

PERSONNEL PROGRAM  
ACADEMIC STAFF-LIBRARIES

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## INTRODUCTION

On September 1, 1976, Stanford University implemented Academic Staff status for librarians. The program was approved by the Provost and President of the University upon recommendation of the University Library Council.

This Handbook is issued by the Provost's Office. It supplements and, in specific instances, modifies provisions of the Academic Staff Handbook and the Stanford University Administrative Guide. It contains policies and procedures that apply specifically to members of the Academic Staff - Libraries.

This Handbook describes policies designed to support and further the Human Resources Philosophy of Stanford University. The statement of philosophy, adopted in June 1983, states the following:

Stanford's special and enduring purpose -the creation, preservation and transmission of knowledge -distinguishes it from most other places of work. The University is an academic culture in which a unique partnership exists between faculty, who are responsible for maintaining the standards of excellence in education and research, and staff, who provide vital direct and indirect support to that end.

Fulfillment of Stanford's purpose depends on a shared commitment between the University and its staff. Because the people who work here are Stanford's human resource, the University respects each person's worth, dignity, capacity to contribute, and desire for personal growth and accomplishment. In return, Stanford depends on its staff to share a common understanding of and commitment to work for the achievement of the University's goals.

## GLOSSARY

One of the characteristics of the system of libraries at Stanford University is that different terms are used for the same concept and different administrative channels or organization are followed for equivalent processes. For this reason, certain terms and phrases throughout this document are used strictly as defined in the Glossary. The Glossary definitions are intended to be general enough to cover and include the local variation in terms and procedures in the various libraries at Stanford University.

**Administrative Officer:** Any individual within the administrative structure of the Libraries at Stanford University who is delegated responsibility for carrying out administrative actions. Some actions, such as performance appraisals, are performed by the immediate supervisor, while other actions, such as promotion reviews, may be performed at a level above the immediate supervisor.

**Appropriate Channels:** The path of communication for approval of recommended actions within the hierarchy of the Libraries at Stanford University and the University administration. In the case of the Hoover Institution, the Provost acts on behalf of the President.

**Career Track Position:** A career track position is one that has the potential for indefinite continuation. An appointment to a career track position may consist of two phases: the initial appointment for a limited term and a continuing appointment.

**Continuing Appointment:** A continuing appointment implies a commitment to indefinite employment on the part of Stanford as long as programmatic needs continue, funds are available, and there is not cause for dismissal. A continuing appointment may be made to a career track position after the review of a librarian on a limited term appointment, or at the time of the initial appointment.

**Director:** The chief administrator of any of the Libraries at Stanford University, regardless of the official designation (that is, Director, Librarian).

**Fixed Term Appointment:** A fixed term appointment is an appointment that does not have the potential for indefinite continuation. Fixed term appointments are made for as long as programmatic needs continue, and as long as funds are available and there is not cause for dismissal. Fixed term appointments may be made for a variety of reasons for a specified period of time. Fixed term appointments are not made to career track positions and they are not counted in the six year limit on limited term appointments. (See also Section I.C.2)

**Libraries at Stanford University:**

- Stanford University Libraries (Cecil H. Green Library and branches)
- Library and Archives of the Hoover Institution on War, Revolution and Peace
- J. Hugh Jackson Library of the Graduate School of Business

Lane Medical Library  
Robert Crown Law Library  
Stanford Linear Accelerator Center Library

*Limited Term Appointments:* A limited term appointment precedes the continuing appointment as defined above. It may extend up to six years.

*Unit:* An administrative segment of one of the Libraries at Stanford University, such as a section, division, department, etc.

## **I. APPOINTMENT TO RANKS OF ACADEMIC STAFF-LIBRARIES**

The category of Academic Staff -Libraries includes those professional positions which require application of the theory and practice of librarianship and information science in order to provide the following services in the Libraries at Stanford University:

development, management and preservation of collections;  
bibliographic organization;  
information access and reference services;  
instruction in the nature of information and access to collections;  
expertise in management and supervision in managerial and supervisory positions.

All salaried librarian appointments (including library curators and archivists) in the Libraries at Stanford University are assigned to a rank in the Academic Staff -Libraries, except those holding the classification of Assistant Director, Associate Director, Deputy Director or Director.

All those appointed to Academic Staff -Libraries must demonstrate an understanding of the basic principles of librarianship in order to provide effective library service to faculty, staff, students and visiting scholars. Evidence of this ability may include:

- A Master's degree in Library Science (MLS) or an equivalent degree;
- An advanced degree relevant to the requirements of the position;
- Equivalent professional experience.

All appointments to the Academic Staff -Libraries are made contingent on programmatic needs, and as long as funds are available and there is not cause for dismissal.

### **A. RANKING SYSTEM.**

The ranking system provides the framework for differentiating among various types of responsibilities. Depending on the nature of its responsibilities, each position is usually assigned to one of the ranks below. In some instances, however, vacant positions may be posted listing two ranks for recruitment purposes. Once a selection is made, the appointee is assigned to one of these ranks depending upon the responsibilities finally determined for the position in relation to the individual's combination of experience and qualifications.

Assistant Librarian  
Associate Librarian  
Librarian  
Senior Librarian

Each position is assessed individually, and the ranks assigned rely on a common understanding among Directors of the criteria to be used (see Section I.B.). Positions with

and without administrative assignments are found in each of the ranks. Each librarian is assigned to one of these ranks.,

## **B. CRITERIA FOR RANKS.**

The rank of a position is determined by consideration of the scope of the assignment and the level of responsibilities involved. Aspects to be considered in these judgments are:

- Required education and professional experience.
- The extent to which the assignment requires the exercise of judgment and initiative;
- The degree of responsibility for policy planning and development;
- The level of complexity or difficulty of the responsibilities;
- The level of creativity, innovation and/or specialization involved;
- The extent to which the position has an impact beyond the functional unit;
- The nature of supervisory or managerial responsibility.

