

Appointment, Rank, and Promotion System

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INTRODUCTION

Miami University librarians are active participants in and contributors to the educational mission and goals of the University. They are dedicated to a leadership role in the collection, organization, preservation, and delivery of all forms of recorded knowledge to a diverse University constituency. Librarians provide dynamic services by adding value to information as it is organized and made accessible and, through educational programs, teach students and faculty how to locate, evaluate, and utilize diverse information sources.

Miami University Libraries is committed to reward professional achievement. The Libraries recognize that librarianship is a complex field in which a wide variety of knowledge, skills, and talents are valued and that the quality of the Libraries contribution to the institutional goals of the University is enhanced by the professional excellence of all individual librarians. This document defines criteria governing employment of full-time, continuing contract eligible librarians within the Miami University Libraries, including ranks, appointment, promotion, and continuing contract. Appointment, evaluation, and reappointment of the Dean and University Librarian, will follow the established university guidelines.

Librarians hold one of three ranks assigned to reflect the professional status and accomplishments of an individual rather than the individual's immediate position or responsibilities. Assignment and promotion within ranks for librarians is a means of recognizing meritorious performance and professional maturity. Specifically, the promotion and continuing contract system for permanent, full-time librarians recognizes persons who have demonstrated professional growth within their primary assignments. The system also recognizes their contributions to the Libraries broadly, to the University community, and to the profession of academic librarianship.

The criteria for measuring and rewarding accomplishment within each rank of this system confirm the unique and distinct status of librarianship, which has its own values, concerns, and appropriate areas of activity within the University community. The Provost, upon recommendation of the Dean and University Librarian, determines a librarian's initial rank at appointment following the established criteria for each rank as well as the individual's status and achievements prior to appointment at Miami University.

Promotion and continuing contract within the system are to be awarded by means of the procedures set forth within this document. A continuing contract is for the position of librarian and does not assure any specific assignment within the Libraries. As such, continuing contract is an expression of confidence in the individual's future performance based upon a judgment that the person has reached a threshold standard.

The maintenance of standards and the recognition of achievement are the responsibility and privilege of the profession of librarianship as a whole, to be shared by each of its members. To provide the librarians of Miami University with the opportunity to discharge this responsibility, peer evaluation by the Personnel Committee is one element of the promotion and continuing contract procedure.

SECTION I. RANKS

I. A. INTRODUCTION

Full-time, continuing contract eligible librarians are appointed or promoted to the following ranks:

- Assistant Librarian;
- Associate Librarian;
- Principal Librarian.

In order to secure appointment or promotion to a rank, a new librarian or librarian seeking promotion must meet the criteria established for that rank.

Full-time, non-continuing contract eligible librarians are appointed to one of the following ranks:

- Visiting Assistant Librarian;
- Visiting Associate Librarian;
- Visiting Principal Librarian.

Librarians must hold an earned master's degree in library and/or information science (e.g. an M.L.S.) or the equivalent of such a degree from an accredited college or university. It is recognized that the equivalent of an M.L.S. may involve specialized training, study, or experience that does not culminate in that particular degree.

I. B. ASSISTANT LIBRARIAN

Appointment to the rank of Assistant Librarian demands that the candidate meet the requirements of a professional librarian. This rank designates the beginning level of librarianship assigned to individuals who may have little or no professional experience in academic or research librarianship.

Assistant Librarians must serve a probationary period at Miami University. The probationary period is such that a person may be considered for promotion and continuing contract only once, with consideration occurring in the sixth year of qualifying service.

An Assistant Librarian may be accorded up to two years of experience at a comparable research or academic library toward the probationary period (Section III.A). Service in a part-time position does not apply. An Assistant Librarian who is not promoted and granted continuing contract by the end of the sixth probationary year of full-time employment will receive a terminal appointment.

I. C. ASSOCIATE LIBRARIAN

Appointment or promotion to the rank of Associate Librarian requires a documented record based upon three criteria specified in Section III. This includes a documented very strong performance in primary professional responsibilities (Section III A., Criterion 1), very strong performance in one of the other two areas (Section III. B or C, Criterion 2 or 3), and strong performance in the third.

Librarians appointed at the rank of Associate with continuing contract eligibility have a six-year probationary period. Librarians may be accorded up to two years of experience at a comparable research or academic library toward the six-year probationary period (see Section III.A.). An Associate Librarian who fails to qualify for continuing contract by the end of the probationary period will receive a terminal appointment.

I. D. PRINCIPAL LIBRARIAN

Appointment or promotion to the rank of Principal Librarian requires a documented record based upon three criteria specified in Section III. This includes a record of continued excellence in job performance and leadership in primary professional responsibilities (Section III A., Criterion 1), demonstrated excellence in one of the other two areas (Section III. B or C, Criterion 2 or 3), and very strong performance in the third. A pattern of significant contributions in these areas will be judged on how consistent, recent, and substantial the contributions and accomplishments have been.

Librarians appointed at the rank of Principal with continuing contract eligibility have a six-year probationary period. Librarians may be accorded up to two years of experience at a comparable research or academic library toward the six-year probationary period (Section III.A). A Principal Librarian who fails to qualify for continuing contract by the end of the probationary period will receive a terminal appointment.

I. E. VISITING ASSISTANT LIBRARIAN, VISITING ASSOCIATE LIBRARIAN, VISITING PRINCIPAL LIBRARIAN (NON-CONTINUING CONTRACT RANK)

Visiting Librarian titles are used for those Librarians employed in non-continuing contract eligible positions. An individual formerly employed in a continuing contract eligible position but not granted a continuing contract is ineligible for employment as a Visiting Librarian.

A Visiting Librarian typically receives a one-year appointment (July 1 – June 30), renewable without limitation on the total number of appointments. Visiting appointments may be either full- or part-time, and are subject to non-renewal at the will of Miami University.

Visiting Librarians may apply for continuing contract eligible Librarian positions. If, as the result of a search, a Visiting Librarian is selected as the successful candidate, the individual and the University must agree to the number of years of service that will be credited toward the probationary period. This will then be noted in the initial appointment letter.

