

## CUL PROCEDURE #13

### APPOINTMENT AND PROMOTION OF LIBRARIANS AND ARCHIVISTS

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#### I. Ranks

An academic staff member in the Cornell University Library may hold any of the following academic titles (hereinafter referred to as personal ranks): Librarian, Archivist, Associate Librarian, Associate Archivist, Senior Assistant Librarian, Senior Assistant Archivist, Assistant Librarian or Assistant Archivist. **Throughout this document, the term “Librarian(s)” includes Archivist(s) wherever the latter are not specifically named.**

In addition to a personal rank, an individual may hold an administrative appointment:

- A. The following positions have been authorized by the Board of Trustees Legislation, October 1975: University Librarian, Associate University Librarian, and Assistant University Librarian.
- B. The following positions have been authorized by the University Librarian: Department Head, College Librarian, and Departmental Librarian. Other regular or ad hoc administrative titles may be created by the University Librarian.

#### II. Terms of Appointment

Terms of appointment are governed by Board of Trustees' legislation (*see Appendix A, Article XVII of the Bylaws of Cornell University, effective May 28, 1994*). All appointments in the Cornell University Library are contingent on satisfactory performance, the availability of funds and programmatic needs.

The University Librarian shall be appointed by the Board of Trustees. The Associate University Librarian and Assistant University Librarians shall be appointed by the University Librarian as designated by the President.

Librarians and Archivists at all ranks are appointed by the University Librarian as designated by the President. Librarians, Associate Librarians, Archivists and Associate Archivists are appointed for a term not to exceed five years, subject to unlimited renewability of term at the discretion of the University Librarian. Senior Assistant Librarians and Senior Assistant Archivists are appointed for a term not to exceed three years. Assistant Librarians and Assistant Archivists are appointed for a term not to exceed one year. After this initial one-year appointment, Assistant Librarians and Assistant Archivists may be reappointed for a term not to exceed two years.

A year in rank is defined as follows: 1) for appointments between July 1 and December 31, the first year is considered completed on June 30 of the following year; 2) for appointments between January 1 and June 30, the first year is considered completed on June 30 of the following year.

A. Terms for Personal Rank

Assistant Librarians and Assistant Archivists are appointed for a term not to exceed one year. After this initial one year appointment, Assistant Librarians and Assistant Archivists may be reappointed for a term not to exceed two years, subject to an extension of one more year under special circumstances at the discretion of the University Librarian (see Appendices B and C).

Senior Assistant Librarians and Senior Assistant Archivists may be appointed for a term not to exceed three years, subject to an extension of one more year under special circumstances at the discretion of the University Librarian (see Appendices B and C).

Associate Librarians, Associate Archivists, Librarians and Archivists are appointed for a term not to exceed five years, subject to unlimited renewability of term at the discretion of the University Librarian.

B. Terms for Administrative Appointment

Trustees' legislation of October 1975 specifies that the University Librarian shall be appointed by the Board of Trustees. The Associate University Librarian and Assistant University Librarians shall be appointed by the University Librarian as designated by the President. The University Librarian may make appointments to other administrative positions (see Article XVI, Bylaws of the University).

C. Part-Time Appointments

Appointments for three-quarter time or more are equivalent to full-time appointments. For appointments of less than three-quarter time, the time in rank needed for promotion is prorated. Part-time appointments are for the same term as full-time appointments (see II. A., above), and may be renewed until the maximum time in rank for promotion is reached. For example, a Senior Assistant librarian working half-time would initially be appointed for three years, but would have up to six years in rank before coming up for promotion to Associate Librarian. The six years would count as the equivalent of three years of full-time service.

D. Job Assignments

Initial appointment to positions, other than those filled by presidential appointment, is made by the University Librarian, who may reassign appointees or change job responsibilities consistent with the staff member's professional background and training.

**III. Methods of Appointment for Personal Rank**

Initial appointments, promotions and reappointments of librarians are made by the University Librarian on behalf of the President. Librarians from outside Cornell are appointed to the rank appropriate to their qualifications; i.e. relevant education and experience are considered. (See Appendix C)

A. Assistant and Senior Assistant Librarian

Candidates for appointment at the rank of Assistant or Senior Assistant Librarian or Archivist are recommended to the University Librarian by the appropriate prospective department head in concert with the appropriate Associate University Librarian, Assistant University Librarian, or other senior administrator.

B. Associate Librarian and Librarian

If a candidate's qualifications suggest appointment as Associate Librarian or Archivist or Librarian or Archivist and at least three members of the search committee are at the rank of Associate Librarian or Librarian, those members will serve as an ad hoc committee to advise the University Librarian concerning the most appropriate rank for appointment in conjunction with the appropriate prospective department head and Associate University Librarian. If there are not three such members on the search committee, additional members will be added by the search committee chair to bring the total number of the ad hoc committee to three.