**1. Assistant Librarian:** This is the beginning rank of Academic Staff - Libraries. An incumbent of this rank displays professional competence and ability by carrying out responsibilities within specific assigned areas. judgment is used in interpreting Library and University policies, and in planning and developing assigned tasks. The emphasis at this rank is on demonstration of professional effectiveness, including initiative and competence. as well as capacity for professional growth and learning.

**2. Associate Librarian:** An incumbent of this rank displays substantial professional competence and ability by carrying out responsibilities within assigned areas. Sound and independent judgment and initiative are used in interpreting Library and University policies, and in planning and developing assigned tasks. Bibliographic expertise or basic managerial/supervisory skills are expected. There is demonstration of increasing achievement and effectiveness.

**3. Librarian:** An incumbent of this rank is expected to formulate policies and propose plans for programs or operation of a library unit. A librarian is assigned responsibility for an advanced bibliographic function, managing a library unit or program, or for planning and executing the integration of library programs and personnel. Evidence of professional contribution and achievement beyond the library may be expected at this rank, in ways that contribute to improved library services. Evidence of expert specialized knowledge or expert managerial/supervisory skills is expected.

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'Although there are not quotas for the ranks of Academic Staff))Libraries, the administrative structure and nature of library programs have resulted historically in approximately 10% Assistant Librarians, 30-35% Associate Librarians, 35-40% Librarians, and 20-30% Senior Librarians.

4. **Senior Librarian:** An incumbent of this rank displays an exceptionally high level of professional development and accomplishment. A Senior Librarian demonstrates a high level of initiative, sound judgment and leadership. A Senior Librarian is expected to formulate, develop and administer broad library policies or major programs and collections, or to carry out analytical work for significant aspects of the library's operations, or to be responsible for advanced bibliographic functions, or to manage a major library unit or program. All of these responsibilities are carried out at a demonstrably high level of competence. In the course of their responsibilities, Senior Librarians may participate in formulating and establishing national library programs or standards. Recognition of substantial professional accomplishment both within and beyond Stanford is expected at this rank.

### **C. TERMS OF APPOINTMENT.**

Individuals are appointed to one of two types of positions in the Academic Staff - Libraries.

Career Track Position (Limited term/Continuing)

Non-Career Track Position (Fixed term)

1. **Career Track Position:** A career track position is one that has the potential for indefinite continuation, given budget and programmatic need. An appointment to a career track position may consist of two phases: the initial appointment for a limited term and a continuing appointment. An initial continuing appointment is also possible. Librarians who are beyond the first professional appointment level may be appointed to any rank of Academic Staff -Libraries to a limited term or to a continuing appointment.

A continuing appointment implies a commitment on the part of the University to indefinite -employment as long as programmatic needs continue, funds are available and there is not just cause for dismissal.

Movement from a limited term appointment to continuing appointment requires a significant review of performance and potential. The review and approval process is detailed in Section II.B. A librarian who has received a continuing appointment and who transfers to another position or to another library at Stanford retains the continuing status.

A limited term appointment precedes the continuing appointment. Appointments to the rank of Assistant Librarian are always made for a limited term. Typically an individual appointed to this rank has little or no professional experience, and the term of appointment is usually one to three years. Once the librarian attains the rank of Associate Librarian, the librarian is eligible for movement to continuing appointment.

No librarian appointed on a limited term to a salaried position at halftime or more shall serve at Stanford in any one rank or combination of the four ranks for more than six years. This provision does not apply to fixed term appointments.

**2. NON-CAREER TRACK POSITION:** A librarian may be appointed at any rank to a non-career track position for a fixed term. Fixed term appointments are contingent on programmatic needs, availability of funds and absence of cause for dismissal. Such a position may be a special project position, a position supported by special funds, or to fill a temporary vacancy. The letter of appointment shall specify the rank and length of the term, which may accumulate beyond six years. An appointment to a fixed term position is not counted in the six-year period allowed for limited term appointments. If an incumbent transfers from a fixed term status into a career track (limited term appointment) position, the career track period will commence with the date of appointment to the career track position.

#### **D. MOVEMENT THROUGH RANKS**

Change in rank within the Academic Staff - Libraries may occur as follows:

1. A librarian may be appointed to a vacant position at a higher rank. In such instances, the librarian will have competed for the position under the normal search and selection procedure for all appointments to Academic Staff -Libraries (see Section III. A). It is of primary importance that accumulated expertise and recent performance of assignments clearly demonstrate professional growth corresponding to the higher rank.
2. A librarian may be promoted to a higher rank while remaining in the position currently occupied. In such a case, the decision will depend on fulfillment of increased responsibilities meeting programmatic needs of the library corresponding to the higher rank. It is of primary importance that accumulated expertise and recent performance of assignments clearly demonstrate professional growth corresponding to the higher rank. External evidence of expertise is relevant to promotion decisions only when it contributes to improved library service to the University, or to the development of the profession, both within and beyond the scope of the immediate job assignment. Promotion will not be based on longevity.
3. As changes occur in the structure of libraries at Stanford, the functional responsibilities of a position may be affected, and it may become appropriate to reassess the rank which is assigned to the position. As a result of the reassessment, a librarian's rank may be changed. In such instances, the Director shall submit a proposal for change through appropriate channels to the Provost, setting forth in detail the reasons for the change.