SECTION II. CONTINUING CONTRACT

II. A. PURPOSE

The continued high quality of Miami University Libraries depends primarily on the high caliber of its librarians. One of the primary means the University employs to ensure this quality is the judicious use of continuing contract for librarians. Continuing contract represents a long-term financial commitment by the University. Given that librarians are committed to the concepts of academic freedom and freedom of information, they recognize that such freedoms are accompanied by responsibilities that are attached to all aspects of their professional conduct. Continuing contract helps to assure academic freedom and the freedom for a librarian to provide information. A continuing contract is for the position of librarian and does not assure any specific assignment within the Libraries.

II. B. CONTINUING CONTRACT AND TIME

All librarians with an appointment to a continuing contract eligible rank must serve a probationary period at Miami without continuing contract. In unusual circumstances the President, upon recommendation of the department head, the Dean and University Librarian, and the Provost, may waive the probationary period for a person being appointed to the rank of Associate Librarian or Principal Librarian.

The probationary period is such that a person may be considered for continuing contract only once, with consideration occurring in the sixth year of qualifying service. Service in a part-time position does not apply. A leave of absence for one year or less will count as part of the probationary period unless the librarian and the department head, with the approval of the Dean, and the Provost, agree in writing to an exception to this provision at the time the leave is granted.

At the time of hiring into a continuing contract eligible position, the Dean may accord a person up to two years credit toward the six-year probationary period for full-time service at a comparable research or academic library. This credit must be noted in the original appointment letter. However, by mutual consent of the department head and the librarian, and with the written approval of the Dean and the Provost, this grant of prior credit or a portion thereof subsequently may be rescinded during the probationary period prior to the consideration for continuing contract. An earlier discontinuous period of full-time professional library service at Miami may be treated in the same way as full-time service at other institutions.

At the time of appointment to a continuing contract eligible position, by mutual consent of the department head, the Dean, and the Provost, the individual may exclude two years of full-time service in a non-continuing contract eligible position from the probationary period.

A one-year extension of the probationary period will be granted by the Provost upon request by a librarian (1) who has or shares primary responsibility for the care of an infant or newly-adopted child under age five, and who must commit substantial portions of time to this care; (2) who faces similar responsibilities associated with a serious health condition of another person; (3) who has a serious health condition; or (4) who faces extraordinary circumstances. This extension may be granted whether or not sick leave, personal leave, or family and medical leave has been taken. Written

requests for such extensions must be made within two years of the birth, adoption, or serious health condition.

There is normally a limit of one such extension of any type during the probationary period. A person may, however, request a second extension through the Provost. The maximum number of years of extension to the continuing contract clock is two, whether the extension is claimed under the preceding paragraph or as a personal leave.

SECTION III. CRITERIA FOR PROMOTION/CONTINUING CONTRACT OR PROMOTION

III. A. CRITERION 1 ~ PERFORMANCE OF PRIMARY PROFESSIONAL RESPONSIBILITIES

Quality of performance in the area of the librarian's assigned responsibility is the most important and essential criterion for promotion in rank and continuing contract. Performance is defined as the fulfillment of the responsibilities of the librarian's primary assignment and growth beyond the minimum requirements of that assignment. The ability to carry out competently and independently the full range of library functions pertaining to the librarian's particular assignment must be demonstrated and confirmed through assessment. In addition, certain characteristics are common to the evaluation of the job performance of every librarian regardless of rank.

Factors that may be considered in evaluating the performance of primary responsibilities include, but are not limited to, the following:

1. Consistency of performance;
2. Ability to innovate (particularly, development of high quality innovative services); initiative;
3. Planning, organization, and implementation of positional and professional responsibilities;
4. Leadership in addressing current issues and future trends in areas of expertise; effective organizational skills;
5. Constructive response to criticism and suggestions;
6. Dependability, accuracy, and the ability to relate job functions to the more general goals of the Libraries and the University;
7. Professional commitment; adaptability and flexibility in approaching situations and individuals;
8. Effective communication skills;
9. Sound judgment and quality of decision making;
10. Creative approaches to problem solving; and leadership.

If an area of the librarian's assigned responsibility is teaching, the librarian's ability and effectiveness as a teacher of workshops, credit and/or non-credit courses, and course-related or independent instruction is based upon qualifications found in the Miami University Libraries Teaching Evaluation Plan (To be prepared.).

Evidence of growth beyond the minimum requirements of the primary assignment may be indicated by, but is not limited to, the following:

1. Willingness and ability to take on new or more complex responsibilities, e.g., assuming a responsibility at the request of one's supervisor or offering to take on a responsibility which would benefit the department and library.

2. Meaningful participation in departmental or library-wide goal setting, e.g. offering constructive suggestions and analysis in meetings; showing willingness to assist in implementation of decisions; active participation in library committees, teams, clusters, or other groups; and library initiatives.
3. Initiating new projects, procedures, or services which contribute to departmental or library goals, e.g. development of a new procedure that facilitates the processing of materials.

III. B. CRITERION 2 ~ SERVICE TO MIAMI UNIVERSITY LIBRARIES, THE UNIVERSITY, THE COMMUNITY, OR THE PROFESSION OF ACADEMIC LIBRARIANSHIP

Fulfillment of this criterion is manifested by the quality and extent of contributions made through service on committees, task forces, clusters, and other professional and governance activities of the Miami University Libraries, the University community, and professional associations and organizations including library networks and consortia. Such service may be evaluated even though it might be unrelated to the individual's primary area of responsibility. Factors to be considered in service evaluation include, but are not limited to: working relations with other group members, chairing of subcommittees, and timely completion and quality of committee assignments.

Quality service to the profession of academic librarianship implies the ongoing commitment to professional growth with evidence of a thorough understanding of and commitment to the field of librarianship and information science. Evidence of professional growth can be demonstrated through activities in recognized professional and scholarly associations, as well as through contributions in appropriate areas of subject, language, or technical specialization. Librarians seeking promotion and continuing contract must show evidence of continued intellectual growth and/or increasing reputation in the profession. Examples of increasing professional reputation include, but are not limited to, the following:

1. Selection to leadership positions in local, regional, or national professional organizations;
2. Involvement in consulting work;
3. Assignment to special projects or task forces.

