommendation, together with the previous recommendations, is to be forwarded to the University Tenure and Promotion Committee, University Libraries Subcommittee via the Office of the Vice President for Academic Affairs; and (3) evaluation by the University Tenure and Promotion Committee, University Libraries Subcommittee, which shall make its recommendations to the President of the University.
- 3.1.4 Having received the documentation and recommendations from lower levels, the President shall notify the candidate, in writing, of his or her decision. The President's notification shall be made in conformity with the appropriate deadline date as specified on the final page of this document.
- 3.2 ***Conflicts of Interest***
- 3.2.1 Regarding candidates for promotion: The procedures for election of Librarian Tenure and Promotion Committees at each level are specified in Sections 10.1, 11.1, and 12.1 of this document. However, no library faculty member who is a candidate for promotion shall serve in any capacity on any Tenure and Promotion Committee during the period between July 1 and June 30 when he or she is a candidate for promotion.
- 3.2.2 Regarding Library Faculty Chairs:
- a. No Library Faculty Chair or **Dean of Libraries** who is currently a candidate for promotion shall write an official letter of evaluation in his or her own behalf.
  - b. No Library Faculty Chair shall write a letter of evaluation for any candidate in the unit seeking promotion to a higher rank than the Library Faculty Chair currently holds. The Chair of the Library Faculty Committee shall include a notice in the WPAF of each affected

candidate accounting for the absence of a letter from the Library Faculty Chair, and shall forward the recommendation of the Library Faculty Committee for each such candidate to the **Dean of Libraries**.

### 3.3 *Candidate's Personnel Action File (PAF), Working Personnel Action File (WPAF), Dossier, and Related Materials*

#### 3.3.1 Definitions of Terms

- a. "Personnel Action File" (hereafter abbreviated as "PAF") refers to the official personnel file containing employment information and other information relevant to personnel recommendations or actions regarding a faculty unit employee. These materials normally include the candidate's letter of appointment, numerical scores of teaching evaluations submitted annually by the candidate's unit, and other materials relating specifically to the faculty member's employment at the University. The PAF remains at the Provost's Office during the cycle of evaluation and will be available to all levels of review. No material may be added to the PAF without the candidate's knowledge.
- b. "Folder # 1" refers to the folder assembled by the Provost's Office that contains copies of materials from the PAF circulated to different levels of review, along with the candidate's dossier, in a cycle of evaluation. Folder # 1 normally contains the candidate's letter of appointment and numerical teaching evaluations from the start of the period of eligibility; as well as all materials generated during the evaluation cycle, such as the dossier index, *curriculum vitae*, and evaluations by the library faculty Committees, the Library Faculty Chair, and the **Dean of Libraries**. Other materials may be added during the cycle with the permission of the University Tenure and Promotion Committee, University Libraries Subcommittee.

In cases of tenure and promotion, Folder # 1 refers to the tenure folder; and Folder # 2 refers to the promotion folder, which contains the same material as the tenure folder but in reference to promotion.

- c. The "dossier" refers to the evidence provided by the candidate.
- d. The "dossier index" refers to the table of contents of the dossier, which forms the official record of the evidence in the dossier.
- e. "Working Personnel Action File" (hereafter abbreviated as "WPAF") refers to Folder # 1 (and Folder # 2 where relevant) and the dossier *combined*, and is circulated to the different levels of review in an evaluation cycle.
- f. "Evidence" refers to all materials in the PAF and WPAF, including both Folder # 1 (and Folder #2 where relevant) and the dossier. All references in the dossier index must be supported by appropriate evidence.
- g. The "period of eligibility" is the time during which a candidate is being considered for retention, tenure, and/or promotion. For probationary faculty, this includes (1) each annual

retention cycle from the candidate's appointment to his or her period of eligibility for tenure and/or promotion; and (2) the year in which the candidate applies for tenure and/or promotion to Associate Librarian. For faculty at the Associate rank, this is the period beginning in their fifth year following promotion to Associate Librarian.

- h. An "evaluation cycle" is the period of time during which a candidate is being considered for retention, tenure, and/or promotion. For probationary faculty, the cycles are equivalent to the period of a candidate's eligibility. For faculty at the Associate rank, an evaluation cycle is the year in which a candidate chooses to apply for promotion to Librarian.

### 3.3.2 Building the Dossier

- a. In accordance with Section 2.0, it is the responsibility of the candidate to prepare and maintain a dossier containing evidence which shall provide a basis for informed judgment on his or her qualifications. It is the responsibility of the Library Faculty Chair or the Chair's designee to advise the candidate on the proper selection, organization, and presentation of material in the dossier according to the relevant criteria, and on the preparation of an adequate dossier index.
- b. The candidate is also strongly urged to include an introductory narrative letter regarding the materials in his or her dossier and a narrative description at the start of each section explaining the significance of his or her achievements and improvements since the previous cycle of review.
- c. The candidate should include evidence in the dossier that is strictly relevant to the five categories of the retention, tenure, and promotion process (see 4.0 below). Quality and clarity are highly valued; excessive quantity and repetition are not.
- d. The same evidence may be discussed under more than one section of the dossier, but only one copy of the evidence should be included in the dossier.
- e. A candidate may include a separate section containing representative evidence of achievement for which he or she received service credit at the time of appointment, but the preponderance of evidence must substantiate achievements at CSUEB.
- f. *Regarding the inclusion of teaching evaluations:*
  - (1) The candidate's dossier must document teaching performance according to evaluation techniques appropriate to the candidate's discipline and using impartially administered student evaluation forms. In accordance with the CBA and the University's current policy on student evaluations, all classes for each faculty unit employee shall have such student evaluations.
  - (2) Any documentation must include for each class or other instructional assignment evaluated a statement which specifies the class, date, number of students in the class and number of respondents, and which summarizes the results of the evaluation. See the current University policy on student evaluations for details. The instructor may also

- include analyses of the data and evaluation forms of a different type and may include reports of classroom visits by other faculty members and other appropriate evidence.
- (3) The candidate may choose which student evaluations he or she places in the dossier, but is encouraged to demonstrate teaching capacity across a variety of courses and to include copies or summaries of student comments from the original evaluations. The complete numerical summaries submitted by the candidate's unit to the PAF will be included in Folder # 1 and need not be replicated in the dossier.
- g. The candidate should supply evidence for other areas of review, e.g., reference, collection development, liaison work, special assignments, etc.

### 3.3.3 Submission of Materials to the WPAF:

- a. *Significance of the dossier index:* In accordance with Section 15 of the CBA, materials for evaluation submitted by the candidate shall be deemed incorporated by reference in the PAF, but need not be physically placed in the file. Thus, the dossier index represents the formal record of the dossier and will be permanently placed in the PAF and appropriately updated to reflect any material added to the file during the course of the evaluation cycle for the WPAF. Materials incorporated by reference in this manner shall be considered part of the WPAF.
- b. *Deadline for submission of dossier and dossier index:* The candidate will submit his or her dossier to the unit and his or her dossier index to the Provost's Office according to the timelines at the end of this document. The candidate may also submit the *curriculum vitae* from his/her dossier for including in the WPAF along with the dossier index.

### 3.3.4 Disposition of Materials in the WPAF

- a. *Regarding the dossiers:*
- (1) It is expected that for tenure, and for each *successive instance of retention and promotion*, a candidate's WPAF, including the dossier, will be augmented by evidence of intervening achievement appropriate to the instance at hand, and that outdated or otherwise superfluous documentation will be removed.
- (2) The dossier shall be returned to the candidate at the end of each evaluation cycle.
- b. *Regarding Folder # 1:*
- (1) Prior to the award of tenure, letters of recommendation on retention shall remain in Folder # 1 of the WPAF.
- (2) After the award of tenure, no letters of recommendation pertaining to earlier considerations for retention, tenure, or promotion shall be placed in the PAF unless the candidate himself or herself chooses to do so.