**IV. Methods of Appointment for Academic Administrative Positions**

A. College Librarians, Departmental Librarians, Department Heads

In appointing a college or departmental librarian or department head, the University Librarian is advised by a search committee, nominated by the Academic Assembly Steering Committee and appointed by the University Librarian, comprised of three librarians of Associate Librarian or Librarian rank, one of whom shall be a college or departmental librarian or department head. A college or departmental librarian or department head is appointed for a definite term, and may be reappointed by the University Librarian.

When considering candidates to head a college or departmental library, the search committee will include one faculty member representing the academic unit served, in addition to the three librarians of Associate Librarian or Librarian rank. The selection of the faculty member is subject to approval by the dean or unit chairperson.

B. Other Senior Academic Administrative Positions

Search committees reviewing candidates for appointments to other senior academic administrative positions may have a different composition from those described above. However, at least three members of such committees will be librarians at the Associate Librarian or Librarian rank. Senior academic administrative appointments are made for a term determined by the University Librarian.

**V. Renewal of Terms**

All librarians and archivists are expected to perform in accordance with the criteria for their respective ranks. Renewals are at the discretion of the University Librarian, for terms not to exceed three or five years, depending on rank. Reappointment depends upon the documentation of successful performance, the availability of funds, and programmatic needs. If these three conditions are met, the renewal of the appointment should be expected.

The primary responsibility for non-renewal of the appointment rests with the librarian's associate or assistant university librarian, college librarian, departmental librarian, department head or other senior administrative librarian in consultation with the University Librarian, or, in the case of college and departmental librarians, with the University Librarian.

The renewal of the appointment must be approved by the University Librarian on the recommendation of the librarian's college librarian, departmental librarian or department head. The University Librarian should state in writing the decision whether or not to renew the appointment no later than six months

prior to the expiration date. See Appendix E for the appeals procedure which may be applied in the event of non-renewal of the appointment.

## **VI. Promotion**

### **A. General**

Academic staff participate in a promotion system which involves mandatory review for advancement in rank. This system, which involves supervisors' recommendations and peer review, has two primary goals: to ensure an opportunity for review on comparable terms, and to offer opportunities for promotion regardless of job assignment.

The Academic Assembly Steering Committee in conjunction with the CUL Office of Human Resources holds an annual Promotion Orientation which covers promotion procedures and the meaning and examples of the promotion criteria. This orientation meeting includes talks by appropriate staff members on potential professional activities and ways of looking beyond the job for significant professional contributions.

### **B. Ranks**

#### **1) *Senior Assistant/Associate Librarian***

Candidates not promoted to either Senior Assistant Librarian or Associate Librarian within the maximum time limits will be terminated. Candidates may be reviewed only once for promotion to these two ranks except candidates granted a probationary extension as outlined in Appendix E. Candidates who seek promotion prior to the full time in rank and who are unsuccessful may not fulfill the full term of the contract if there are more than six months remaining.

The University Librarian should notify the candidate about the promotion decision in writing at least six months before the date when the promotion is due to become effective.

#### **2) *Librarian/Archivist***

Promotion from Associate Librarian to Librarian is neither automatic nor intended only as a recognition of long service, and is not required for continuing reappointment. Candidates may be reviewed at most three times for promotion to this rank. Candidates may not reapply until at least the second year following a negative decision.

### **C. General Criteria for Promotion**

The underlying criteria for promotion are sound performance in the assigned job and either evidence of significant development or potential for development, ability to collaborate, and flexibility in the context of a changing work environment. (See Appendix B) Consideration will be given to individual differences in learning and ability, recognizing that job knowledge will vary and that different assignments require different qualities.

D. Timetable for Promotion

1) *Assistant to Senior Assistant/Senior Assistant to Associate*

The minimum time in rank is one year; the maximum time in rank is three years. Under the conditions outlined in Appendices B and C, the candidate's supervisor may recommend to the University Librarian a one-year extension beyond the three-year maximum time in rank.

The candidate may request to be reviewed early for promotion to either Senior Assistant or Associate Librarian. Requests should be directed to the candidate's supervisor; the decision to review early will be made by the University Librarian in consultation with the appropriate college librarian, departmental librarian or department head.