Librarians of all ranks are assumed to hold memberships in and attend meetings of professional and scholarly organizations on at least the local level. Librarians seeking promotion are strongly encouraged to become active participants in these organizations through committee work, presentations, and service to the organizations. Librarians seeking the ranks of Associate Librarian and Principal Librarian must demonstrate a sustained record of meaningful professional activities and contributions.

Examples of appropriate service activities include, but are not limited to, the following:

Miami University Libraries

1. Membership on and participation in internal library functional clusters, standing committees, ad hoc committees, study teams, task forces, search committees and other groups.
2. Fulfillment of Library liaison responsibilities with network(s), consortia or associations, etc.
3. Undertaking specific projects either by assignment or individual initiative.
4. Development of grant proposals and/or work on grant-funded initiatives.

5. Active contributions to the Library user instruction/education program for students and faculty.

Miami University Community

1. Appointment to and participation in standing committees, boards, and ad hoc committees.
2. Election to membership on University Senate or appointment to Senate committees.
3. Participation in student support activities that are professionally related.

Professional Organizations and Associations

1. Membership and participation in appropriate professional associations.
2. Active participation in the activities of professional associations.
3. Assumption of leadership roles in such organizations.
4. Active participation in professional meetings and conferences through talks, presentations, demonstrations, or panel membership.

III. C. CRITERION 3 ~ SCHOLARSHIP/CREATIVE ACTIVITY

Quality contributions to the profession of academic librarianship and information science imply the ongoing commitment to academic, intellectual, and creative activity. Scholarship in these areas is represented by activities that expand the universe of knowledge within the academic library profession. Professional study undertaken by a librarian will be recognized when the course or degree program enhances the librarian's ability to make contributions within his/her primary professional responsibilities or, more broadly, to the University Libraries.

Examples of appropriate scholarly/creative activities include, but are not limited to, the following:

1. Publication of books, journal articles, research papers, exhibit catalogs, scholarly book or product reviews, bibliographies, chapter(s) contributed to published books, articles contributed to compilations, and handbooks in an area of subject/language specialization or relating to professional matters.
2. Editorship of or acknowledged contributing editorial services to professional or other scholarly journals, series, or compilations.
3. Creative work, such as developing electronic products.
4. Attainment of a specific job-related goal such as:
 - a. Continuing education activities, e.g., participation in a non-degree program through formal courses;
 - b. Completion of advanced degrees in an academic discipline;
 - c. Completion of an advanced certificate or Ph.D. in librarianship or information science;
 - d. Acquisition of foreign language skills;
 - e. Acquisition of other job-related skills, e.g., statistical analysis, computer programming, or scripting.
5. Involvement in research projects and acquisition of grants.

SECTION IV. PROMOTION AND CONTINUING CONTRACT PROCEDURES

IV. A. INTRODUCTION

The meaning and significance of this document to the librarians of the Miami University Libraries is determined by the interpretation and application of its provisions and criteria by the Personnel Committee and Libraries administration. The Personnel Committee serves as the department promotion and continuing contract committee. The following procedures are set forth to establish a sequence for the process to be followed by all candidates and parties involved in promotion and/or continuing contract activities. The procedures have been established to promote consistency of application from one year to the next and to guarantee full and fair consideration for all candidates.

In each of the first five years of qualifying service, the librarian goes through an annual evaluation process detailed below in Section IV.B. In the third, fourth, and fifth review years, the Dean and University Librarian forwards the annual evaluation materials to the Provost for review.

A candidate must apply for promotion to Associate Librarian and continuing contract simultaneously. Consideration for promotion and continuing contract will occur in the sixth year of qualifying service. Librarians may apply once. If they fail to achieve promotion and continuing contract, they will receive a terminal appointment for the following year.

Candidates hired at the Associate or Principal ranks without continuing contract have a six-year probationary period in which to apply for continuing contract. Librarians may be accorded up to two years of experience at a comparable research or academic library toward the six-year probationary period (Section II.B.). An Associate or Principal Librarian who fails to qualify for continuing contract in the sixth year will receive a terminal appointment.

The promotion and continuing contract cycle begins July 1. Those hired after September 30 fall into the promotion cycle for the following year.

IV. B. ANNUAL REVIEW OF LIBRARIANS WITH CONTINUING CONTRACT ELIGIBILITY

1. Each year prior to the application for continuing contract, the librarian submits to the department head a report of professional activities that addresses the promotion and continuing contract criteria defined in Section III.
2. The department head, in coordination with his/her superior, prepares an annual written evaluation of the librarian including accomplishments and, when applicable, assessment of progress toward promotion and continuing contract. The evaluation should comment on the librarian's strengths and weaknesses and offer specific recommendations for improvement.
3. A copy of the librarian's report of professional activities and the department head's evaluation are forwarded to the Personnel Committee.
4. A copy of the department head's evaluation is forwarded to the librarian.

5. A librarian who disputes errors of fact and/or omissions in an evaluation may note them in writing to the supervisor and to the Personnel Committee. Such written disputations are to be included with the evaluation materials.
6. In the third year of qualifying service, the Personnel Committee prepares a separate written review of the librarian's progress toward promotion and continuing contract, including an assessment of strengths and weaknesses, and offering specific recommendations for improvement
7. Committee forwards its written review to the librarian and department head.
8. Committee forwards all evaluation materials to the Dean and University Librarian for assessment.
9. If the evaluation of the Dean differs from the Personnel Committee review or the department head's evaluation, the Dean must inform the librarian, department head, and the Personnel Committee in writing, citing the basis for the judgment.
10. In the third, fourth, and fifth years of service qualifying toward continuing contract, the Dean forwards a separate written evaluation, all other evaluations (department head and/or Personnel Committee) and the librarian's report of professional activities to the Provost for review.
11. If the Provost's evaluation differs from what has already been recorded, this judgment and the reasons for it are reported in writing to the Dean and University Librarian, the Personnel Committee, the department head, and the librarian.