## II. CAREER REVIEW AND DEVELOPMENT PROGRAM

### A. PERFORMANCE APPRAISAL AND SALARY SETTING

#### 1. Performance Appraisal

a. **Purpose:** The purposes of performance appraisals are:

- (1) to evaluate each librarian's performance in a fair and consistent manner;
- (2) to document the total contribution which each librarian makes to the program of the Libraries;
- (3) to contribute to planning in the Libraries by means of individual goal-setting;
- (4) to enable librarians to see the relationship between their responsibilities and performance, and their compensation.

The appraisal should result in a mutual understanding between the librarian and the supervisor concerning the current responsibilities of the position and goals for the coming year. The goals may include both performance goals and career development goals (see Section II.D.).

Since it is University policy to provide merit increases based on performance, the documentation resulting from the appraisal is used during the salary setting process to ensure equitable compensation decisions.

b. **Procedures:** The performance appraisal is carried out annually for all librarians at a time determined by each Director. In each of the Libraries at Stanford University the procedural steps and related forms for documentation are determined internally.

In all cases documentation shall include a position description if changes have occurred in the assignment since the last appraisal, an evaluation by the supervisor, an opportunity for response by the librarian, a statement of professional activities provided by the librarian, and a statement of goals for the coming year arrived at jointly by the librarian and the supervisor. A librarian may also attach a separate statement regarding the appraisal at the end of the process if necessary. Completed documentation of the appraisal is kept in the librarian's personnel file; one copy is provided to the librarian.

The performance appraisal shall include at least one conference during which the librarian and the supervisor review the appraisal and discuss the librarian's progress both as a member of the Academic Staff and as a professional. In addition to the scheduled conference, frequent discussion of work responsibilities, performance, and goals is encouraged throughout the year.

c. **Content of the Appraisal:** The appraisal should describe recent performance and the resulting contributions to the programs of the Library. The supervisor should provide a balanced assessment of the previous year and should not focus only on one instance of weak or strong performance. The evaluation will generally emphasize qualitative aspects of an assignment; quantitative measures may also be relevant. It should address subject and technical aspects of an individual's responsibilities, administrative or managerial aspects when appropriate; it may also include assessment of other characteristics such as organizational and communications skills, dependability and judgment that can be directly related to the requirements of the individual's position.

Attainment of additional graduate degrees, publication of scholarly articles, contributions to professional associations and similar activities outside the Library are important aspects of a librarian's professional activity and should be described in the appraisal.

## 2. SALARY SETTING

In the determination of salaries for Academic Staff - Libraries, salary curves are used to assure a logical and consistent pattern of salary distribution. These curves are also used to convey to librarians the context in which individual salaries are viewed.

The curves are designed to provide flexibility in salary administration, so that an individual's rate of compensation reflects performance, years of applicable experience, and level of responsibility. Normally all salaries will fall within the limits defined by the curve to which the position is assigned. Any exceptions to this require approval by the Provost's Office.

The salary curves used for Academic Staff -Libraries correspond to those for other exempt staff at Stanford. They are:

<i>Rank</i>	<i>Academic Staff Libraries Curve</i>
Assistant Librarian	C05
Associate Librarian	C06
Librarian	C07
Senior Librarian	C08

The guidelines for merit increases are set each year by the University Board of Trustees and are administered by the Provost and the President. The intent of the curves and of the annual guidelines is to assure a fair and equitable salary distribution among librarians. Salary judgments are based on elements considered in the performance appraisal process. While made with the utmost care, they are nevertheless subjective judgments of relative merits and contributions to the University's academic program, rather than conclusions reached strictly by formula. Librarians' supervisors (or in some instances other library managers) submit recommendations for salary increases through appropriate channels to the Directors. In instances where an immediate supervisor is not the officer submitting the recommendation, he or she is involved in developing it. Directors review all

recommendations for consistency and equity. Results of this review are discussed with library managers and supervisors submitting the recommendations, and any problems or changes are reconciled. Immediate supervisors, where this applies, take part in the reconciliation of changes in the recommendations.

The procedure for setting salary and for the determination of annual merit increases varies among the libraries of Stanford University, but in all instances each library is responsible for salary determination. Final review and approval by the Provost's Office is made to ensure that the library decisions are made within University-wide guidelines for fair and equitable salary distribution.

It is each Director's responsibility to insure adequate communication, so that the basis of classification, evaluation, and compensation is well understood by every librarian.

## **B. ADVANCEMENT TO CONTINUING APPOINTMENT**

Movement from limited term to continuing status requires a significant review and its approval depends on the fulfillment of specific criteria. It recognizes broad professional contributions and demonstrated career promise. The process is a thorough one in which the quality of performance and the spectrum of professional activities are examined.

1. **Review Process:** The review process is conducted as follows: the review for advancement to continuing appointment will be conducted when the performance of the librarian on a limited term appointment is deemed to warrant it, but in all cases, it will be completed no later than three months before the end of the limited term appointment. The review may be initiated by the librarian or the librarian's supervisor, subject to the approval of the appropriate administrative officer. The review process will typically take at least three months, but not more than six months; in the case of a one year limited term appointment, it will take a maximum of three months.

The review is to be conducted by the appropriate administrative officer who has supervisory responsibility with respect to the librarian, but it may not necessarily be conducted by the librarian's direct supervisor.