- (3) Library Faculty and **Dean of Libraries** Offices shall not maintain a cumulative file of copies of past letters of recommendation; such copies of letters of recommendation as are kept by those Offices shall be destroyed by the Library Faculty Chair and **Dean of Libraries** respectively at the end of the academic year in which they were written.
- (4) The original letters of recommendation in tenure and promotion actions shall be disposed of by the Provost and Vice President for Academic Affairs according to the provisions of Section 12.3.5.
- (5) All student evaluation materials for each course evaluated more than five academic years before the current consideration shall be returned to the candidate. This shall not preclude the candidate from adding these evaluations to the dossier.

#### 3.4 *Maintenance of a Uniform WPAF*

In making recommendations neither the library faculty Committees, nor the Library Faculty Chair, nor the **Dean of Libraries**, nor the President shall take into account evidence which has not been available at each level of review.

- 3.4.1 Ideally, a candidate's appeal at any level should be finished before the transmittal of the WPAF to the next level. In the event a deadline requires that the WPAF be sent forward before an appeal is concluded, the written responses to the appeal reconsideration shall follow the WPAF as soon as possible.
- 3.4.2 The deadline for insertion of documentation into the PAF (for Folder # 1) and the dossier will be October 23 for candidates for tenure or promotion; November 15 for first and second year retention candidates; and February 1 for third, fourth and fifth year retention candidates. Such documentation may include information provided by the candidate, faculty unit employees, students, academic administrators, and the President. Faculty unit employees and academic administrators may submit statements and opinions about the qualifications and work of the candidate provided by other persons identified by name.
- 3.4.3 Any new evidence submitted after the deadline shall be limited to items that became accessible after the deadline and must have the approval of the University Libraries Retention, Tenure, and Promotion Committee for inclusion. This new evidence will be submitted in proper sequence to each reviewing body so that each body in turn may indicate the extent, if any, to which the new evidence has modified its previous recommendation. WPAFs will not be returned for such reviews.
- 3.4.4 The candidate will receive copies of all materials submitted to the WPAF by any person other than himself or herself.

#### 3.5 *Retention, Tenure, and Promotion Committees*

Throughout this document, the "Committees" shall be deemed to include: the Library Faculty Retention, Tenure, and Promotion Committee; and the University Tenure and Promotion Committee, University Libraries Subcommittee.

- 3.5.1 The Library Faculty Committee may be a single Retention, Tenure, or Promotion Committee; or a separate Retention Committee and separate Tenure and Promotion Committee, depending on the availability of faculty to serve.
- 3.5.2 The University Tenure and Promotion Committee, University Libraries Subcommittee is a Tenure and Promotion Committee only, but may be asked to evaluate applications for retention under certain conditions.
- 3.6 ***Committee Operations at all Levels***
- 3.6.1 The Committees shall serve for a term of one year, from July 1 through June 30. Those eligible may not serve at more than one level simultaneously.
- 3.6.2 *Eligibility to vote:* Those eligible to *vote* for members of the Library Faculty Committee and the librarian member of the University Tenure and Promotion Committee, University Libraries Subcommittee are the probationary and tenured Regular Faculty of the unit as defined by the By-laws of the Library Faculty. No person not a member of the library faculty under provisions of the CBA shall be eligible to vote in elections for the Committees.
- 3.6.3 *Eligibility to serve:*
- a. Tenured Regular Faculty who hold the rank of Associate Librarian are eligible to serve on the Library Faculty Retention Committees; and may serve on one other Retention Committee in a department other than their own.
  - b. Tenured Regular Faculty who hold the rank of Librarian are eligible to serve on any Library Faculty Committee, and may serve on one other Committee in a department other than their own.
  - c. The Library Faculty Chair may not serve on his/her own faculty committees, but may serve on a total of two other departments' committees for which they are eligible by rank.
  - d. The Library Faculty Chair, the **Dean of Libraries**, and the Associate **Dean of Libraries**, although members of the Regular Faculty, are not eligible to serve on these Committees.
  - e. Eligibility for service on Tenure and Promotion Committees will reflect the faculty member's status as of September of the evaluation year.
- 3.6.4 Each member of a Committee shall vote on every case before the Committee. A majority of the total Committee membership must vote in favor of the candidate in order for the Committee's recommendation to be an affirmative vote.
- 3.6.5 A Committee's recommendation shall be in written form, as a letter to be included in the WPAF. Every member of the Committee shall sign the letter.

3.6.6 A Committee's letter shall state the Committee's recommendation. Ordinarily, the letter will also summarize favorable and unfavorable views according to each of the criteria. For each category of criteria – instructional, professional, university service, and community service – a Committee shall indicate whether the candidate ‘meets expectation,’ ‘exceeds expectations,’ or ‘does not meet expectations.’ In the absence of a unanimous recommendation, the letter shall include two separate sections: one for the majority opinion and one for the minority opinion. The Committee members shall sign only the single letter of the Committee as a whole, with no separate indications of which viewpoint any individual member favors.

3.6.7 Members of Committees and administrators at all levels shall maintain the confidentiality of all substantive business of the Committee. Inquiries from other faculty members about the work of the Committee should be directed to the Committee Chair.

### 3.7 *Consultation with Students*

#### 3.7.1 Notification to Students

- a. The Library Faculty Chair shall post the following notice on the appropriate bulletin board(s):

It is the policy of California State University, East Bay that students may consult with Faculty Retention, Tenure, and Promotion Committees on the retention, tenure, and promotion of faculty. If any student desires to meet with the Library Faculty Retention, Tenure, and Promotion Committee to discuss the performance of a faculty member being considered by the Committee, arrangements can be made with the Library Faculty Chair in Room \_\_\_\_\_ before \_\_\_\_\_.

- b. The Library Faculty may adopt any procedure by which the names of faculty members being considered are made known to students, but in any case, the names shall be available to students, upon request, from the Library Faculty Chair. Students desiring to testify shall make arrangements with the Library Faculty Chair before November 1.
- c. The Library Faculty Chair shall arrange in cooperation with the Library Faculty Retention, Tenure, and Promotion Committee, the time and place of the meeting(s) of the Committee for the purpose of hearing students.

#### 3.7.2 Consultation Procedures

- a. Committee meetings at which student consultation is to take place shall not include any faculty members not on the Committee and must include at least a quorum of the Committee.
- b. Whenever possible, each student requesting consultation shall be heard individually. The Committee, however, may make exceptions when circumstances warrant.
- c. The Committee shall keep a written summary of the comments of each student. Such summary shall specify the course(s) taken or the student’s other involvement with the faculty member. In addition, an alphabetical list of the students who have testified before the

Committee shall be kept. These summaries shall be retained in the Library Faculty office until the expiration of the period during which a grievance could be filed. A candidate has the right to see the summaries related to his or her case.

- d. In its written recommendation on the library faculty member, the Committee shall note whether or not student comments have been received and shall include a summary of comments received and the Committee's evaluation of such comments.