IV. C. ANNUAL REVIEW OF LIBRARIANS WITH CONTINUING CONTRACT

- ~~1.~~ Each year, the librarian with continuing contract submits to the department head a written report of professional activities that addresses the promotion and continuing contract criteria defined in Section III.
2. The department head prepares an annual written evaluation for the librarian. If the librarian plans to seek promotion, this annual review must include an assessment of the librarian's progress toward promotion. All annual reviews must include comments about the librarian's strengths and weaknesses, and offer specific recommendations for improvement.
3. A copy of the department head's evaluation must be forwarded to the librarian and to the Personnel Committee, which shall prepare its own written review.
4. A librarian who disputes errors of fact and/or omissions in an evaluation may note them in writing to the supervisor and the Personnel Committee. Such written disputations must be included with the evaluation materials
5. If deemed necessary, the Personnel Committee may call a meeting with the department head and/or the librarian for clarification of differences before preparing its written review.
6. The Committee forwards a copy of its written review to the librarian and department head.

7. The Committee forwards all evaluation materials to the Dean and University Librarian
8. The Dean may call a meeting with the Personnel Committee, department head, and/or the librarian for clarification of any items in the evaluation.

IV. D. APPLICATION AND REVIEW SEQUENCE FOR PROMOTION/CONTINUING CONTRACT OR PROMOTION

1. An eligible candidate who wishes to apply for continuing contract and/or promotion submits a letter of intent to the Personnel Committee before the deadline established each year by the Committee. (See Appendix VI for a suggested timeline.)
2. The candidate is responsible for assembling and submitting a dossier (Appendix II), list of references, and supplemental materials through their department head to the Personnel Committee. A written recommendation is forwarded with the application materials at each step of the process.
3. Candidates for continuing contract and/or promotion must have the positive recommendation of the department head or Personnel Committee to qualify for further consideration.
4. If the recommendation of the Committee and the department head agree, they may file a joint report to the Dean. If the recommendations of the Committee and the department head differ, both are transmitted to the Dean.
5. The Committee forwards copies of all recommendations to the librarian.
6. The Committee forwards all recommendations and application materials to the Dean and University Librarian for review.
7. If the Dean does not agree with the recommendations made by the Committee or the department head, the case is discussed among the Dean, the Personnel Committee and the department head before the Dean's recommendation is sent to the Provost.
8. If the Dean is going to recommend denying promotion for a librarian with continuing contract, the librarian is first informed and may choose to withdraw the application.
9. Candidates must have the positive recommendation of the Dean for applications to be advanced to the Provost.
10. The Dean retains supplemental materials until a decision is made at which time the supplemental materials will be returned to the candidate.
11. Applications, dossier, and recommendations for candidates with the positive recommendation of the Dean are forwarded to the Provost for review.
12. The Provost reviews recommendations and application materials. Those endorsed by the Provost are forwarded to the President for review.

13. Recommendations endorsed by the President are given to the Board of Trustees for final action.
14. If granted, continuing contract is conferred for Miami University. Continuing contract becomes effective on the next July 1, and is not specific to a given campus.
15. If granted, promotion becomes effective July 1.
16. If an individual seeking promotion/continuing contract is not given a positive recommendation by the department head, the Personnel Committee, the Dean and University Librarian, the Provost, or the President, the individual is so informed promptly after any negative recommendation is made and specific reasons for the decision are given in writing.
17. For restrictions on participation in promotion/continuing contract decisions by members of the same family, see MUPIM 3.15.

IV. E. RECONSIDERATION FOR PROMOTION/CONTINUING CONTRACT OR PROMOTION

Within fourteen (14) calendar days of receipt of the written reasons for the negative recommendation, the individual may request, in writing, reconsideration by the individual or committee that rendered the negative recommendation. Reconsideration is on the merits of the case and should be completed within fourteen (14) calendar days following receipt of the request. The individual should be informed promptly of the recommendation on reconsideration. If the recommendation is positive, the dossier should be forwarded for further consideration as required in Section IV.D. If the recommendation is negative, the individual is notified and given a written statement of reasons for the negative recommendation.

IV. F. APPEAL OF PROMOTION/CONTINUING CONTRACT OR PROMOTION DECISION

A negative decision on the continuing contract/promotion or promotion reconsideration request may be appealed in writing to the Provost within thirty (30) calendar days of receipt of the written statement of reasons for denial. The basis for an appeal must be alleged procedural error or discriminatory treatment. The Provost will have an answer to the candidate no later than thirty (30) calendar days following receipt of the appeal.

SECTION V. DISCIPLINARY ACTION

V. A. MATTERS HANDLED INTERNALLY

Each supervisor is expected to advise a librarian regarding any known failure by such individual to comply with applicable policies or guidelines, violation of standards of conduct, professional incompetence, or failure to carry out job responsibilities. This will be done on an as-needed basis or periodically in annual reviews. If problems identified by the supervisor are not resolved following one or more personal meetings,

and/or written communications, the supervisor may then issue a written summary, which will be placed in the librarian's personnel file along with any response from the librarian consistent with MUPIM, Section 3.8.

If a librarian is dissatisfied with his/her supervisor's handling of a problem, or if the problem continues, the librarian or supervisor may refer the matter to the Personnel Committee to mediate. If the Committee fails to resolve the matter to the satisfaction of all parties, the librarian, the supervisor, or the Committee may refer it to the Dean and University Librarian. The Dean will review the matter in consultation with the librarian, supervisor, and Personnel Committee, and make a decision.

In the event the Dean determines that disciplinary action is appropriate or if problems persist, the Dean may initiate a disciplinary proceedings under Section V.E. below.

V. B. APPLICABILITY

The proceedings outlined below are applicable in the following instances:

1. When a librarian has engaged in conduct that warrants discipline.
2. When the University seeks to terminate for cause a librarian's appointment.
3. When the University seeks to non-renew for cause a librarian who holds a continuing contract.