It is the responsibility of library administrators to ensure that reviews are conducted in a timely fashion. In the University Libraries, the Library Personnel Office will notify the reviewer. In Coordinate Libraries, each will assure a mechanism for timely review. The reviewer will be notified and minimum notice of the review will be given to the librarian as follows:

<i>Term of Appointment</i>	<i>Minimum Notice</i>
1 year	3 months
2 years	6 months
3 years	9 months

2. **Criteria:** Criteria for advancement to continuing appointment include:

- a. Evidence of sustained high quality of performance and fulfillment of the criteria described in Section LB for the appropriate rank;
- b. Demonstration of capacity for future growth;
- c. Contribution to improved library service to the University, or to the development of the profession, both within and beyond the scope of the immediate job assignment.

Each case is different, but in all reviews the first two criteria carry the greatest weight. Reasonable flexibility shall be exercised in weighing the comparative relevance of all criteria.

**3. Possible Outcomes:** There are four possible outcomes of the review process:

- a. The librarian is moved to a continuing appointment;
- b. The librarian is appointed to another limited term (Note: All limited term appointments shall total no more than six years);
- c. If the review occurs more than one year before the expiration of the current limited term appointment, and neither "d" nor "V" results, a new review is conducted before the end of the current term;
- d. The librarian's appointment is not renewed and it is terminated at the end of the limited term appointment. The librarian must be notified in writing by the Library Director of the termination not less than three months before the end of the limited term appointment.

**4. Content of the Review:** The reviewer will inform the librarian that the review process is being started and discuss with the librarian the persons to be contacted as references; these shall be individuals with whom the librarian has had significant professional and job-related contact within or outside the University, and may include professional colleagues. The reviewer will consider references suggested by the librarian, but is finally responsible for selecting the references to be included. The reviewer will notify the librarian of the individuals finally selected to provide references. The reviewer will inform persons asked to provide references about the significance of the review and will provide appropriate background documentation, such as the criteria for the rank, the librarian's position description, resume and other documents as appropriate.

The librarian may provide the reviewer with relevant data that he or she wishes the reviewer to consider, such as documents, reports, publications, etc.

Based on all material collected by the reviewer and any documentation submitted by the librarian, the reviewer will prepare a fully documented written recommendation regarding advancement to continuing appointment.

**5. Decision Steps:** When the reviewer is someone other than the Director, the recommendation is submitted to the next appropriate Library administrative officer who shall review the recommendation for complete

ness and appropriateness, and who shall attach his or her written recommendation. The file is then submitted to the next higher Library administrative officer for the same kind of review and recommendation, even if there was a negative recommendation by one of the previous administrative officers.

At each step, the new recommendation will be communicated to the Library administrative officers who reviewed the package earlier; they will have an opportunity to attach additional comments to the file.

The librarian shall be informed of the progress of the review at each step in this process. Information on recommendations will be kept confidential.

When the file reaches the Director with a positive recommendation it is submitted through appropriate channels to the Provost's Office for action. The results of the Provost's action and the general substance of the review shall be set forth in writing by the reviewer and discussed with the librarian.

In the case of a negative decision, the Director is responsible for discussing the review with the librarian and setting forth in writing the substance of the review.

### **C. PROMOTION PROCEDURES**

See Section I.D for a description of movement through the ranks of the Academic Staff - Libraries.

1. **Review Process:** The review for promotion is initiated by the librarian's supervisor or by the librarian, with the concurrence of the appropriate administrative officer. If the administrative officer denies the request for a review, the librarian will receive a written statement of the reasons for withholding approval. The review will be performed by an appropriate administrative officer who has supervisory responsibility with respect to the librarian, but not necessarily by the librarian's immediate supervisor.

2. **Criteria:** Criteria for promotion shall include:

- a. evidence of increasing expertise beyond performance of current responsibilities;
- b. assumption of responsibilities at the level of the higher rank;
- c. professional activities and contributions to improved library service to the University or to the development of the profession, both within and beyond the scope of the immediate job assignment.

Reasonable flexibility shall be exercised in weighing the comparative relevance of these criteria.

3. **Content of the Review:** The reviewer will inform the librarian that the review process is being started and discuss with the librarian the persons to be contacted as references.

The references shall be persons with whom the librarian has had significant contact within or outside the University,

and may include professional colleagues. The librarian may provide the reviewer with relevant data he or she wishes the reviewer to consider, such as documents, reports, publications, etc. The reviewer shall notify the librarian of those individuals finally selected as references. The reviewer will inform the potential references about the significance of the review and provide background documentation (e.g., criteria for rank, the librarian's position description, etc.).

Based on all material collected by the reviewer and any documentation

submitted by the librarian, the reviewer will prepare a fully documented written recommendation for or against promotion.

**4. Decision Step:** The recommendation is submitted through appropriate administrative officers until it reaches the Director. If the Director approves a promotion, the entire recommendation is passed through appropriate channels to the Provost for final action.

The reviewer will notify the librarian in writing of the final decision and the general substance of the review. The entire review shall normally be completed within three months from its initiation.

**D. CAREER PLANNING AND STAFF DEVELOPMENT:** Career planning and development is a goal-oriented process which offers a librarian increased challenges, skill development, or responsibility. The Libraries at Stanford University encourage and provide opportunities for career development.

Librarians, with the assistance of their superiors, are encouraged to identify and pursue personal and professional goals necessary for maintaining the University's standards of excellence in education and research.

The libraries offer a variety of programs which include, but are not limited to, the following: University and library continuing education programs, such as seminars and workshops, course work, academic degree work, staff exchanges, and professional meetings.