### 3.8 *Rights of the Candidate*

- 3.8.1 The candidate is entitled to be informed of and to have read all materials in his or her WPAF as it goes forward from one level to another.
- 3.8.2 The candidate shall be informed of the recommendation in his or her case at each stage of the reviewing process, and of the reasons for that recommendation. The candidate shall therefore receive copies of the letters of the Committees and of the Library Faculty Chair and of the **Dean of Libraries**, regardless of whether the recommendation is positive or negative. The Library Faculty Chair and the **Dean of Libraries** have the responsibility for providing the candidate with such letters at the appropriate level in accordance with Sections 10.2.4 and 11.3 of this document.
- 3.8.3 The candidate shall have the right to appeal a negative decision at the University Libraries level and to add a letter of rebuttal to his or her WPAF in accordance with provisions of Section 10.2.4 and 11.3 of this document.
- 3.8.4 Any candidate for promotion to any rank may withdraw his or her candidacy at any stage of consideration by requesting this action in writing, of the Library Faculty Chair, who shall take immediate steps to stop all further consideration.
- 3.8.5 When all provisions of this document have been exhausted, a candidate for retention, tenure, or promotion who has received a negative decision from the President may then appeal his or her case in accordance with Article 10 of the CBA ("Grievance Procedures"). In retention cases, this shall not be interpreted to mean that the candidate must first have requested an investigation of bias under provisions of Section 11.4 of this document.
- 3.8.6 The candidate shall have supervised access to his or her WPAF upon request at any point in the evaluation cycle.

### 3.9 *Coping with Bias*

All reviewing bodies are charged with making their recommendations without bias. Nevertheless, it is recognized that personal prejudice may insert itself into personnel decisions. Sections 12.2.4 (b) and 12.2.5 of this document provide, with regard to tenure and promotion cases, that the University Tenure and Promotion Committee, University Libraries Subcommittee be especially alert for this problem, and empowers it to undertake whatever special investigation may be necessary to evaluate the degree of bias at lower levels of review and to make appropriate recommendations to the President. A candidate for retention, notwithstanding the

fact that his or her case does not ordinarily go to the University Tenure and Promotion Committee, University Libraries Subcommittee, may have similar recourse to that Committee on charges of bias, as specified in Section 11.4 of this document.

### 3.10 *Deadlines*

- 3.10.1 Deadline dates for retention, tenure, and promotion proceedings are listed on the final page of this document. The deadlines are established not only for administrative convenience and legal requirements, but also to ensure equitable consideration of all cases.
- 3.10.2 The candidate must submit the complete dossier to the Library Faculty Chair in the Library Office and the dossier index to the Provost's Office by the specified deadline date. Upon written request of the candidate, the Library Faculty Chair may extend the deadline, but only for the most compelling reasons, and for no more than two weeks.
- a. A candidate who submits the dossier after the established deadline will not be considered for promotion that year, and the Library Faculty Chair shall so notify the **Dean of Libraries** in writing, with a copy to the candidate.
  - b. If a candidate for retention or tenure fails to comply with the obligation to provide a dossier of materials within the established deadlines, then in accordance with Article 15.12a of the CBA, the evaluation will proceed on the basis of material deemed appropriate by the Library Faculty Chair after consultation with the **Dean of Libraries**.
- 3.10.3 WPAFs shall be transferred to the next level of review or administrator as soon as possible, and in no case later than the deadline date. If a recommendation is unfinished by the deadline, the candidate shall be so notified, and a copy of the notification shall be attached to the WPAF (see Article 15.44 of the CBA). At any stage of the review process, if there are omissions of documentation, information, or recommendations, it may be returned for amplification. Such amplification shall be provided in a timely manner.

## 4.0 **DEFINITION OF UNIFORM CRITERIA**

All library faculty members, whatever their rank, experience, or discipline, are engaged in a similar intellectual enterprise and perform essentially the same kinds of services for the University. Hence faculty will be evaluated according to uniform criteria for instructional achievement, professional achievement, university service, and community service. In light of the multiple duties of librarianship, instructional achievement will encompass instruction, reference, collection development, liaison work, and any other duties assigned by the nature of the position held by the candidate.

One exception applies regarding professional achievement:

The Library Faculty may establish and maintain faculty guidelines for professional achievement that are consistent with a) the unit's discipline or disciplines; b) the uniform criteria for professional achievement outlined in Section 4.3 below; and c) CSU professional criteria in general, as suitable to a primarily teaching university. The guidelines will be developed by library faculty in consultation

with the **Dean of Libraries**. To be considered in the retention, tenure, and promotion process, these guidelines for professional achievement must be approved by a majority vote of all regular library faculty and by the **Dean of Libraries**. Such guidelines, with a dated record recording approval by the faculty and by the **Dean of Libraries**, shall be kept on file in the offices of the **Dean of Libraries** and the Provost and Vice President of Academic Affairs. Faculty guidelines may not be used retroactively. Any revisions of faculty guidelines must also be approved by a majority vote of the library faculty and by the **Dean of Libraries**.

#### 4.1 *Degree*

This criterion is met by the possession of the Master's degree from a graduate program in library and information sciences accredited by the American Library Association, or an advanced degree of equivalent quality. The University Libraries shall maintain with the Office of the Provost and Vice President of Academic Affairs an approved memorandum of understanding that will define the appropriate terminal degree for faculty serving in the University Libraries.

The University Libraries, by majority vote of the tenured faculty of the University Libraries, shall also file with the Office of the Provost and Vice President for Academic Affairs a memorandum of understanding that will define equivalence for each terminal degree which is appropriate for members of the University Libraries. This memorandum must be approved by the Provost and Vice President for Academic Affairs and by the Academic Senate's Faculty Affairs Committee before it can become effective. Unless the appropriate memorandum is on file, no person shall be deemed to have such equivalence. Once a person receives an equivalent designation under this policy, no further designations of equivalency are required.

#### 4.2 *Instructional Achievement*

Instructional achievement may be demonstrated by documentary evidence of the ability to select appropriate materials, to present course content effectively, and to make significant demands upon the intelligence and industry of students. Such documentary evidence shall include impartially administered student evaluations, peer evaluations, course syllabi, and additional information, such as samples of student work evaluated by the candidate, examinations, and supplemental materials. (See Section 3.3.2f.)

Student evaluations will be considered as one element in the full evaluation of instructional achievement. Additional support of instructional achievement may include evidence of any of the following, or other appropriate activities:

- creativity in coursework and other instructional activities, as demonstrated by innovative techniques, adaptation of instructional content to reflect change and progress in the subject matter, or by initiation of and participation in student-oriented seminars, colloquia, workshops, exhibitions, dramatic performances, debates, forums, recitals, etc.;
- ability to develop and present new courses, activities, or materials, as demonstrated by content outlines, guides to information resources in the appropriate presentation media, or by acceptance of activities or materials by faculty and students;

- student achievement and recognition as demonstrated by awards, fellowships, publications, exhibits, or entry into professional training or graduate programs, when such recognition is an outgrowth of the instructor's guidance and instructional effectiveness.
- ability to advise students and to provide effective research assistance to students and faculty;
- ability to relate the discipline to other disciplines and fields of endeavor, as demonstrated by participation in interdisciplinary programs, seminars, and forums; and in freshmen learning communities;
- ability to develop collection resources in support of the curricular and academic mission of the University;
- ability to relate library resources and services to relevant departments and disciplines and to interpret department and disciplinary needs to the library as demonstrated by course-related library instruction, discipline-based guides, or working with department-based faculty to improve library resources and services;
- ability to plan, organize, operate, or supervise activities which enhance library resources and services or that are in support of the Library's academic mission;
- contributions to the development of hybrid and online learning;
- instructionally-related administrative assignments;
- ability to provide effective instruction to a multiethnic and culturally diverse student population;
- successful supervision of graduate student interns.