V. C. CAUSES FOR DISCIPLINARY PROCEEDINGS

Disciplinary proceedings can result in the imposition of any appropriate penalties including, by way of example in ascending order of severity: Presidential letter of reprimand; mandatory training; assessment for treatment or therapy; limitation of future increases in compensation; suspension with or without pay; reduction in rank; change in status from continuing contract to annual appointment; and dismissal. Any appointment can be terminated for cause through the proceedings set forth below. A librarian with continuing contact shall not be dismissed except for cause.

The procedures outlined below are applicable in cases in which it is believed that a librarian has engaged in misconduct which has not been, or cannot be, adequately addressed by following the internal procedures described in Section V.A above. Although all causes for discipline cannot be enumerated, such causes include, but are not limited to, the following:

1. Failure or refusal to perform properly assigned duties or assignments.
2. Violation of University rules, regulations and/or policies.
3. Violation of written directives of the President and/or Board of Trustees.
4. Commission of an illegal act involving moral turpitude.

V. D. EXCLUSIONS

The following actions are not covered by the disciplinary proceedings outlined below:

1. Failure to promote or appoint to another position;
2. Merit salary increase (or lack thereof);
3. Non-renewals of limited appointment or of continuing contract eligible appointments (i.e., within the first six years in a continuing contract eligible position);
4. Reassignment to a different position with equivalent salary;

5. Modification of duties or hours of work.

V. E. DISCIPLINARY PROCEEDINGS

1. Notice

The Dean normally initiates disciplinary proceedings by a written Notice of Proposed Discipline. The Notice must include the proposed disciplinary action (e.g. letter of reprimand, suspension, termination of a librarian with a continuing contract, etc.) and information in sufficient detail to disclose the reasons for the proposed discipline

2. Election

A librarian who receives a Notice of Proposed Discipline may within five (5) calendar days either request in writing a hearing or request in writing a conference with the Provost.

If the librarian does not request either a hearing or a conference within the given time limit, the proposed disciplinary action will be imposed and no further review or appeal is available.

3. Hearing Procedures

- a) The hearing will be held before a hearing officer appointed by the Provost. (Note: for disciplinary action arising out of notice by the Provost, the President shall designate another Vice-President to appoint the hearing officer and make the final determination).
- b) The parties to the proceeding will be the librarian, and the Dean and University Librarian or the individual who initially proposed the action.
- c) The hearing officer will determine the order of proceedings and other matters pertinent to the conduct of the hearing.
- d) Librarians may be represented, at their own expense, by legal or other counsel. The University may elect to have legal counsel present. The University may make a record of the hearing.
- e) Both parties have the right to submit evidence and cross-examine adverse witnesses. If the hearing officer elects to accept a witness' written statement in lieu of live testimony, the identity of the witness and the written statement shall be given to the other party, who shall have an opportunity to respond to the written statement.
- f) Witnesses, other than the librarian, the Dean, or the individual who initially proposed the action, will ordinarily be present only while testifying. Each party is responsible for securing the attendance of witnesses whose testimony will be offered by such party.
- g) After the hearing, the hearing officer will, within fourteen (14) calendar days, issue to the Provost an advisory recommendation. The Provost shall make the final decision.

4. Conference Procedures

- a) If the librarian elects a conference with the Provost, a conference shall be held between the Provost, the librarian, and the Dean and University Librarian or individual that initially proposed the disciplinary action.
- b) The University may make a record of the conference.
- c) Librarians may be accompanied, at their own expense, by legal or other counsel.
- d) The University may elect to have legal counsel present.

- e) The Provost shall make the final decision.

V. F. INTERIM SUSPENSION

The Provost may impose an interim suspension before the disciplinary procedures described in this policy are initiated or resolved.

During an interim suspension, the librarian is relieved of all employment responsibilities. The librarian may also be barred from any or all portions of University premises, prohibited from participating in University-related activities, or permitted to remain at the University only under specified conditions prior to the conclusion of the disciplinary process.

An interim suspension will be with compensation until the disciplinary procedures are completed.

V. G. MISCELLANEOUS

References to a particular officeholder are to be read as including another individual serving in an “acting” capacity for the officeholder and any other individual designated by the officeholder to serve in his or her stead.

The Provost may extend time deadlines specified.

Disciplinary action is generally treated as confidential to the extent permitted by law. However, individuals involved, including witnesses, maybe advised of the final outcome at the discretion of the Provost.

The running of any time period specified in these procedures will be suspended during Thanksgiving, winter and spring recesses, and intersessions.

SECTION VI. GRIEVANCE PROCEDURES

A grievance is an unresolved issue concerning the interpretation and/or application of a University policy, practice, or procedure. The purpose of this grievance procedure is to enable librarians to attempt to resolve differences and, where appropriate, obtain redress, in matters directly affecting their employment with the University.

VI. A. PRE-GRIEVANCE REQUIREMENTS

Before a grievance is initiated, the librarian is expected to engage in constructive discussion and consultation with the individual(s) involved in order to assure that concerns are understood and to attempt to reach a resolution. Librarians are also encouraged to consult with and seek advice as appropriate from supervisors, library administrators, colleagues, and members of the Personnel Committee. Those consulted are, in turn, encouraged to aid in reaching a resolution and avoiding initiation of a grievance by clarifying misunderstandings and conciliation.

A grievance may not be initiated where the subject is:

1. An action or decision exclusively affecting one or more individuals other than the grievant.
2. A decision or action to which the grievant has already been afforded the right to a hearing, whether or not such right was exercised (e.g., discipline).

VI. B. FORMAL COMPLAINT

A grievance is initiated by the submission of a written statement of the grievance to the immediate supervisor, with a copy sent to the Personnel Committee, at the earliest possible time and not later than fourteen (14) calendar days from the date of the incident or discovery of the incident. The grievance must describe the dispute; specify the policy, practice and/or procedure violated; and state what the grievant believes to be an appropriate resolution. The supervisor shall consider the matter and respond in writing to the staff member within seven (7) calendar days. A copy of the supervisor's response will be submitted to the Personnel Committee.