2) *Associate to Librarian*

The Director of Human Resources or his/her designate notifies candidates of their eligibility for promotion to Librarian. Review for promotion is then initiated by a response from the candidate to the Director of Human Resources. Review is normally not undertaken until the candidate has been in the Associate Librarian rank for five years. An Associate Librarian may request earlier consideration if he or she feels the above criteria for promotion have been fully met in less than five years. Minimum time in rank before promotion to Librarian is one year.

E. Procedures for Promotion

1) *Assistant to Senior Assistant*

Promotion or non-promotion is recommended in writing to the University Librarian by the candidate's supervisor in consultation with the appropriate college librarian, departmental librarian, department head, senior administrative librarian or dean.

2) *Senior Assistant to Associate/Associate to Librarian*

Promotion or non-promotion is recommended in writing to the University Librarian by the appropriate Review Board. (See Appendix D)

3) *Appeals*

In the event of non-promotion or non-reappointment, the candidate has recourse to the appeals process described in Appendix E.

*Disclaimer – The policies contained within this procedure are not conditions of employment, and the language is not intended to create a contract between the University and its employees. While every effort has been made to ensure the accuracy of this policy, it does not constitute a legal document.*

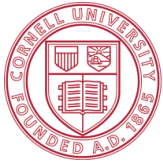
Attachments:

- Appendix A: ARTICLE XVII – THE INSTRUCTIONAL AND RESEARCH STAFF APPOINTMENT AND TENURE  
*(Excerpt from Bylaws of Cornell University, p. 20 & 21, effective May 28, 1994)*
- Appendix B: CRITERIA FOR APPOINTMENT, REAPPOINTMENT AND PROMOTION
- Appendix C: GUIDELINES FOR INITIAL APPOINTMENT RANK
- Appendix D: REVIEW BOARDS
- Appendix E: REVIEW OF REAPPOINTMENTS AND PROMOTIONS

*April 1995*

*Revised December 2011, AASC*

*Revised June 2019, AASC*



## CUL PROCEDURE #13 - Appendix A

### ARTICLE XVII – THE INSTRUCTIONAL AND RESEARCH STAFF APPOINTMENT AND TENURE

*(Excerpt from Bylaws of Cornell University, p. 20 & 21, effective May 28, 1994)*

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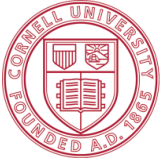
1. **Grades of Appointment:** Appointments to the University's staff of instruction and research shall be made at one of the following grades: university professor, professor, associate professor, assistant professor, instructor, senior scholar, senior scientist, senior research associate, senior extension associate, senior lecturer, professional librarian or archivist, research associate, extension associate, postdoctoral associate, postdoctoral fellow, lecturer or teaching associate and such other grades and titles at the Medical College as may be approved by the President on the recommendation of the Provost for Medical Affairs. Descriptive terms such as "visiting", "acting", or "research" may precede titles. Visiting scholars and scientists who are afforded facilities for resident work but who perform no formal duties and are paid no salary may be appointed by the President to the title of visiting fellow. Visitors also may be appointed as visiting scientists, visiting scholars or visiting critics with or without salary. The titles of senior scholar and senior scientist shall not be applicable to the staff at the Medical College.
  
2. **Tenure and Method of Appointment:** Except as otherwise specified in Section 6. below, all appointments shall be made with the tenure and in the manner following:
  - a. University professor, professor, or associate professor - shall be elected by the Board, by ballot, for an indefinite term. The President shall appoint professors and associate professors to term appointments for the maximum period of five academic years of full-time equivalent service, continued only for reasons which, in the judgment of the President, are temporary.
  - b. Promotion of an associate professor with indefinite tenure to full professor shall be by presidential action.
  - c. Assistant professor - shall be appointed by the President for a term of not to exceed four years. The maximum period of service for assistant professors with term appointments shall be six academic years of full-time equivalent service, continued only for reasons which, in the judgment of the President, are temporary.
  - d. Senior scholar, senior scientist, senior research associate, senior extension associate and senior lecturer - shall be appointed by the President for a term of not to exceed five years, renewable indefinitely. Research associate, extension associate and lecturer - shall be appointed by the President for a term of not to exceed three years, renewable indefinitely.
  - e. Professional librarian or archivist - shall be appointed by the President for specified terms. Assistant librarian or assistant archivist and senior assistant librarian or senior assistant archivist shall be appointed for terms normally not to exceed three years. Librarian or archivist and associate librarian or associate archivist shall be appointed for terms not to exceed five years, renewable indefinitely.