The Libraries may provide either financial assistance or time off or a combination of both to librarians who wish to increase their professional competence or job-related qualifications by participating in these programs.

**1. Criteria for Approval:** Time off with pay may be granted provided:

- a. The proposed program contributes to the job-related skills and knowledge of the librarian, and

- b. The librarian's supervisor determines that the individual's work unit can be adequately staffed during the period of time required for completion of the program. A member of Academic Staff-Libraries is expected to adjust his or her work schedule as needed to ensure minimum disruption for the work unit.

2. **Reports:** Procedures for reports on staff development activities vary among the Libraries at Stanford University. If a Director or a librarian's supervisor requires a report, this should be specified at the time the participation in the program is approved.

### 3. **Categories of Activities Qualifying for Financial Assistance:**

a. **Course Work:** Financial support for course work is available under the University's Staff Training and Assistance Program (STAP). The limit for this support is a dollar amount per quarter per staff member which is determined annually and is available from Human Resources Services. These funds are available to cover tuition, fees, or the cost of instructional materials. More information is available in Stanford University Guide Memo 22.11.

b. **Academic Degree Work:** The library may provide tuition reimbursement where STAP does not apply, and may allow full-time staff up to ninety hours in one year to take courses in approved degree programs. Time off for persons working less than full time is prorated. Tuition reimbursement under this program does not obligate the recipient to continue employment in the University after completing the degree. The University makes no commitment to change the level of compensation or the rank of a librarian after completion of the degree.

c. **Professional Meetings:** The library may support travel to attend professional meetings depending on available funds and considering:

- The operational requirements of the applicant's unit;
- Demonstration of an active interest in and contribution to professional activities by the librarian, and
- The significance of the meeting for work at Stanford or relevant professional development of the librarian.

Approval may be extended for time off to attend a meeting without financial support, so that absence from work will not result in loss of compensation or vacation. It should be noted that STAP funds may also be used for registration fees for institutes or workshops, but not for annual conferences of professional organizations.

d. **Travel Assistance:** Funds for travel assistance are limited and the extent of support provided by each library may vary. Information regarding specific procedures for application for financial assistance and for the reimbursement of covered expenses is available from the Director or, in the case of the University Libraries, from the Library Personnel Officer.

The libraries at Stanford University provide the following categories of travel support for professional meetings:

1. *Travel to conduct library business*- Libraries at Stanford University will fully cover reimbursable travel expenses and registration fees of Academic Staff -Libraries who are designated as official representatives of the library at meetings or conferences or who must travel as part of their responsibilities at Stanford.

2. *Travel to conduct professional business*- Libraries at Stanford University may authorize time off and may contribute toward the reimbursable travel expenses and registration fees of members of the Academic Staff - Libraries who are participants in regional or national professional organizations and who are required to travel as a result of this participation. Active participation is demonstrated by election to office in a professional organization, membership on a committee, or presentation of a prepared paper.

3. *Staff development travel* -Libraries at Stanford University may authorize time off and may provide support toward expenses to enable interested members of Academic Staff - Libraries to take part in meetings or conferences of regional or national professional organizations. If the limits on funding or the operational requirements of the applicant's unit do not allow aR interested staff members to attend annual meetings each year, support may be provided on a fractional or rotational basis. Preferences may be based on membership and level of activity in these organizations.

### **III. OTHER PERSONNEL POLICIES**

**A. SEARCH AND SELECTION PROCESS.** Recruitment for Academic Staff - Libraries is normally assigned by the Director to a professional staff member designated as the Search Officer who provides leadership to a group of persons serving as the Search Advisory Panel. This process does not normally apply to temporary appointments or to cases where a waiver of posting is requested and granted. Final responsibility for selection procedures rests with the Director who ensures that all actions are performed in concert with the Provost's Office and in accordance with Affirmative Action policies and guidelines.

The search may be divided into the following steps:

1. The appropriate administrative officer determines the nature of the vacant position and submits a vacancy listing to the Director for approval. In some instances a director may assign a vacant position to two ranks (e.g., Assistant Librarian or Associate Librarian) in order to generate an adequate pool of applicants. The vacancy listing for such a position will address the differences in assignment and qualifications for each rank. The appointee is assigned to one of these ranks depending upon the job responsibilities finally determined for the position and appropriate for the individual's combination of experience and qualifications.
2. The Director forwards the vacancy listing and search plan through appropriate channels to the Provost's Office for concurrence.
3. To ensure that internal candidates are made aware of transfer opportunities, all vacancy listings are sent to each of the other libraries at Stanford University and are included in the Library Bulletin. In addition, vacancy announcements are sent to selected institutions and library schools, and are advertised in various publications.
4. The Search Officer and Search Advisory Panel assemble an applicant pool and recommend to the Director the candidates to be brought for interviews. After gathering all the information on each candidate, including input from those who interviewed the candidates, the Search Officer submits a search report to the Director; the search report includes a hiring recommendation.
5. The Director considers the Search Officer's recommendations and may accept, modify or reject them. The Director sends his or her hiring recommendation accompanied by full documentation through appropriate channels to the Provost for final approval of selection and salary to be offered.

**B. PERSONNEL FILES:** It is the policy of Stanford University to maintain open personnel files for all members of the Academic Staff -Libraries. Files are maintained in the Provost's Office and in each Library.

1. **Provost's Office File:** A file is maintained in the Provost's Office for each member of the Academic Staff -Libraries. The file includes the following:

- a. Recommendation for Appointment to Academic Staff -Libraries;
- b. Appointment letter;
- c. Personnel Action Forms;
- d. Position description;
- e. Calculation of Years of Applicable Experience.