VI. C. HEARING COMMITTEE

If the supervisor's response is not acceptable to the grievant, he/she may file a written appeal within seven (7) calendar days. This written appeal shall be filed with the Dean and University Librarian. The Dean shall have the Personnel Committee convene a hearing committee within fourteen (14) calendar days.

The hearing committee shall consist of three (3) librarians who have not rendered a decision in the grievance. They shall be selected from a list of fifteen (15) librarians provided by the Personnel Committee. The grievant may strike up to three names and the respondent may strike up to three names from the list. The Personnel Committee shall appoint the hearing committee from the remaining names.

VI. D. THE HEARING

1. The hearing committee shall select one of its members to be chair. It will determine the order of proceedings and other matters pertinent to the conduct of the hearing.
2. Each party shall have the right to call a reasonable number of witnesses to support his/ her position. Witnesses shall be present only when their testimony is being given. Each party may bring an advisor to the proceedings. However, the presence of and representation by legal counsel is not permitted.
3. Both the grievant and the respondent shall have the right to question each other and inquire into any testimony given at the hearing.
4. Formal rules of evidence will not be followed; the Committee may receive any evidence that it believes to be helpful.
5. The entire hearing may be recorded.
6. Within seven (7) calendar days after the close of the hearing in the matter, the Hearing Committee shall present its recommendation in writing to the Dean and University Librarian.
7. The Dean will announce his/her decision to both parties within fourteen (14) calendar days after receipt of the recommendation.

VI. E. IMPLEMENTATION AND APPEAL

All recommendations made by the Dean shall be implemented promptly unless a written appeal is sent to the Provost within seven (7) calendar days of receipt of the Dean's decision.

VI. F. DEAN AS PARTY TO THE GRIEVANCE

In the event the Dean and University Librarian is a party to the grievance, the grievance shall be filed and heard in accordance with MUPIM, Section 13.5.

VI. G. MISCELLANEOUS

1. Time deadlines may be extended by mutual agreement of the parties.
2. It is a violation of University policy to retaliate against any individual who files or participates in the grievance process. If retaliation occurs, disciplinary action may be taken, up to and including dismissal.
3. References to a particular officeholder are to be read as including another serving in an "acting" capacity and any other individual designated by the officeholder to serve in his or her stead.

SECTION VII. TERMINATION UNDER FINANCIAL EXIGENCY OF A CONTINUING CONTRACT APPOINTMENT

Before a librarian with continuing contract can be terminated for financial exigency, the following three steps must take place:

1. Declaration of financial exigency by the President or the Board of Trustees;
2. Consultation between the Provost, Dean and the Personnel Committee;
3. Publication of guidelines for layoffs or termination of a layoff.

SECTION VIII. NON-REAPPOINTMENT OF INDIVIDUALS WITH PROBATIONARY APPOINTMENTS AND INDIVIDUALS IN NON-CONTINUING CONTRACT RANKS

1. Written notice of the intention not to recommend appointment for the next fiscal year shall be given by the President or the President's designee no later than February 1 for a probationary librarian. This provision for notice, however, does not preclude the termination of a probationary appointment for cause at any time. Section V. shall apply to such termination for cause.
2. Written notice of the intention not to recommend reappointment for the next fiscal year of an individual occupying a non-continuing contract rank shall be given by the President or the President's designee no later than February 1. This provision of notice, however, does not preclude the termination of an appointment for cause at any time. Section V. shall apply to such termination for cause.

SECTION IX. LIBRARIAN PROFESSIONAL IMPROVEMENT LEAVE

This program provides extended periods for professional growth and development of librarians away from the Libraries and campus. Eligibility for the program requires at least seven years of full-time service. Professional improvement activities normally involve research, professional development, or formal training programs sponsored by other universities or conducted under the sponsorship of professional associations or societies. Normally, approval will not be granted for the purpose of pursuing a degree.

Librarian Professional Improvement Leave Procedures:

1. Application for the program is made through the department head to the Dean and University Librarian, the Provost, and the President, and shall be reported to the Board of Trustees.
2. Each application shall include a statement of the purpose for which the leave is requested, its anticipated duration, and its value to the applicant and to the University.
3. All full-time librarians with continuing contract who have served at least seven years in any rank in full-time service are eligible for Librarian Professional Improvement Leave. Leaves are granted on the basis of the potential contribution that the appointee will make toward fulfilling the University Libraries' mission upon returning to normal assignment. Years of service are crucial for determining eligibility but are not the major determining factor in awarding Professional Improvement Leaves.
4. Normally seven years must elapse from the end of one Librarian Professional Improvement Leave to the commencement the next Leave.
5. Individuals receiving Librarian Professional Improvement Leave are obligated to make a full report of the results of the assignment to the department head, Dean, and the Provost within ninety (90) days of the completion of the Leave.
6. Applications for Librarian Professional Improvement Leave should be sent to the Dean by December 1 of the year preceding that in which requested leave period would occur.

APPENDIX I. PERSONNEL COMMITTEE STRUCTURE

The Personnel Committee participates in the objective and thorough review of candidates for promotion and continuing contract within the criteria defined in this document. Members of the Personnel Committee must regard their work to be of the utmost confidentiality.

1. The Personnel Committee is a standing committee consisting of five librarians. Because of the Committee's responsibilities regarding promotion and continuing contract, all members must hold continuing contract. The Dean and University Librarian and the Associate Dean are ineligible for service on the Personnel Committee.
2. Two members of the Committee are to be elected; heads of the two Regional Campus libraries are to rotate Committee membership; and two members are to be appointed by the Dean subsequent to the election.
3. The term of service for Committee members is three years. Members serve staggered terms to preserve continuity from one year to the next.
4. Committee members with conflicts of interest or extenuating circumstances may be excused from service through application to the Dean.
5. Applications for promotion/continuing contract or promotion will be reviewed by librarians with continuing contract at a rank equal to or higher than the rank sought. To ensure the Committee has adequate representation of librarians with both continuing contract and the appropriate rank, the Committee, with the advisement of the Dean, will invite librarian(s) to substitute for Committee members whose rank makes them ineligible to review applications and make recommendations.
6. The Committee shall elect its Chair at its first annual meeting. The Chair performs administrative duties for the Committee.
7. A quorum shall consist of the majority of the voting membership of the Committee.