- f. Instructor - shall be appointed by the President for a term of not to exceed two years. The maximum period of service for an instructor shall be five academic years, continued only for reasons which, in the judgment of the President, are temporary.
  - g. Postdoctoral associate and postdoctoral fellow - shall be appointed by the President for a term of not to exceed one year, normally renewable only twice.
  - h. Teaching associate - shall be appointed by the President for a term of not to exceed one year, renewable indefinitely.
  - i. The foregoing provisions with respect to maximum periods of service shall not apply to the Medical College, the Department of Military Science and Tactics, the Department of Naval Science or the Department of Air Service.
3. **All appointments, reappointments or promotions** under this Article XVIII shall be made pursuant to procedures approved by the President from time to time. Such procedures shall be designed to assure that candidates for similar positions receive comparable procedural treatment.
  4. **Courtesy Appointments:** Persons having professional qualifications for regular faculty appointments who serve on the staff of an academic department although employed by an outside agency, may be appointed by the President to the teaching staff at the professorial, instructor or lecturer level with the modifier "courtesy" appended to the appropriate title. Such courtesy appointments may be approved for renewable terms of not to exceed five years each. Courtesy appointments may be approved for renewable terms of not to exceed five years each. Courtesy appointments, reappointments and promotions shall be subject to the same departmental and college reviews as regular professorial appointments. Such appointments shall be without salary or fringe benefits.
  5. **Adjunct Professors:** Persons having professional qualifications for regular faculty appointments but who will serve only part-time may be appointed by the President to the staff of instruction and research as adjunct professor, adjunct associate professor or adjunct assistant professor. Adjunct professors or adjunct associate professors may be appointed for renewable terms of not to exceed five years each. Adjunct assistant professors may be appointed for renewable terms of not to exceed three years each.

April 1995

rev. 9/28/98 peo





## CUL PROCEDURE #13 - Appendix B

### CRITERIA FOR APPOINTMENT, REAPPOINTMENT, AND PROMOTION

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*For determination of initial appointment rank, see Appendix D.*

#### I. Assistant Librarian

##### A. Criteria for appointment to Assistant Librarian.

1. M.L.S. or its equivalent graduate degree, or the appropriate degree(s) for archivists or special positions.
2. Evidence of subject competence if required by position.
3. Evidence of successful performance in job-related courses and/or work experience.

##### B. Criteria for reappointment after one-year probationary period.

1. Successful performance of duties and responsibilities demanded by the position.
2. Demonstration of the ability to work effectively with patrons, colleagues, supervisors and subordinates, where appropriate.
3. Evidence of potential to develop, collaborate, and be flexible in the context of a changing work environment.

##### C. Criteria for reappointment to a one-year extension beyond the normal three-year term of an Assistant Librarian.

Extended illness; parental leave; change in job duties, degree of responsibility of supervisor; or other special circumstances leading the current supervisor and the appropriate Assistant University Librarian or other senior administrative librarian to agree that additional time is necessary before the candidate is reviewed for promotion to Senior Assistant Librarian.

#### II. Senior Assistant Librarian

##### A. Criteria for appointment or promotion to Senior Assistant Librarian.

1. Successful performance as an Assistant Librarian at Cornell or the equivalent rank/position at another institution. Evidence of success as an Assistant Librarian may be based on achievements and characteristics listed below:
  - a. Ability to act independently and creatively in one's position.
  - b. Contributions to the overall operation of a unit, department, division or library.
  - c. Demonstrated capacity to work successfully with patrons, colleagues, supervisors and subordinates, where appropriate.
  - d. Evidence of increased competence in librarianship and other relevant disciplines.
  - e. Contributions to the profession, the library and/or its parent institution.

- f. Successful completion of job-related courses and institutes, effective participation in library task forces, committees, etc., effective representation of library interests to non-library groups, committees or University staff.
  2. Evidence of further development in one's position, in general professional knowledge and, if pertinent, in a subject area.
- B. Criteria for reappointment to a one-year extension of the normal three-year term of a Senior Assistant Librarian.
- Extended illness; parental leave; change in job duties, degree of responsibility or supervisor; or other special circumstances leading the current supervisor and the appropriate assistant university librarian or other senior administrative librarian to agree that additional time is necessary before the candidate is reviewed for promotion to Associate Librarian.