2. **Library File:** A file is maintained in each Library or its school office for members of the Academic Staff -Libraries employed in that Library. The file includes copies of all the materials listed in III.B.1 as well as the following:

- a. Performance evaluations and related documents;
- b. Documents which detail the librarian's Stanford career and work related activities, e.g., evidence of courses taken or audited, records for tuition reimbursement, copies of records of educational accomplishments, professional honors and awards.

Documents that are not kept in the individual's personnel file include salary recommendations, letters of reference relating to hiring, advancement, etc., and materials pertaining to a grievance.

### 3. **Access to the Librarian's Personnel File:**

a. The personnel file is accessible to appropriate personnel officers and to those who have direct or indirect supervisory responsibility with respect to the librarian.

b. Transfer requests: Upon receipt of a request from one of the Directors of a Library at Stanford University to review the personnel file of a librarian who is a candidate for transfer, or is a transfer, one of the following will occur:

1. A summary of the librarian's personnel file will be made by the appropriate administrative officer and forwarded to the requesting Director.
2. The entire personnel file will either be made accessible, in the case of a transfer candidate, or will be forwarded in the case of a transfer, to the requesting Director.

c. Access by the librarian: The personnel file is available for inspection by the librarian. One copy of specific documents in the file will be provided upon request to the librarian.

**C. COMPENSATION FOR ACTING ASSIGNMENT:** Librarians who are assigned temporary responsibilities at a higher rank may receive incremental compensation to acknowledge the changed level of the assignment. Such compensation shall not be made for assuming duties which are part of the libraries normal duties, such as substituting for a supervisor on vacation.

## IV. RESOLUTION OF DISPUTES

The interests of the University and its staff are best served when differences in the workplace are resolved as part of the regular communication between employee and supervisor. It is expected that members of the Academic Staff -Libraries will go to considerable lengths to reach mutually acceptable resolution of problems. There is also the expectation that librarians and their supervisors share a common understanding of and commitment to work for the achievement of the University's goals, and that they perform their work with skill and dedication. In addition, the University expects its managers and supervisors to respect each employee's worth, dignity, capacity to contribute and desire for professional growth and accomplishment.

The following procedures are designed to provide members of the Academic Staff - Libraries and Stanford University with an orderly and expeditious way to resolve differences which may arise between them. The procedures defined in this section are available to members of the Academic Staff -Libraries when informal avenues to resolve problems have been unsuccessful; they are designed to supplement, not to replace, the routine and informal methods of responding to and remedying staff problems and complaints.

### A. INFORMAL DISCUSSIONS

The interests of the University and members of the Academic Staff - Libraries are best served when problems are resolved as part of the regular communication between the librarian and the appropriate supervisor or administrative officer. Librarians are also encouraged to use other resources available to help them in addressing difficulties. The University Ombudsperson's Office, the Affirmative Action Office, Employee Relations, the Help Center and the appropriate Staff Affairs Officer may provide useful guidance.

If informal discussion is not successful in resolving disputes or problems the following procedures may be followed by the librarian. The procedures described are available to all members of the Academic Staff -Libraries, whether on fixed term, limited term, or continuing appointment, and on either career track or non-career track.

### B. CONFLICT RESOLUTION PROCEDURES

1. **Applicability.** A member of the Academic Staff -Libraries, may use these procedures whenever he or she believes an improper action has occurred, provided that the action complained of involves an alleged violation of University or library policy and that alleged violation has had a direct and adverse affect upon the librarian. These procedures are not applicable to claims that a University or library policy is inadvisable or unfair solely as a matter of general application. Suggestions for change of general rules or policies affecting librarians may be submitted by members of the Academic Staff -

Libraries to the director of the library in which the librarian is employed or to the Provost.

**2. Dispute Resolution Levels.** The procedure described below includes time limits for various specific steps. These limits balance the need that librarians and supervisors have to prepare information and responses with the need for a timely process. If the librarian, the supervisor, or the Library Director require additional time to complete a step at any stage of these proceedings, the parties involved may negotiate an extension, with an estimate of the date by which the action will be completed; the agreement to an extension should be in writing.

a. Level 1--Discussion with Department/Division Head

A librarian who feels that he or she has been subjected to a grievable action as defined in Section IV. B. 1 above, and who has been unable to resolve the problem through informal discussion with the supervisor, shall discuss the matter with the appropriate Department/Division Head. The request for a formal discussion is made in writing. **TO BE COVERED BY THESE PROCEDURES THE WRITTEN REQUEST MUST BE PRESENTED WITHIN SIXTY CALENDAR DAYS AFTER THE ACTION WHICH FORMS THE BASIS OF THE COMPLAINT.** The Department/Division Head consulted will respond in writing to the claim raised by the librarian within fourteen calendar days of the discussion. If the librarian reports directly to the Department/Division Head, these discussions will take place with the person to whom the Department/Division Head reports.

b. Level 2 --Written Statement of Dispute.

If the dispute is not resolved by the Level 1 discussions, a librarian who wishes to continue the matter shall file a written statement of dispute with the cognizant Library Director (in the Hoover Institution, this is the Associate Director for Library and Archival Operations). If the dispute concerns an action of the cognizant Library Director the statement shall be filed with the administrative officer to whom that director reports.