#### 4.3 *Professional Achievement*

Uniform criteria for professional achievement are demonstrated by material documenting meritorious contributions and recognition within the field(s) of the candidate's competence. *In retention cases*, evidence of substantial progress to achievement of the Doctorate or other normal terminal degree may qualify also as evidence of professional achievement. *In tenure cases*, the recent award of the Doctorate or other normal terminal degree may qualify as evidence of professional achievement. This may be shown by any of the following, as appropriate to the discipline:

- publications in the form of contributions to professional journals of regional, national, or international circulation, or in the form of works published by publishing houses of regional, national, or international repute, together with pertinent reviews of the published works;
- critical, review, or other contributions to periodicals such as journals, magazines, newspapers, newsletters, or other communication media;

- presentations, poster sessions, etc. at professional conferences, seminars, workshops, institutes or special programs;
- planning, organizing, or participating in professional meetings at the regional, state, national, or international level;
- service on committees or boards of professional societies or organizations;
- continuing education that maintains and enhances professional knowledge or skills by courses, additional advanced degrees, or attending workshops, conferences, seminars, or similar meetings;
- contributions to the scholarship of teaching;
- an active program of scholarly or creative work in progress relevant to the discipline or to the academic assignment;
- service on committees or boards of professional societies and organizations;
- receipt of awards, prizes, fellowships, or grants;
- professional consultancies, showing the nature of the consultancies, and the nature of the organizations requesting the consultant service;

#### 4.4 *University Service*

Internal University contributions may be demonstrated by documentary material showing service to the University in such areas as:

- faculty government;
- committee service at the Library Faculty, Library, University, or CSU System levels;
- activities that enhance the University's ability to serve the needs of a multiethnic and non-traditional student body;
- assistance in student activities;
- University administrative assignments;
- coordination of student-learning activities outside the classroom;
- administrative assignments not involving instruction.

#### 4.5 *Community Service*

External representation may be demonstrated by documentary material to show achievement and recognition in community service which enhances the community well-being and the relationship between the University and the community. The term "community" may be seen to be local, regional, state, national, or international in character. Evidence may also be included of achievement as a University representative in local, regional, state, national or international organizations. Community service may be demonstrated by documentary material in such areas as:

- service on local, state, or national government councils, boards, committees, task forces, etc.;
- service on local or state, private or public agencies or civic organizations, councils, boards, task forces, etc.;
- presentations, classroom participation, and professional services in local schools;
- supervision of student community service projects;
- presentations to public and private civic organizations.

## **5.0 RETENTION**

### **5.1 *Expectations***

Reappointment of an untenured faculty member is not routine; an untenured faculty member must demonstrate to the University that he or she is worthy of retention. A recommendation for retention carries no obligation for the future award of tenure. However, it assumes that the candidate meets not only criteria in Section 5.2, but also shows promise of satisfying the criteria for tenure and promotion as described in Sections 6.3, 7.3, 8.3, and 9.3. There shall be greater evidence of achievement the closer the candidate is to being considered for tenure.

### **5.2 *Criteria***

The candidate's dossier shall contain documentary evidence to substantiate performance and promise under criteria 5.2.1, 5.2.2, 5.2.3 below, and may also contain evidence substantiating performance under criteria 5.2.4 and 5.2.5. First and highest priority shall be accorded to 5.2.1. Next highest priority shall be awarded to 5.2.2, followed by 5.2.3. Lower priority shall be accorded to 5.2.4, and lowest priority to 5.2.5.

5.2.1 *Degree* (see Section 4.1)

5.2.2 *Instructional Achievement* (see Section 4.2)

5.2.3 *Professional Achievement* (see Section 4.3)

5.2.4 *University Service* (see Section 4.4)

5.2.5 *Community Service* (see Section 4.5)

### 5.3 *Procedures*

- 5.3.1 Each untenured probationary faculty member shall be evaluated for retention each year, in accordance with the procedures outlined in sections 3.0 and 10.0 of this document.
- 5.3.2 A faculty member who is serving in a terminal “notice” year may request that the previous negative decision on reappointment be reconsidered. The Library Faculty Tenure and Promotion Committee shall evaluate new evidence provided by the faculty member, and shall recommend that the request be granted or denied; it shall forward the WPAF, with the new evidence, to the Library Faculty Chair. The Library Faculty Chair shall recommend that the request be granted or denied; he or she shall then forward both the recommendations to the President. If the President grants the request, reconsideration shall be accomplished on the same basis and according to the same criteria as if it were a regular consideration for reappointment.

## 6.0 **TENURE**

### 6.1 *Expectations*

Tenure constitutes more than recognition of past teaching performance and scholarly work. It is a judgment by the faculty that the candidate will continue to contribute into the future to the development of the University. Tenure is a commitment (into the future) in anticipation of contributions to the University in the areas of instructional achievement, professional achievement, university service, and community service, and should only be granted within this framework.

### 6.2 *Eligibility*

Eligibility for tenure is governed by the CBA, Article 13. The major provisions follow.

- 6.2.1 A probationary library faculty member is subject to review according to these procedures for the purpose of the award of tenure.
- 6.2.2 The normal period of probation is six years of full-time probationary service and credited service, if any. For the purposes of calculating the probationary period, a year of service commences with the first fall term of appointment. At the time of initial appointment to probationary status, up to two years of credited service for probation may be granted by the President, upon recommendation by the affected unit. Any deviation from the normal six year probationary period shall be the decision of the President following his or her consideration of recommendations from the Library Faculty and **Dean of Libraries**. The President may award tenure to a faculty member before the normal six year probationary period.

### 6.3 *Criteria*

The candidate's dossier shall contain documentary evidence to substantiate performance and promise under criteria 6.3.1, 6.3.2, 6.3.3, and 6.3.4, and may also contain evidence substantiating performance under criterion 6.3.5. First and highest priority shall be accorded to 6.3.1. Next highest priority shall be accorded to 6.3.2, followed by 6.3.3. Lower priority shall be accorded to 6.3.4 and lowest priority to 6.3.5.

6.3.1 *Degree* (see Section 4.1)

6.3.2 *Instructional Achievement* (see Section 4.2)

6.3.3 *Professional Achievement* (see Section 4.3)

6.3.4 *University Service* (see Section 4.4)

6.3.5 *Community Service* (see Section 4.5)

#### 6.4 ***Procedures***

6.4.1 Tenure determination procedures are those outlined in sections 3.0, 10.0, 11.0, and 12.0 of this document.

6.4.2 The President shall officially notify the probationary faculty member 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. If tenure is denied, the President shall notify the faculty member by June 1 of a subsequent probationary appointment or a terminal year appointment. Terminal year appointments shall be limited to probationary faculty members who have served a minimum of three years.

6.4.3 A faculty member who is serving in a terminal “notice” year may request that the previous negative decision on tenure be reconsidered. The Library Faculty Committee on Tenure and Promotion shall evaluate new evidence provided by the faculty member, and shall recommend that the request be granted or denied; it shall forward the WPAF, with the new evidence, to the Library Faculty Chair. The Library Faculty Chair shall recommend that the request be granted or denied; he or she shall then forward both the recommendations to the President. If the President grants the request, reconsideration shall be accomplished on the same basis and according to the same criteria as if it were a regular consideration for reappointment.

#### 6.5 ***Early Tenure***

6.5.1 The normal period of probation is six years. Any deviation from this standard is unusual and shall require such an unusually strong profile of performance in all aspects of tenure criteria or other factors as to make the case unambiguously compelling.

6.5.2 A Senior Assistant Librarian who has not completed the probationary period and wishes to be considered for early tenure must submit to the Library Faculty Chair a written letter titled “Request for Consideration for Early Tenure,” which will be included in the candidate’s WPAF.