### **III. Associate Librarian**

#### Criteria for appointment or promotion to Associate Librarian.

- A. Outstanding performance as a Senior Assistant Librarian at Cornell or the equivalent rank/position at another institution. Such performance should be evidenced by effective relationships with patrons, colleagues, supervisors and subordinates, where appropriate, successful completion of assigned responsibilities, and evidence of initiative beyond basic assignments. Only Senior Assistant Librarians who consistently demonstrated outstanding performance in fulfilling position duties and responsibilities will be promoted. Successful candidates for promotion to Associate Librarian will have demonstrated their continuing potential for outstanding performance.
- B. In addition to outstanding job performance, evidence of excellence as a Senior Assistant Librarian may include, but not be limited to, the achievements and characteristics listed below. These criteria are neither inclusive nor exclusive, nor are they presented in this document in order of priority. The applicability and relative importance of these criteria to any specific position or librarian will vary, depending upon the nature of his or her responsibilities.
  - 1) Ability to act independently and creatively to enhance the effectiveness of the University Library.
  - 2) Ability to collaborate and to work successfully with patrons, colleagues, supervisors and subordinates, where appropriate.
  - 3) Ability to effectively teach or transmit a body of knowledge to other staff members.
  - 4) Significant contributions to the operation of a specific library unit in the form of suggestions, plans and actions.
  - 5) Evidence of growth in librarianship, archival work and/or relevant subject areas.
  - 6) Successful completion of job-related courses and programs.
  - 7) Effective participation in library task forces, committees, etc.
  - 8) Effective representation of library interests to non-library groups, committees, etc.
  - 9) Publications or presentations in librarianship or related disciplines.
  - 10) Contributions to the parent institution.

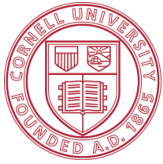
- 11) Participation in regional, state, national or international organizations devoted to librarianship, archival work or related disciplines.

#### **IV. Librarian**

##### Criteria for appointment or promotion to Librarian.

1. Distinguished service, senior levels of responsibility, high professional achievement.
2. Excellent performance of duties as an Associate Librarian at Cornell or in an equivalent position at another institution.
3. Demonstration of continued growth in the ability to work independently, contribute new ideas, and to accept significant responsibility in defining and fulfilling the scope of job assignments. These qualities may be expressed in bibliographical, administrative, supervisory, or other library activities. It is also expected that the candidate will provide evidence of continued and ongoing professional growth as well as a record of significant professional accomplishment. A candidate's professional activities will be both within Cornell University and in non-Cornell organizations. The following criteria are neither inclusive nor exclusive, nor are they presented in this document in order of priority. The applicability and relative importance of these criteria to any specific position or librarian will vary, depending upon the nature of his or her responsibilities.
  - a. Provide leadership in departmental, interdepartmental or university work, committees and projects.
  - b. Provide leadership in scholarly or other professional organizations or activities.
  - c. Improvement in library services through participation in and leadership of professional groups.
  - d. Improvement in the relationship between the University Library and the Cornell community (including contributions to better communication and increased use of library services through lectures, committee work, faculty and student contacts, etc.).
  - e. Publication of significant content, regardless of medium.
  - f. Professional growth as exhibited by leadership roles in continuing education, seminars, lectures, research, grant applications, teaching, etc.

*Revised December 2011, AASC*



## CUL PROCEDURE #13 - Appendix C

### GUIDELINES FOR INITIAL APPOINTMENT RANK

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Determination of the initial appointment rank of librarians and archivists is made by the University Librarian upon the recommendation of the hiring supervisor or department head in consultation with the Library's Director of Human Resources. When a formal search committee is required (see CUL Procedure #39), the search committee will make a recommendation regarding initial appointment rank to the University Librarian.

These guidelines are intended to be a list of factors which should be taken into consideration to ensure that initial appointment ranks are comparable within the library system and compatible with the provisions of Procedure #13.

#### I. Criteria

The following three major factors should be considered when determining initial appointment rank:

- A. Relevance of experience to the position for which the individual is hired. In general, previous relevant experience should be more important to appointment rank than the level of the job in the hierarchy to which the individual is being appointed.
- B. Setting in which that experience was gained.
- C. Relevance of education to the position for which the individual is hired. If a degree is required in addition to the MLS or its equivalent for the position, it should be credited fairly lightly for initial appointment rank, more so for salary.

The determination of the specific credit for experience and education will be based on an evaluation of these factors combined. In general, the most credit will be given for relevant professional experience in an environment similar to the one in which the individual will be working at Cornell.

#### II. Timetable

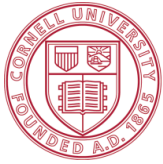
At the time of initial appointment, a tentative date will be set for consideration for promotion review which will allow at least one year in initial rank before promotion. (For part-time appointments, see Procedure 13, II.C.) If either the supervisor or the reviewee feels that more time is necessary before promotion review, an extension will be granted to allow for up to normal time in rank. Consideration for early review will be given as in Procedure 13, VI. D. 1.