The written statement must describe the matter in dispute, previous attempts at resolution, and the action that the librarian requests be taken. The statement must specify the particular action that is complained of and how that action directly and adversely affects the librarian. **TO BE COVERED BY THESE PROCEDURES THE STATEMENT MUST BE PRESENTED WITHIN THIRTY CALENDAR DAYS AFTER THE RESPONSE AT LEVEL 1.**

The affected Library Director, or next level administrative officer or his/her designee, as appropriate, will initiate discussions concerning the dispute with the librarian and the supervisor. The purpose of these discussions is to enable the librarian and the supervisor to resolve the dispute. If the, dispute is resolved, that resolution will be confirmed in writing by the supervisor. If the matter is not resolved within fourteen calendar days by

these discussions, a written determination will be issued to the librarian and the supervisor by the Library Director or administrative officer.

This completes the review in all cases except those that involve layoff, termination of employment or denial of reappointment; see Section IV.C for the appeals procedure. In case of a decision to lay off, terminate employment or deny reappointment, the affected librarian may request in writing in a timely manner (14 calendar days after the Level 2 written determination) that he or she wishes to have the matter reviewed by a Dispute Review Committee.

c. Level 3-Resolution by Dispute Review Committee.

The request from the librarian for DRC review must be made in writing to the cognizant Library Director within fourteen calendar days after receipt of the Level 2 written determination.

The chairperson of the DRC will be appointed from among the Library Directors by the Provost or his or her designee, who may consult with appropriate individuals, including the affected Library Director, regarding the appointment of the chairperson. The DRC members will be appointed by the chairperson of the DRC. The DRC will consist of a Library Director from another library (the chairperson) and two other individuals. One will always be a librarian on continuing appointment from another library or another division in the same library. The second may be either another librarian on continuing appointment from another library or another division in the same library, or a member of the University faculty or staff who can contribute to an objective review of the case. No member of the DRC will have been involved in any earlier review of the dispute.

The chairperson of the Dispute Review Committee is responsible for managing the review process as he or she considers appropriate. A review meeting will be set by the chairperson to take place within thirty days of the receipt of the librarian's request for review. The Provost, or his or her designee, will arrange for appropriate staffing of the DRC.

The department or division involved will be represented at the meeting to present information in support of its decision. The librarian may be accompanied at the review meeting by an adviser; the adviser may be any other University employee who is willing and able to serve, and the meeting will be scheduled at a time that does not conflict with the operation of the department of the adviser.

The DRC will evaluate the information presented by both the librarian and the department. If the DRC finds the decision of the department to be improper and not in accord with applicable University policy or practice, it will determine appropriate corrective action; otherwise, the decision at Level 2 will be upheld.

The DRC shall reach a decision within thirty calendar days of the final committee review session. A written decision will be forwarded to the affected Library Director, librarian

and Department/Division Head. This completes the review of decisions to lay off, terminate employment or deny reappointment; see Section IV.C for the Appeals procedure.

## **C. Appeals**

**1. Administrative Review Appeal (cf. Level 2).** A librarian may appeal the decision of the cognizant Library Director in Level 2 for decisions other than layoff, termination of employment or denial of reappointment. The appeal is made through the administrative structure (Library Director, dean/director if applicable, Provost), and must be made within fourteen calendar days of the issuance of the Library Director's written decision. When the appeal is made to a dean/director, that administrative officer, or his or her designee, will review the record prepared for the Level 2 decision, and may affirm, overrule or modify the decision. The dean's/director's decision may be appealed to the Provost within fourteen calendar days of the issuance of the first appeal decision. The Provost, or his or her designee, will review the record prepared for the Level 2 decision and any subsequent appeals, and may affirm, overrule, or modify the decision in which case the decision of the Provost will be final. The Provost may decide to refer the matter to a DRC for resolution. The Provost will appoint the chairperson of the DRC; the chairperson will appoint the other members of the DRC as described in Section IV. B.2.C. In such cases the finding of the DRC will be final.

**2. Dispute Resolution Committee Review Appeal (cf. Level 3).** Either the librarian or the Library Director may appeal the DRC's decision to the Provost within fourteen calendar days of the issuance of the DRC decision. The Provost or his or her designee will review the record prepared by the DRC and may affirm, overrule or modify the decision of the DRC. The decision of the Provost, or his or her designee, will be final.

**3. Standards for Review of Appeal.** An appeal must be made in writing, describing the matter in dispute, previous attempts at resolution, and the action requested. It should include the names and positions of all administrative officers with whom the dispute has been filed and a copy of the determination made by each of those administrative officers. The written appeal must specify the grounds on which the librarian thinks the Provost should overrule or modify the decision, and specify what information presented at the dispute meeting supports such an action. The appeal may be made only after a decision is made at Level 3 for cases involving layoff, termination of employment, or denial of reappointment; or at Level 2 for other cases.

The review of an appeal conducted either by the Provost, or his or her designee, or by a Dispute Resolution Committee shall usually be limited to the following considerations:

1. Were the proper facts and criteria brought to bear on the decision? Were improper or extraneous criteria brought to bear on the decision?
2. Were there any procedural irregularities that substantially affected the outcome of the matter?

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3. Given proper facts, criteria and procedures, was the decision one which a person in the position of the decision-maker might reasonably have made?

## Stanford University Memorandum

April 12, 1993

TO: SUL Librarians  
FROM: Bob Street  
RE: Interpretations of the Blue Book

In the Fall of 1991 the SULA Professional Concerns Committee (PCC) expressed concern about how the positions of SUL librarians are classified and how these classifications relate to other positions in the University. To address this need, the PCC sponsored a program and brown bag lunch in early 1992. As a result of these discussions, a small PCC Task Group (Vicky Reich, Chair) was formed to draft a list of possible future interpretations of the Personnel Program for Academic Staff-Libraries (the Blue Book). The Committee examined the issues of continuing appointment, classification and promotion and made recommendations for interpreting those sections of the Blue Book.