6.5.3 To be considered for tenure under these circumstances, a candidate’s dossier must contain evidence of extraordinary achievement or recognition beyond the normal expectations for tenure under either the instructional or professional criteria, while also satisfying the other criteria appropriate to tenure.

- 6.5.4 The Library Faculty Committee and the Library Faculty Chair, as well as the **Dean of Libraries**, must each complete a thorough review of the candidate's WPAF and must state in their separate letters that the candidate's case is an unambiguously compelling example of extraordinary achievement beyond the expectations for normal tenure.
- 6.5.5 The calendar and sequence of evaluation for early tenure will be the same as those for normal tenure.

## **7.0 PROMOTION FROM SENIOR ASSISTANT LIBRARIAN TO ASSOCIATE LIBRARIAN**

### **7.1 *Expectations***

The Senior Assistant Librarian in the early stages of his or her appointment is typically facing full instructional responsibilities for the first time. It is necessary to combine instruction with the continuance of scholarly interest and contribution. Additional University responsibilities may include committee work and administrative assignments. A Senior Assistant Librarian should have completed the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion to Associate Librarian. Effectiveness in instructional achievement, professional achievement, university service, and community service should be the general criteria for promotion to Associate Librarian rank.

### **7.2 *Eligibility***

- 7.2.1 A Senior Assistant Librarian must hold the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion. If this condition is met, a Senior Assistant Librarian is entitled to be considered for promotion to Associate Librarian when he or she has served a minimum of either five (5) years as a Senior Assistant Librarian, or met any other criteria established as sufficient by the current CBA.
- 7.2.2 However, before receiving tenure, a faculty member shall not normally be promoted to, and cannot be promoted beyond, the rank of Associate Librarian.

### **7.3 *Criteria***

The candidate's dossier shall contain strong evidence documenting performance under 7.3.1, 7.3.2, and 7.3.3, and may also contain evidence substantiating performance under 7.3.4. Highest priority shall be accorded to criterion 7.3.1, followed by 7.3.2. Lower priority shall be accorded to 7.3.3, and lowest priority to 7.3.4.

7.3.1 *Instructional Achievement* (see Section 4.2)

7.3.2 *Professional Achievement* (see Section 4.3)

7.3.3 *University Service* (see Section 4.4)

7.3.4 *Community Service* (see Section 4.5)

## **7.4 Procedures**

Evaluation for promotion at this level shall take place according to procedures specified in Sections 3.0, 10.0, 11.0, and 12.0 of this document.

## **7.5 Early Promotion to Associate Librarian**

- 7.5.1 Promotion to Associate Librarian prior to attaining eligibility is exceptional and is reserved for those individuals who have demonstrated exceptional professional value to the University.
- 7.5.2 A Senior Assistant Librarian who has not completed the probationary period but has completed at least one year of full-time service to the University and wishes to be considered for early promotion must submit to the Library Faculty Chair a written letter titled "Request for Consideration for Early Promotion," which will be included in the candidate's WPAF.
- 7.5.3 To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition under either the instructional or professional criteria while also satisfying the other criteria appropriate to that promotional level.
- 7.5.4 The calendar and sequence of evaluation for early promotion to Associate Librarian will be the same as those for normal promotion to Associate Librarian.
- 7.5.5 The Library Faculty Committee and the Library Faculty Chair, as well as the **Dean of Libraries**, must each complete a thorough review of the candidate's WPAF and must state in their separate letters that the candidate has demonstrated exceptional professional value to the University.

## **8.0 PROMOTION FROM ASSOCIATE LIBRARIAN TO FULL LIBRARIAN**

### **8.1 Expectations**

The Associate Librarian must have completed the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion to Librarian. The Associate Librarian will typically be a library faculty member who has already demonstrated (at this University or at another college or university) a consistent record of excellent instructional competence, the ability to make sustained scholarly contributions, a commitment to university service, and a commitment to community service. Evaluations will be primarily based on a candidate's achievement since his or her last promotion. The general criterion for this promotional step is, therefore, whether the accomplishments of the Associate Librarian are meritorious. Promotion to Full Librarian is not automatic.

### **8.2 Eligibility**

An Associate Librarian must hold the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion to Librarian. Tenure must have been awarded either previously or simultaneously before promotion to Librarian is possible. If these conditions are met, a person may be considered for promotion to Librarian when he or she has served four (4) years as an Associate Professor or met any other criteria established as sufficient under the current CBA.

### **8.3    *Criteria***

The candidate's dossier shall contain strong evidence documenting performance under 8.3.1, 8.3.2, and 8.3.3, and may also contain evidence substantiating performance under 8.3.4. Highest priority shall be accorded to criterion 8.3.1, followed by 8.3.2. Lower priority shall be accorded to 8.3.3, and lowest priority to 8.3.4.

8.3.1    *Instructional Achievement* (see 4.2). The evidence must demonstrate sustained and superior performance in instruction.

8.3.2    *Professional Achievement* (see Section 4.3). The evidence must demonstrate a record of sustained professional achievement or creative achievement within the candidate's field, based on efforts after completion of requirements for the normal terminal degree.

8.3.3    *University Service* (see Section 4.4).

8.3.4    *Community Service* (see Section 4.5).

### **8.4    *Procedures***

Evaluation for promotion at this level shall take place according to procedures specified in Sections 3.0, 10.0, 11.0, and 12.0 of this document.

### **8.5    *Early Promotion to Full Librarian***

8.5.1    Promotion to Librarian prior to attaining eligibility is exceptional and is reserved for those individuals who have demonstrated exceptional professional value to the University.

8.5.2    An Associate Librarian who wishes to be considered for early promotion must submit to the Library Faculty Chair a written letter titled "Request for Consideration for Early Promotion," which will be included in the candidate's WPAF.

8.5.3    To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition under either the instructional or professional criteria while also satisfying the other criteria appropriate to that promotional level.

8.5.4    The calendar and sequence of evaluation for early promotion to Full Librarian will be the same as those for normal promotion to Full Librarian.

8.5.5    The Library Faculty Committee and the Library Faculty Chair, as well as the **Dean of Libraries**, must each complete a thorough review of the candidate's WPAF and must state in their separate letters that the candidate has demonstrated exceptional professional value to the University.

### **9.0    **CANDIDATES WITH JOINT APPOINTMENTS, ADMINISTRATIVE APPOINTMENTS, RESEARCH GRANTS, AND/OR ASSIGNED TIME FOR PROFESSIONAL ACHIEVEMENT****

## 9.1 *Joint Appointments*

### 9.1.1 Criteria

A candidate holding a joint appointment in any rank will be evaluated according to the uniform criteria in Section 4.0 of this document.

### 9.1.2 Eligibility

The candidate will meet the same eligibility requirements as all other faculty.

### 9.1.3 Procedures

Procedures for candidates with joint appointment are the same as for all other faculty, with the following considerations:

- a. The candidate will be evaluated in his or her designated home unit;
- b. The candidate may request an evaluation by his or her other department or departments;
- c. The home Library Faculty Committee or Library Faculty Chair may request an evaluation of the candidate by his or her other department or departments.

## 9.2 *Administrative Assignments*

9.2.1 A candidate who is a regular member of the library faculty and who serves wholly or partially in an administrative assignment shall be judged for tenure and promotion based upon his or her performance in both his or her administrative and faculty positions.

9.2.2 Candidates with administrative appointments will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.

9.2.3 The candidate's service in his or her administrative assignments shall carry weight in the judgment of the Committees, Library Faculty Chair, and **Dean of Libraries**.

9.2.4 Procedures for candidates with an administrative assignment are the same as for all other faculty, except that candidates should include evidence in their dossier of work completed under the administrative assignment.