#### III. Rank

Normally, initial appointment is made to the rank of Assistant Librarian or Senior Assistant Librarian. In some cases, appointment at the rank of Librarian and Associate Librarian is appropriate. Examples of such cases are:

- A. When appointing the University Librarian or other senior academic administrative professionals who are librarians.
- B. When appointing a person to the top position in the larger unit libraries or departments.
- C. When appointing a person to a position which is a dual appointment with faculty rank, when the appointment to faculty rank is at associate professor or above.
- D. When appointing a person with eight or more years of professional experience who has passed peer review at a comparable institution.

*Revised 1/18/12 AASC*



## CUL PROCEDURE #13 - Appendix D

### REVIEW BOARDS

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#### I. Introduction

To ensure comparability among reviews for promotion to Associate Librarian and promotion to Librarian, the Academic Assembly Steering Committee will appoint two review boards; one on Promotion to Associate Librarian and one on Promotion to Librarian.

After promotion reports are completed by the Review Boards, they are submitted with supporting documentation to the University Librarian who reviews each report and its documentation for procedural accuracy, comparability of application of criteria and the sufficiency of the documentation. The University Librarian may request that the Board(s) improve a given report by the submission of additional documentation or by the revision of its procedural steps. When the University Librarian finds a report to be sufficient, he/she will act on the Board's recommendation.

#### II. Composition

- A. Each Board consists of five members of the academic staff of the Cornell University Library. All members must hold a rank at least equal to that into which promotions are being considered.
- B. Members of the Boards are appointed once a year, in July, by the Academic Assembly Steering Committee. They are selected from a list of eligible librarians prepared for the committee by the Library's Director of Human Resources. Membership on a Board is for a two-year term. To ensure continuity, membership will be rotated by appointing three new members one year and two new members the next year.
- C. To ensure that a full complement of Board members is always available, the Academic Assembly Steering Committee shall appoint alternate members to each Board. Alternate members also serve for one two- year term. Each Board shall have a standing complement of two alternate members. To ensure continuity, alternate membership will be rotated by appointing one member one year and one member the following year. Alternate members are selected from the same list as regular members. Serving as an alternate does not count toward service as a regular member.
- D. Anyone who has served as a regular member shall be eligible for reappointment to either Board only after an interval of at least two consecutive years. However, since service as an alternate does not count toward service as a regular member, those who have served as alternates are not subject to the two-year waiting period.
- E. No person shall serve simultaneously on the two Boards, either as a regular or alternate member.

- F. Board members are appointed on the basis of their individual stature and ability, not as representatives of their departments or any other constituencies within the academic staff. In making the appointments, the Academic Assembly Steering Committee shall not be guided primarily by any consideration of balance along geographical, functional, or other lines.
- G. Neither the University Librarian, Associate University Librarian, nor a formally appointed Acting University Librarian shall be a regular, alternate, or ex-officio member of the Board. Neither an Assistant University Librarian nor a formally appointed Acting Assistant University Librarian shall be a regular, alternate or ex-officio member of the Board.
- H. The Library's Director of Human Resources serves as an intermediary between the Board and its sources of information. Neither the Library's Director of Human Resources, nor a formally appointed Acting Library Director of Human Resources shall be a regular, alternate, or ex-officio member of the Board.
- I. Members of the Academic Assembly Steering Committee shall not be appointed to a Review Board.
- J. Alternate members will replace regular members under the following circumstances:
  - 1) When a regular member is expected to be unavailable for an extended period of time.
  - 2) When a regular member is excused from reviewing a case because of a conflict of interest. A member is automatically excused if one of the following conditions obtains:
    - i. Board member and candidate are related by marriage or its equivalent.
    - ii. Board member is candidate's immediate supervisor.
    - iii. Board member, while not candidate's immediate supervisor, is higher up on the same supervisory ladder.
    - iv. Board member is candidate's immediate subordinate.
    - v. Board member, while not candidate's immediate subordinate, is lower down on the same supervisory ladder.
  - 3) There are circumstances under which the question of whether a Board member is excused could be left up to discussion and consensus between the member and the Chairperson of the Board, or among the Board as a whole. Any member of the Board should feel free to initiate such discussion. In case of irreconcilable differences the case will go to the Academic Assembly Steering Committee for a decision. Examples of such circumstances are:
    - i. Board member and candidate are related by family ties other than marriage or its equivalent, which are deemed too close to allow disinterested judgment.
    - ii. Board member and candidate have personal ties, past or present, other than those mentioned above, either positive (e.g. friendship, business partnership) or negative (e.g. conflicts/animosities), which would make disinterested judgment difficult.
    - iii. Board member and candidate are colleagues in the same department or small library unit.
    - iv. Board member and candidate, while not working in the same department or unit, have had close professional ties which would make disinterested judgment difficult.