APPENDIX II. DOSSIER

Each librarian is responsible for compiling a dossier for subsequent review by the department head, Personnel Committee, and Dean and University Librarian. The candidate's dossier should present in narrative and summary fashion the information the candidate believes that those making promotion and/or continuing contract decisions should know about his/her performance record. It should make the case for continuing contract and/or promotion. Documentation may be included in the dossier, provided that the dossier's total number of pages does not exceed twenty (20). An index of supplemental materials assembled by the candidate but not included in the 20-page dossier may be submitted with the dossier. The supplemental materials will be available to all persons and bodies making promotion and continuing contract recommendations and decisions. The supplemental materials will be returned to the candidate after completion of the promotion and continuing contract review process, including any appeal requests, reconsiderations, or court challenges.

The following materials should be included in the dossier for the period under review:

1. A table of contents;
2. The candidate's curriculum vitae (see Appendix IV. Curriculum Vitae Outline);
3. The position description;
4. A list of accomplishments based on criteria for promotion and continuing contract outlined in Section III;
5. An index to supplemental materials submitted by the candidate.

A candidate's supplemental materials should provide documentation and supporting evidence for strong/very strong/excellent performance of primary responsibilities, service, and/or scholarship. Examples of such materials include the following:

1. Annual reports, statements of goals, and description of activities;
2. Evaluations by staff the librarian supervises;
3. Syllabi of courses taught; course evaluations, peer teaching evaluations;
4. Evidence of other instructional activities, such as handouts, pathfinders, audiovisuals, and evaluations of these activities;
5. Printed descriptions of courses, workshops, and conferences attended as well as those for which the librarian has contributed as an organizer or presenter;
6. Grade transcripts and continuing education credits for coursework;
7. Evidence of scholarly and/or creative work such as copies of publications, presentations or lectures, audiovisual production, and computer programs.

At the conclusion of the process for continuing contract and/or promotion, the Libraries will retain all the candidate's dossier and appendices materials.

APPENDIX III. LETTERS OF EVALUATION

A minimum of three letters from appropriate reviewers will be appended to the candidate's dossier. Letters from reviewers are intended to be unbiased evaluations from recognized professionals in the field or from those who are familiar with the quality of the candidate's job performance. These letters should not be solicited from the candidate's major professors, co-author(s), or individuals with whom a close personal relationship exists. The reviewers should evaluate specific achievements and accomplishments of the candidate.

The candidate for continuing contract and/or promotion shall submit a list of three to six individuals willing to serve as reviewers if selected, and indicating their qualifications, to the Personnel Committee.

The Personnel Committee will develop the final list of reviewers in consultation with the candidate and department head. The candidate, department head, and the Personnel Committee will agree upon the supporting documentation when appropriate to be sent to reviewers. The candidate will assemble this information and provide it to the Personnel Committee.

The Personnel Committee will use a standard protocol to solicit letters of review. Accompanying the review request, the Committee will include the candidate's curriculum vitae and supporting documentation as appropriate. All reviewers will be asked to indicate their relationship with the candidate, how they know their work, and what their credentials are (vitae on file). Reviewers will be informed that their letters are subject to Ohio's Public Records Act.

Letters of review will be accompanied by a brief statement prepared by the Personnel Committee identifying the qualifications of the individuals from whom the letters were sought and why they were selected as reviewers. The statement should:

1. Identify the institution of affiliation if other than Miami.
2. Give the rank or title within the organization.
3. Describe professional expertise, or how they know the candidate's work.
4. Provide other relevant information about the reviewers, which may be useful to those unfamiliar with the area of expertise.

All review letters solicited and received must be forwarded with the dossier.

APPENDIX IV. CURRICULUM VITAE OUTLINE

This is the recommended format for preparing the librarian's curriculum vitae; it is intended solely as a guide. Suggestions for layout and format are provided in smaller typeface. It is important to note that it is not necessary to have items under every section of the outline. Use N/A (not applicable) or "none" as appropriate under categories with no listing to include. List most recent activity first, and list an activity under one category (do not repeat). Proofread the vitae thoroughly to check for completeness, accuracy, format and layout, readability, etc. Avoid library jargon wherever possible because non-library personnel, such as the Provost, read the curriculum vitae. Do not hesitate to consult with a member of the Personnel Committee for clarification.

Name

I. Academic Degrees

Month 20xx M.A., Library Sciences, University/College, City, State
Month 20xx B.A., Major, University/College, City, State

II. Academic Positions

1. Library Experience

20xx-present King Library, Miami University
Title: Assistant/Associate/Principal Librarian
Responsibilities: (e.g., reference service; research assistance; on-line searching in all disciplines; library user education and collection development; cataloging services; acquisition services,).

Notable special projects: (e.g., coordinated series of four in-house workshops on using new electronic databases, etc.)

20xx-20xx Title, Department, University/College, City, State
Title
Responsibilities:
Notable special projects:

2. Teaching Experience

- a) Graduate courses
 - 20xx-20xx Course Name and Number, Institution, City, State
 - 20xx-20xx Course Name and Number, Institution, City, State
- b) Undergraduate courses
 - 20xx-20xx Course Name and Number, Institution, City, State
- c) Workshops
 - 20xx-20xx Course Name and Number, Institution, City, State

III. Non-Academic Experience

(List only salaried positions in business, industry, government, etc. Do not list minor political offices or appointments.)

20xx-20xx Title, Institution, City, State
20xx-20xx Title, Institution, City, State

IV. Continuing Education Projects

(List new programs, services, workshops, etc. organized.)