The Directors and I agree with the recommendations posited by the committee and in what follows, I outline the points of interpretation and practice with regard to the Blue Book. Nothing herein changes the policy provisions therein.

The interpretations listed below are intended to

- a) align SUL practice more with practices in the Coordinate Libraries, practices in the IR part of L&IR and changes in the University environment;
- b) change some practices which have been to our disadvantage, e.g. four to six year "probationary periods" before advancement to continuing appointment, inordinately long lists of referees for career reviews, and a pressure for outside activities which may be in conflict with increasing job responsibilities; and
- c) in some cases, simply record SUL's current practices.

### **CONTINUING APPOINTMENT**

Since early 1991, it has been our practice to review continuing appointments, on average, in the third year. The interpretations below will move us toward shorter time periods for advancement to continuing appointment and to much more selective lists of referees for career reviews, in general. I would expect the time frame for reviews to level out to between 2.5 and 3.0 years. However, this is a local supervisor's call as to the precise timing and will vary within a natural range among managers rather than being controlled by a directive promulgated by the library directors.

With regard to the career review, in cases where continuing appointment has been recommended but promotion has been denied because of reasons which can be remedied, the directors, Carol Olsen and I have decided to eliminate the need for a second formal review (see #6 below).

1. In general, staff will be considered for continuing appointment within the first two to three years of hire. A longer initial term of hire does not imply waiting longer than two years for consideration for advancement to continuing appointment. <Blue Book, p. 7 & 12>
2. In general, the outcome of the continuing appointment review process will be either a change in status to continuing appointment or notification of termination (with appropriate notice as defined in the Blue Book). Appointment to a second term is not the usual outcome. <BB, p. 12>
3. Limited term appointments will generally be made for three years or less. <BB, p. 7>
4. the criteria for continuing appointment will stress high quality performance and demonstrated capacity for future growth; contributions outside the scope of the job assignment will be weighted less heavily. <BB, p. 12>
5. Peer evaluations for the continuing appointment process should be solicited from only those few people with a unique perspective on the candidate's work. <BB, p. 12>
6. In cases where continuing appointment has been recommended, but promotion has been denied because of minor concerns which can be remedied in a specified amount of time, the continuing appointment will be granted and the promotion will follow without a second formal review. The manager will articulate clearly defined goals for additional accomplishments or improvements within a specified time frame (typically six to twelve months). Successful attainment of the goals will be assessed by the manager and director, and promotion to the higher rank will then be awarded. This does not apply to advancement from assistant librarian to associate librarian. In that case, continuing appointment is contingent on promotion to associate librarian.

## CLASSIFICATION

The interpretations here for CLASSIFICATION and RECLASSIFICATION represent a significant shift from advancement through the ranks occurring typically via the promotion review process, -- to most advancements occurring via the reclassification process. Thus the emphasis will be on advancement based on broadened scope of responsibility, and manager review; as opposed to advancement based more on increased stature in the library profession and peer review. I hope that professional participation and the rewards it brings to both the individual and the institution will continue to be recognized, and rewarded in other ways, for example, by merit increases and scaled travel allowances.

7. Upon review by LHRD, positions in SUL are assigned to one of the ranks as defined on p. 6-7 of the Blue Book, or to a range of ranks. LHRD reviews positions as they are posted, or when duties have changed significantly and there is a request for reclassification. The rank, or range of ranks, assigned depends on the scope of responsibilities assigned, as required to fulfill the Libraries' programmatic needs. Incumbents hold the rank of the position they occupy. In the

- case of a position with an associated range of ranks, the incumbents will be appointed to one of those ranks depending on their skills and abilities, and assumption of responsibilities at the level of a particular rank. <BB, pp. 5-6>
8. Movement through the ranks will most typically be by reclassification, or by appointment to a vacant position at a higher rank. <BB, p. 8, #1 & #3>

## RECLASSIFICATION

Reclassification is a legitimate and proper way for advancement through the ranks in appropriate situations. The driving factors for a reclassification action are programmatic need, increased responsibilities, and skills and abilities to perform the tasks.

9. An individual may be reclassified within the same position in one of two circumstances:
  - i. In positions assigned a range of ranks, incumbents will be reclassified into the higher classification when they have expanded their skills and abilities, and assumed responsibilities at the level of the higher rank.
  - ii. The rank of a position will be reevaluated when changes in the structure of programs of the Libraries dictate changes in, or expansion of, the functional responsibilities of a position.

In either circumstance the manager will submit a current job description, the staff's resume and a memo detailing the differences in job responsibilities to LHRD. <BB, p. 8>

10. For reclassification within the same position, the incumbent's skills and abilities to fulfill the requirements of the job at the higher rank are of primary importance. Contributions to L&IR and to the profession, come into play in as much as they result in increased scope of responsibilities of the position. <BB, p. 8>

## PROMOTION

Promotion in one's current position is a legitimate and proper way for advancement through the ranks in appropriate situations.

11. In circumstances of exceptional professional stature and/or high technical expertise, where reclassification is not appropriate, promotion can be awarded through a process of colleague review. <pp. 13-14> Peer evaluations should be solicited from only those few people with a unique perspective on the candidate's work. <BB, p. 14>
12. In general, when considering staff for promotion, accumulated expertise, level of performance, and contributions within the L&IR community will be weighed as heavily as contributions to the profession at large. <BB, p. 8 & p. 14>