Requests to be excused because of conflict of interest should be made in writing to the Chairperson or Deputy Chairperson of the Board. The Board will not excuse members for light or transient reasons. If a Board member is excused from reviewing a candidate's case, the candidate should be notified of the fact in writing.

- 4) When a candidate wishes to have a regular Board member excused from the review of his/her case because of a conflict of interest, he/she should make a written request to this effect to the Chairperson or Deputy Chairperson of the Board. The Board will decide whether or not to accept the request.
- 5) If a Review Board member excuses himself/herself or is excused from a case, an alternate member shall be appointed as follows:
  - i. The one-year alternate member shall be appointed to the Review Board for that case. If there is a conflict of interest involving that alternate member, then the two-year alternate member shall be appointed.
  - ii. If neither alternate member is available, the Review Board shall request in writing a special meeting of the Academic Assembly Steering Committee to appoint a new alternate member.

### **III. Duties**

- A. The purpose of the Review Board is to serve as a forum at which proposed promotions of academic staff to the two senior ranks are reviewed by their peers already in those ranks. In each case, the basic question the Boards need to consider is whether or not the librarian in question should be promoted, or in the case of the Senior Assistant to Associate promotion, be promoted or placed on probation.
- B. Immediately following the review process, the Board shall make a written recommendation to the University Librarian. Members who dissent from the majority opinion should submit a written minority report.
- C. The authority to initiate cases for review rests only with the University Librarian or his/her designated representative, not with the Review Board.
- D. The Boards must consider all cases brought before them. Except as provided in Procedure #13, they may not collectively decline to carry out a full-fledged review for any case, nor may they suggest that a review be deferred, abridged, or modified in any way.
- E. Each Board shall prepare a brief written annual report for the University Librarian, providing a summary of its activities during the year. These reports will be kept confidential, with limited access at the discretion of the Library's Director of Human Resources.
- F. Meetings should be attended by the full Board, not a fraction of its members. If a member cannot consistently attend the meetings, s/he should be replaced with an alternate.
- G. As far as it is possible, once a Board has begun considering a case, it should pursue it to completion without delay or interruption. Deliberations may be suspended only if the Board feels further documentation is needed. The Board should request from the University Librarian a date by which all recommendations should be submitted.



#### **IV. Officers**

- A. A convener, appointed by the Academic Assembly Steering Committee, is responsible for calling the first meeting of the Review Board. At that first meeting, each Board shall select from among its members a Chairperson and a Deputy Chairperson. Both of these should be regular Board members and serve for one-year renewable terms.
- B. The Chairperson establishes the agenda for meetings, presides at meetings, acts as spokesperson for the Board, and prepares its annual report. The written recommendation(s) for individual cases must be validated by the Chairperson's signature, but may be prepared by any member of the Board.
- C. The Chairperson is responsible for ensuring that a full complement of five members is on hand for every session.
- D. The Chairperson is responsible for inviting to meetings, as needed, persons other than regular Board members.
- E. In the absence of the Chairperson, the Deputy Chairperson will assume his/her duties.

#### **V. Documentation**

Each candidacy presented for consideration should be accompanied by a dossier of written documentation whose purpose is to provide a record of information for the Review Board. Assembling the dossiers as soon as the Boards have been appointed is the responsibility of the Library's Director of Human Resources or designate. The basic purpose of the documentation is to address the following points: 1) What are the candidate's job responsibilities? 2) How well has the candidate been discharging these responsibilities? 3) To what extent has the candidate met the expectations of professional growth and involvement in the intellectual activities of the University and beyond? To answer these questions the dossier should, at a minimum, contain the following documents:

- A. The candidate shall attach to the vitae a cover letter which outlines and highlights the Librarian's major accomplishments.
- B. The candidate shall prepare a complete and up-to-date curriculum vitae, including education, employment, professional and academic honors, organization memberships and offices held, institutional and community service, publications, and other professional contributions, such as membership in Cornell University Library committees.
- C. The Library's Director of Human Resources or designate shall review the candidate's curriculum vitae with respect to:
  - 1) Date of first professional employment.
  - 2) Record of positions held, with dates.
  - 3) Record of academic ranks and titles held, with dates.
- D. The unit head shall prepare an up-to-date description of the position for review with the candidate. If consideration for promotion is based on performance in more than one currently held position, a description shall be provided for each.