## 9.3 *Candidates with Research Grants*

9.3.1 Candidates with research grants that fund assigned time will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.

9.3.2 Such candidates will be held to high standards of professional achievement.

#### 9.4 *Candidates with Assigned Time for Professional Achievement*

- 9.4.1 Candidates with assigned time for professional achievement will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.
- 9.4.2 Such candidates will be held to high standards of professional achievement.

### 10.0 REVIEW BY THE LIBRARY FACULTY

#### 10.1 *Formation of the Library Faculty Committee(s)*

The Library Faculty Committee(s) shall consist of three members or more, at the option of the Library Faculty. These members must satisfy the eligibility requirements of Section 3.6.3 and be Regular Members of the Library Faculty as defined by the By-laws of the Library Faculty. In addition, such faculty members must be assigned half time or more within the unit.

- 10.1.1 If only three members of the Library Faculty satisfy these requirements, then, whenever possible, the Library Faculty Retention and/or Tenure and Promotion Committee(s) shall consist of these members and no others. Committee(s) may make recommendations only on retention, tenure, and promotion, and shall perform no other functions.
- 10.1.2 If the Library Faculty has fewer than three members eligible for service on the Committee(s), the membership shall be brought up to three in the following manner:
- a. The Library Faculty Chair shall obtain from the **Dean of Libraries** a list of faculty who are assigned at least 2/3 time in teaching and/or research within the other Colleges and who satisfy the eligibility requirements of Section 3.6.3;
  - b. Nominations from this list shall be made by the Library Faculty members. At least two nominations from the list are required for each remaining vacancy on the Library Faculty Tenure and Promotion Committee;
  - c. Elections shall be conducted according to provisions of Section 10.1.3 below.
- 10.1.3 When the number of eligible faculty exceeds three, the Library Faculty Tenure and Promotion Committee(s) shall be elected by secret ballot of the Library Faculty. The Faculty members eligible to vote are those eligible under provisions of Section 3.6.2 and who are assigned 1/2 time or more within the unit.
- 10.1.4 The election of the Committee(s) shall occur after the election of the Library Faculty representatives to the University Tenure and Promotion Committee, University Libraries Subcommittee, between May 1 and the end of Spring Quarter. If the academic calendar leaves too little time for adequate election arrangements before the end of Spring Quarter, the Library Faculty Tenure and Promotion Committee(s) may be elected in the first week of the Fall Quarter.

The term of office shall be July 1 through June 30 of the subsequent year. Members may be elected for consecutive terms.

10.1.5 Members of the Committee(s) on leave of absence may be replaced for the duration of the leave for the term of service by an election of an eligible replacement.

## 10.2 *Functions of the Library Faculty and the Library Faculty Chair*

10.2.1 The Library Faculty Chair shall have the responsibility for:

- a. convening the first meeting of the Library Faculty Tenure and Promotion Committee(s) not later than the first week of the Fall Quarter at which time the members of the Committee(s) shall elect one of their number as Chair;
- b. providing the Committee(s) with a list of candidates eligible for retention, tenure, and promotion from within the Library Faculty;
- c. collecting the WPAF in support of each candidacy;
- d. reviewing with the Committee(s) the procedure, criteria, and eligibility requirements appropriate to the cases before the Committee(s);
- e. informing the Committee(s) that they may review the candidate's PAF, in addition to Folder #1, and teaching evaluations on file at the Library Faculty office as part of their deliberations.

10.2.2 The Library Faculty Promotion and Tenure Committee(s) shall carefully examine all the documentation supporting each candidacy, and may seek additional relevant evidence and consult with other Library Faculty. Any additional evidence, with the exception of original student evaluations on file at the Library Faculty Office, must be approved by the University Committee for inclusion in the WPAF, in accordance with section 3.4 of this document.

10.2.3 The Committee(s) shall make a recommendation, which shall be expressed in the form of a vote. The voting option shall be "yes" or "no." The Committee(s)' recommendation will be deemed favorable only if a majority of "yes" votes is obtained. The total membership of the Committee(s), rather than those present, is to form the basis for determining a majority. All members of the Committee(s) must vote on each candidate. The Library Faculty Committee(s)' decision shall be guided by the uniform criteria in this document, and the library faculty approved guidelines for professional achievement.

10.2.4 The Committee(s) shall thereafter return each WPAF to the Library Faculty Chair. A single letter from the Committee(s) shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views relative to the recommendation. For each category of criteria – instructional, professional, university service, and community service – the Committee(s) shall indicate whether the candidate 'meets expectations,' 'exceeds expectations,' or 'does not meet expectations.' In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see Section 3.6.6). The letter as a whole must

be signed by each member of the Committee(s). These signatures shall be obtained only after completion of the procedures described in Sections 10.2.1 and 10.2.2 above.

- 10.2.5 The Committee(s) shall notify the library faculty member of the recommendation and provide the faculty member with a copy of the Committee(s)' letter of recommendation no later than the deadline date for transmittal of WPAFs to the Library Faculty Chair. Official date of receipt of the letter shall be defined as the deadline date.
- a. The candidate may provide a letter and/or request a meeting in response to any recommendation from the Committee(s) within ten (10) calendar days after the date of the receipt of the letter of recommendation.
  - b. The candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Committee(s) to discuss the recommendation. The request for reconsideration and submission of the rebuttal letter and/or request for a meeting with the Committee(s) to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter of recommendation.
  - c. If a meeting is requested, the meeting will be held as soon as possible, but normally not later than ten (10) calendar days after the Committee(s) have received the request from the candidate. A rebuttal letter shall be read by the members of the Library Faculty Committee(s). If a meeting has been held and/or a rebuttal letter submitted, the Committee(s) shall send, as soon as possible, a memorandum containing the subsequent recommendations to the Library Faculty Chair. This memorandum shall be forwarded to be placed in the candidate's WPAF, with a copy to the candidate.
- 10.2.6 The Library Faculty Chair shall make a separate recommendation, and provide the faculty member with a copy of the letter no later than the deadline date for transmittal of WPAFs to the **Dean of Libraries**' Office. For each category of criteria – instructional, professional, university service, and community service – the Chair shall indicate whether the candidate 'meets expectations,' 'exceeds expectations,' or 'does not meet expectations.'
- a. The candidate may provide a letter and/or request a meeting in response to any recommendation from the Chair within ten (10) calendar days after the date of the receipt of the letter of recommendation.
  - b. The candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Chair. The request for reconsideration and submission of the rebuttal letter and/or request for a meeting with the Chair to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter.
  - c. If a meeting is requested, the meeting will be held as soon as possible, but normally not later than five (5) calendar days after the Chair has received the request from the candidate. A rebuttal letter shall be read by the Chair. A copy of the rebuttal letter shall be provided by the Chair to the Library Faculty Committee(s). If there has been a meeting and/or submission of a rebuttal letter, the Chair shall write a subsequent recommendation to be

forwarded as soon as possible to the **Dean of Libraries**, with copies to the Library Faculty Committee(s) and the candidate.

10.2.7 The candidate who has received an *unfavorable recommendation* on promotion may request in writing to the Library Faculty Chair that his or her case be withdrawn from consideration and that the dossier not be forwarded; on receipt of such a request the Chair shall take the necessary action to withdraw the candidate's case from further consideration during that academic year.

10.2.8 In retention cases where the Library Faculty Committee(s) and the Library Faculty Chair disagree in their recommendation, the case shall be forwarded to the University Tenure and Promotion Committee, University Libraries Subcommittee for its separate recommendation, in accordance with provisions of Section 3.1.2.