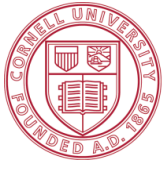
- E. The candidate's immediate supervisor and an Assistant University Librarian or other senior administrative librarian shall prepare a statement, appraising the candidate's record and potential and including the writer's recommendation on the promotion.
- F. The candidate shall submit names of three or more individuals who are in a position to comment specifically on the candidate's performance and qualifications. At least one of these shall be a member of the academic staff of the University Library. The remaining referees may be drawn from the academic, professional, or support staff of the University Library, as well as from individuals within or outside the Cornell community (including previous employers).
- G. The Review Board, through the Library's Director of Human Resources or designate, may request letters of appraisal from persons in addition to the names provided by the candidate. These, too, may be from the academic, professional, or support staff of the University Library, as well as other individuals within or outside the Cornell community. If the Review Board requests additional letters, the Library's Director of Human Resources shall inform the candidate of the names and shall clearly indicate to the referee that the request is coming from the Board, not the candidate, and shall outline what kind of information is being requested and its intended purpose.
- H. If the Review Board invites persons other than regular Board members to give information about a candidate, such information shall be presented at a full Board meeting. A written summary of such testimony shall be prepared by a Board member and approved by the informant(s).
- I. The candidate may add anything to his/her dossier which he/she deems appropriate, except for performance evaluations.

The above constitutes the minimum documentation required. If any of it is not included in the dossier, the Board shall delay consideration of the case until all items are provided. The Boards are free to request any additional written information, with the exception of performance evaluations, which must not be considered in the review process. The Board may also invite candidates to their meetings to provide clarification on points of fact relating to their records.

It is the responsibility of individual Board members to dispose of the documents produced during their term of service on the Board. When the business of the Board has concluded, each Board member should destroy all notes, drafts of letters, copies of intra-Board memos, documents written to electronic files, and all other documents in their files generated by the review process.

In the case of a negative promotion or reappointment decision, Board members should retain all relevant documents for 30 days pending an appeal of the decision.

*Revised 2/15/12 AASC*



## CUL PROCEDURE #13 - Appendix E

### REVIEW OF REAPPOINTMENTS AND PROMOTIONS

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#### **I. Notification**

Academic library staff members will be informed in writing of decisions made in respect to academic reappointments and promotions. All academic librarians reviewed for promotion to the Associate Librarian or Librarian ranks will receive a summary of the findings of the respective Review Board whether the librarian receives a positive or negative decision.

#### **II. Informal Review**

Librarians shall be afforded an opportunity to discuss promotion or reappointment decisions with their supervisors or unit heads or University Librarian as appropriate.

#### **III. Request for Reconsideration**

If, after informal discussion, a librarian so desires, he or she may request formal reconsideration as follows:

- A. A librarian and/or the University Librarian may request reconsideration from a Review Board when promotion is involved. The appellant may add further evidence to his or her dossier.
- B. Assuming a negative promotion decision after reconsideration of the candidate by a Review Board, the librarian should notify the University Librarian within thirty (30) days that he or she wishes to appeal. In the case of a negative reappointment decision, the librarian not reappointed may appeal within thirty (30) days of notification of non-renewal.

In requesting reconsideration, the candidate should set forth in detail the reasons why reconsideration is believed appropriate and why the initial decision is deemed inappropriate or unfair. Appeals may be based on questions of procedure, discrimination, or prejudice.

Within thirty (30) days of receiving the request for appeal, the University Librarian must set the appeal process in motion by requesting the Academic Assembly Steering Committee to establish an ad hoc Appeals Board for each candidate. This board shall be constituted of three members holding the rank of Associate Librarian or above.

- C. Within thirty (30) days of its appointment, the Appeals Board should review all relevant documentation, request additional information if required and make a recommendation on promotion or reappointment.

- D. The University Librarian should notify the candidate immediately of his or her decision based on the Appeals Board's recommendation.
- E. When an adverse decision has been communicated by the University Librarian, a further request for reconsideration may be directed to the President of the University within thirty (30) days of written notification of the University Librarian's decision. *(As approved by the Executive Committee of the Board of Trustees on January 29, 1976 [Records, p.9198]).*
- F. All records, communications, reports and correspondence shall be held in confidence throughout the initial decision and review/appeals process. Review Board or Appeals Board members should destroy all notes, drafts of letters, copies of intra-Board memos, documents written to electronic files, and all other documents in their files once the decision process and appeal period are concluded.

#### **IV. Probationary Period**

Review Boards or the University Librarian may recommend a probationary period for a candidate for promotion to Associate Librarian. Candidates may be placed on probation for one year from the time of written notification by the University Librarian, during which time deficiencies in meeting promotion criteria should be resolved. The candidate will reapply for promotion within that year and must submit a new promotion dossier to the Review Board. Candidates will be allowed only one probationary period.

*Revised 2/15/12 AASC*