## 11.0 REVIEW BY THE **DEAN OF LIBRARIES**

### 11.1 *Functions of the Dean of Libraries*

11.2 The responsibilities of the **Dean of Libraries** shall be to:

- a. Receive the WPAFs accompanying each candidacy;
- b. Examine all of the documentation in the candidate's WPAF and teaching evaluations on file in the Library Faculty office as part of his or her deliberations.

11.3 The **Dean of Libraries** shall make a separate recommendation, which shall indicate for each category of criteria – instructional, professional, university service, and community service – whether the candidate ‘meets expectations,’ ‘exceeds expectations,’ or ‘does not meet expectations.’ The **Dean of Libraries** shall provide the faculty member with a copy of the letter no later than the deadline date for the transmittal of WPAFs to the University level. Official date of receipt of the letter shall be defined as the deadline date.

- a. The candidate may provide a letter and/or request a meeting in response to any recommendation from the Chair within ten (10) calendar days after the date of the receipt of the letter of recommendation.
- b. The candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the **Dean of Libraries**. The request for reconsideration and submission of the rebuttal letter and/or request for meeting with the **Dean of Libraries** to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter.
- c. The meeting will be held as soon as possible, but normally not later than ten (10) calendar days after the **Dean of Libraries** has received the request from the candidate. A rebuttal letter shall be read by the **Dean of Libraries**. Copies of the rebuttal letter shall be sent by the **Dean of Libraries** to the previous levels of review. If there has been a meeting and/or submission of a rebuttal letter, the **Dean of Libraries** shall write a subsequent

recommendation to be forwarded as soon as possible to the University level, with copies to the candidate, the Library Faculty Chair, and the Library Faculty Committee.

- 11.4 A candidate for retention who has received a negative recommendation from the **Dean of Libraries** and who believes that the decision has been influenced by bias, or by erroneous information introduced at any of the levels of review, may request the University Tenure and Promotion Committee, University Libraries Subcommittee to review the case and make its own recommendations to the President, according to the procedures specified in section 12.2.4(b). The request for review by the University Subcommittee must be in writing, must specify in detail the evidence supporting a charge of bias, and must be made within five (5) calendar days of receipt of the **Dean of Libraries'** negative recommendation. Copies of the request must be provided to all persons against whom charges of bias, or the evidence regarding introduction of erroneous material, are brought.
- 11.5 The candidate who has received an unfavorable recommendation on promotion at the **Dean of Libraries** level may request in writing to the Library Faculty Chair that his or her case be withdrawn from consideration and that the dossier not be forwarded; on receipt of such a request, the Chair shall take the necessary action to withdraw the candidate's case from further consideration during that academic year.

## **12.0 REVIEW BY THE UNIVERSITY AND THE PRESIDENT**

### **12.1 *Formation of the University Tenure and Promotion Committee, University Libraries Subcommittee***

- 12.1.1 The University Tenure and Promotion Committee, University Libraries Subcommittee shall be a regular subcommittee when required. The Chair of the University Committee shall appoint two of the three regular faculty members of the Subcommittee, at least one of whom shall be an elected member of the University Committee. The third member of the Subcommittee shall be elected by the Library Faculty. All three shall be tenured faculty members.
- 12.1.2 The Library Faculty Chair shall arrange for the nomination and election of the third member of the University Tenure and Promotion Committee, University Libraries Subcommittee. There shall be at least two nominees. Balloting shall be secret and conducted over a period of at least five (5) academic calendar days. This election shall be held no later than May 1. The Library Faculty Chair shall exercise proper security measures over the ballots.
- a. If only one library faculty member is eligible to serve on the University Promotion and Tenure Committee, University Libraries Subcommittee in accordance with the provisions of sections 10.1.4 and 10.1.5, that library faculty member shall serve as the third member of the Subcommittee.
  - b. If no library faculty member is eligible to serve on the University Tenure and Promotion Committee, University Libraries Subcommittee, the election of an eligible faculty member shall be conducted in the following manner:

- i. The Library Faculty Chair shall obtain from the **Dean of Libraries** a list of faculty assigned at least 2/3 time in teaching and/or research within the other Colleges who satisfy the eligibility requirements of Section 3.6.3.
- ii. Nominations from this list shall be made by the Library faculty members. At least two nominations from the list are required for the vacancy on the Subcommittee;
- c. Elections shall be conducted according to the provisions of 12.1.3.

12.1.3 Those eligible to vote shall be the Regular Members of the Library Faculty, in accordance with provisions of Section 3.6.3.

12.1.4 Those eligible to serve shall be Regular Members of the Library Faculty, in accordance with provisions of Section 3.5.3 and Section 12.1.5 below.

12.1.5 The following shall not be eligible to serve on the University Tenure and Promotion Committee, University Libraries Subcommittee.

- a. those library faculty members who have served two previous terms on the University Tenure and Promotion Committee, University Libraries Subcommittee during the preceding five years, including the year in which the election is being held.
- b. those library faculty members who have served on the University Tenure and Promotion Committee, University Libraries Subcommittee in the previous term.
- c. those faculty members who will not be active during Fall, Winter, or Spring of the year of the term of service, unless a faculty member is available and willing to serve during the quarter or quarters in which he or she is not active.

12.1.6 Should a vacancy occur on the University Tenure and Promotion Committee, University Libraries Subcommittee, the Library Faculty shall elect an alternate, after the election for the University Tenure and Promotion Committee, University Libraries Subcommittee has been completed, provided that the election of an alternate shall not be later than the fourth week of Fall Quarter. The names of the member and alternate elected by the Library Faculty shall be reported to the Office of the President and to the Office of the Academic Senate.

If no library faculty member is eligible to serve as alternate, the alternate nominations shall be made in accordance with Section 12.1.2.

12.1.7 An alternate shall serve on the University Tenure and Promotion Committee, University Libraries Subcommittee only if the respective Library member becomes ineligible or is unable to serve by reason of illness, death, or resignation.

12.1.8 The Chair of the University Tenure and Promotion Committee or his/her designee shall act as convener of the Subcommittee and shall convene its first meeting no later than November 1 if there are candidates for tenure or promotion. The Chair or his/her designee shall at that time review with the Subcommittee its responsibilities as herein detailed.

12.1.9 Acting on behalf of the President, the Provost and Vice President for Academic Affairs:

- a. shall transmit the WPAFs to the Subcommittee;
- b. shall not serve as a member of the Subcommittee nor participate in its deliberations.

## 12.2 *Functions*

12.2.1 At its first meeting, the Subcommittee shall elect one of its members to serve as Chair and another to serve as Secretary.

12.2.2 The Secretary shall keep such internal records as the Subcommittee may require and shall record the vote on each candidate.

12.2.3 *The responsibilities of the Chair of the Subcommittee shall be to:*

- a. review, together with the Subcommittee, the criteria for tenure and each promotional step;
- b. receive the WPAFs of documentation accompanying each candidacy and to arrange, so far as possible, for their grouping and consideration by types of candidacy;
- c. inform the Subcommittee that they may review the candidate's PAF and teaching evaluations on file in the Library Faculty office as part of their deliberations;
- d. examine, together with the Subcommittee, all of the documentation in the candidate's WPAF and, should the Subcommittee so desire, seek additional oral or written statements from the candidate or other members of the Faculty and make all materials available to the Subcommittee;
- e. encourage full and frank discussion, in Subcommittee session, of the strengths and weaknesses of each candidacy before voting takes place on that candidacy;
- f. transmit via the University Promotion and Tenure Committee to the President the final recommendation on each candidacy; no recommendations will be transmitted until all the dossiers have been evaluated or until the established deadline date for recommendation to the President;
- g. accept candidacy dossiers after the deadline, but only with a letter of explanation for such delay from the Library Faculty Chair and/or **Dean of Libraries** on approval by the University Subcommittee.

12.2.4 *The primary functions of the Subcommittee shall be to:*

- a. ensure consistency and appropriateness in the application of criteria and procedures within the Library Faculty and by the **Dean of Libraries**;

- b. determine whether either professional or personal bias has played a part in the making of recommendations at lower levels.
- c. carefully examine all documentation supporting each candidacy and make a recommendation in the form of a vote.

12.2.5 *In cases of special review for bias:*

- a. In order to make such a determination, the Subcommittee may undertake a special review of the case to obtain such additional information as it deems necessary.
- b. If the Subcommittee finds bias it may so note in making its own substantive recommendation to the President. Alternatively, the Subcommittee may recommend to the President that the case be reconsidered at lower levels in such a way as to eliminate the source of bias, provided such reconsideration is possible under applicable deadlines.
- c. If the Subcommittee determines, following receipt of a request for investigation under Section 11.4, that there is not sufficient evidence of bias to justify an investigation, it shall so inform the candidate, the **Dean of Libraries**, and the President.

12.2.6 *Regarding professional criteria:*

In making its recommendation, unless bias is at issue, the Subcommittee shall decline to pass judgment on the specialized professional qualifications of the candidate but, rather, shall accept the judgment of those in the discipline of the candidate or in kindred disciplines regarding specialized professional qualifications. Members of the Subcommittee shall act as representatives of the entire University, rather than of a department or college.

- 12.2.7 Each member of the Subcommittee, including the Chair, shall vote. The voting option shall be “yes” or “no.” The Subcommittee’s recommendation will be read as favorable only if a majority of the total membership of the Subcommittee votes “yes.” All members of the Subcommittee shall vote on each candidacy.
- 12.2.8 The Subcommittee may return to any dossier and reopen discussion and voting up to the deadline date when final recommendations must reach the President.
- 12.2.9 A single letter from the Subcommittee shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views. In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see section 3.6.6). The letter as a whole must be signed by each member at the conclusion of the deliberations of the Subcommittee, and submitted to the President via the Office of the Provost and Vice President of Academic Affairs.
- 12.2.10 The Subcommittee shall notify the faculty member of its recommendation and provide the faculty member with a copy of the Subcommittee's letter of recommendation no later than the deadline date for transmittal of WPAFs to the President. Official date of receipt of the letter shall be defined as the deadline date.

- a. The candidate may provide a letter and/or request a meeting in response to any recommendation from the committee within ten (10) calendar days after the date of the receipt of the letter.
- b. The candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Subcommittee to discuss the recommendation. The request for reconsideration and submission of the rebuttal letter and/or request for a meeting with the Subcommittee to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter of recommendation.
- c. The meeting will be held as soon as possible, but normally not later than ten (10) calendar days after the Subcommittee has received the request from the candidate. A rebuttal letter shall be read by members of the Subcommittee. Copies of the rebuttal letter shall be sent by the Chair of the Subcommittee to the previous levels of review. If a meeting has been held and/or a rebuttal letter submitted, the Subcommittee shall send, as soon as possible, a memorandum containing its subsequent recommendation to the President, with copies to the candidate, the **Dean of Libraries**, the Library Faculty Committee, and the Library Faculty Chair.

### 12.3 *Conclusion of the University Review*

- 12.3.1 After the completion of action at the University Subcommittee and Presidential levels, the Subcommittee shall, at its last meeting before dissolution, gather together the records of its work, including vote tallies, drafts of summary letters, and similar working materials. The Subcommittee shall transmit these materials to the Provost and Vice President for Academic Affairs for safekeeping.
- 12.3.2 For three years, the documents shall not be made available to anyone for any subsequent personnel decision except to a grievant to whom the documents apply. After three years, the Provost and Vice President for Academic Affairs shall destroy these materials, together with all original letters of recommendation received from all reviewing bodies.
- 12.3.3 Records accumulated by individual members of the Subcommittee shall be destroyed immediately after the Subcommittee concludes its work.
- 12.3.4 Action under 12.3 terminates current year tenure and procedures and any further action shall be considered a grievance or other appropriate procedure.
- 12.3.5 After the President's decision and final action on the candidacy, the WPAFs shall be returned to the Library Faculty, where their contents will be dealt with in a manner consistent with the provisions of 3.3.4.

### **13.0 NOTIFICATION TO THE CANDIDATE REGARDING THE PRESIDENT'S DECISION**

- 13.1 The President shall notify each candidate for retention, tenure, and/or promotion of his or her decision in the case. Such notification shall be in writing, shall include the reasons for the decision, and, in cases of tenure and promotion, shall be accompanied by a copy of the letter of the University Committee, University Libraries Subcommittee. A copy of the President's letter shall be provided to the Provost and Vice President for Academic Affairs, the **Dean of Libraries**, the Library Faculty Chair, and each of the Chairs of the Library Promotion and Tenure Committees which made a recommendation in the case.
- 13.2 Within fifteen (15) calendar days after notification by the President of a negative decision, a candidate denied reappointment as a probationary faculty member, or denied tenure or promotion, may request, in writing, that the President reconsider his or her decision. The request for reconsideration shall be forwarded to the President. In retention cases, a copy shall be sent to the **Dean of Libraries**; and in tenure or promotion cases, a copy shall be sent to the University Promotion and Tenure Committee, University Libraries Subcommittee. In the event that the President declines to reconsider, or after reconsideration reaffirms his or her original negative decision, the candidate may then exercise his or her rights under the CBA.

### **14.0 POST-TENURE REVIEW**

Post-tenure review is governed by the current CBA and the University's "Procedures for Evaluation of Tenured Faculty." As stated in the policy: A promotion review conducted at the Library Faculty level under University Retention, Tenure, and Promotion Policy and Procedures in the fifth year after tenure will serve as the initial post-tenure review.

### **15.0 INTERPRETATION OF THIS POLICY DOCUMENT**

Because no policy statement can cover all possible contingencies and all possible circumstances of individual cases, questions will inevitably arise about the meaning or applicability of provisions of this Policy and Procedures document. Library Faculty Committees and administrators involved in retention, tenure, and promotion decisions shall refer all such questions of interpretation or clarification of the document to the Academic Senate Faculty Affairs Committee.

## 16.0 RETENTION, TENURE, AND PROMOTION TIMELINE

	<u>RETENTION</u>			
	<u>TENURE</u>	<u>PROMOTION</u>	1st year, 2nd year	3rd year, 4th year, 5th year
Submission of Candidate's Dossier to the Library Faculty	Oct. 1	Oct. 1	Nov. 10	Jan. 15
Submission of Index to Provost's Office	Oct. 1	Oct. 1	Nov. 10	Jan. 15
Last date for submission of material to PAF and Dossier	Oct. 23	Oct. 23	Nov. 15	Feb. 1
Library Faculty Committee	Jan. 25*	Feb. 1*	Dec. 1	Mar. 1
Library Faculty Chair	Feb. 15*	Feb. 22*	Dec. 15	Mar. 15
<b>Dean of Libraries</b>	March 8	March 15	Feb. 5	May 10
University Sub-Committee	April 15	May 1	-	-
Notice	June 1	June 10	Feb. 15	June 1
<b>TYPE OF NOTIFICATION</b>	Granted or Denied	Granted or Denied	Reappointed to another academic year or terminated at the end of the current year	Reappointed to an additional probationary year or terminated at the end of subsequent college year; or is granted tenure

\*Timeline is adapted to the library RTP procedures.