20xx-20xx Initiated and presented... (Identify co-presenters, if any, project title, location.)
20xx-20xx Planned and implemented... (Identify project and location, describe briefly.)
Month Organized and hosted the... (Identify project and location, describe briefly.)
20xx
20xx-20xx Developed... (Identify project and location, describe briefly.)

V. Professional Development

1. Classes attended:
Semester Course name and number Brief course description.
20xx
Semester Course name and number Brief course description.
20xx
2. Workshops/conferences attended:
Month 20xx Workshop title, location
Month 20xx Workshop title, location
Month 20xx Workshop title, location
20xx-20xx ALA Annual and Midwinter Conferences
3. Other
Semester 20xx Research and writing on... (List research topic.)

VI. Service to the University Libraries, University, Profession Community

(Note if position is appointed or elected. Assume participation is as a member, unless noted.)

1. Intradepartmental
20xx Lead, Diversity Initiative
2. Departmental (Library)
20xx-present Chair, Personnel Committee (elected)
3. University
20xx-present Faculty Senate
4. Professional
(List only offices held or other appropriate professional service such as chairing or presenting a symposium or panel discussion.)
a) Academic Library Association of Ohio
20xx-20xx Program Planning Committee
20xx Chair, Public Relations Committee
5. Community/Civic
20xx-present Community agency or civic organization

6. Professional Presentations

Month 20xx "Title." Event. Location.... (note if: by invitation)

VII. Scholarship/Creative Activity

(Be consistent and complete in your citations.)

1. Publications (books, journal articles, research papers, exhibit catalogs, scholarly book or product reviews, bibliographies, chapter in a published book, articles in a compilation, handbook in specialization or professional matter, editorship)

Examples:

a) Books

i. Textbooks

Title. With (co-author, if any). Location or University, State: Publisher, Date.

ii. Scholarly Books

Title. With (co-author, if any). Location: Publisher, Date.

iii. Anthologies, collections, compilations

Title. Editor. Interviews by . Foreword by . Location: Publisher, Date.

iv. Chapters of books (Include proceedings published in monographic format.)

"Title." In *Title of Book*. Name, editor. Location: Publisher, Date.

v. Indexes and other bibliographic texts

none

b) Journal Articles

i. Journals

"Title." *Title of Journal* No. (Winter-Spring 20xx): pp.

ii. Proceedings

"Title.," in *Proceedings of the Xth Annual Meeting...* (Location: Publisher, Date).

iii. Newsletters

"Title," *Title of Newsletters*, Issue Month 20xx, p.

iv. Miscellaneous

v. Editorship of journals, newsletters, columns, etc.

20xx-present *Title of Journal*, advisory editor and reviewer.

Quarterly, circulation: xx,xxx.

20xx-20xx *Title of Newsletter*, the newsletter of the... Published twice yearly. Circulation: xxx.

c) Book or product reviews

i. Book or product review essays

none

ii. Book or product reviews

Author's last name, First name. *Title.* (Location: Publisher, Date) in *Title of Publication*, vol. no., no. x (Month 20xx). pp.

- d) Abstracts
20xx-present Contributor to *Title*. Provide abstracts of approximately xx journal articles and books annually.
 - e) Reports/Technical papers
 - i. Published
 - ii. Unpublished
 - f) Reference publications (encyclopedia articles, handbook entries, chronologies, etc.)
2. Creative work such as developing electronic products (Give subject, description, etc.)
20xx-present "Title of product or production," brief description. Responsible for research, development, writing, narration, etc.
3. Self-education toward a specific goal (include items not in another category)
20xx-20xx Title, description, goal
4. Research projects and grants
(List funding agency, the agency project number if known, the dates, the dollar amount of support, and the title of the project. Do not list pending or unsuccessful applications. Any special or local research, equipment, or travel grants also should be included under this heading, i.e., LTEP Grant, Library Grant, other.)
- | | | |
|-------|-----------|---|
| Month | 20xx | MU Faculty Development LTEP Grant awarded to carry out... |
| | | \$xxx.xx |
| | 20xx-20xx | National Endowment for the Humanities, "Program title," \$x,xxx.xx. (NEH-xx-xxxx-xxxx). |
5. Awards and honors
 - a) Membership in honor societies
 - b) Awards (list name, date, sponsor, etc.)
 - c) Other honors (list name, date, sponsor, etc.)

VIII. Consultantships

20xx-present Consultant to... Paid consultantship.

IX. Memberships In Professional Organizations

20xx-present Name of organization
20xx-20xx Name of organization

APPENDIX V. CODE OF ETHICS: AMERICAN LIBRARY ASSOCIATION

Miami University Libraries accepts as a basic ethical guideline, the [Code of Ethics](#) of the American Library Association. The Libraries also recognize that specialized librarians may have a more specific code of ethics that relates to their specialization.

Code of Ethics of the American Library Association

As members of the American Library Association, we recognize the importance of codifying and making known to the profession and to the general public the ethical principles that guide the work of librarians, other professionals providing information services, library trustees and library staffs.

Ethical dilemmas occur when values are in conflict. The American Library Association Code of Ethics states the values to which we are committed, and embodies the ethical responsibilities of the profession in this changing information environment.

We significantly influence or control the selection, organization, preservation, and dissemination of information. In a political system grounded in an informed citizenry, we are members of a profession explicitly committed to intellectual freedom and the freedom of access to information. We have a special obligation to ensure the free flow of information and ideas to present and future generations.

The principles of this Code are expressed in broad statements to guide ethical decision making. These statements provide a framework; they cannot and do not dictate conduct to cover particular situations.

- I. We provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.
- II. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.
- III. We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted.
- IV. We recognize and respect intellectual property rights.
- V. We treat co-workers and other colleagues with respect, fairness and good faith, and advocate conditions of employment that safeguard the rights and welfare of all employees of our institutions.
- VI. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.
- VII. We distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources.
- VIII. We strive for excellence in the profession by maintaining and enhancing our own knowledge and skills, by encouraging the professional development of co-workers, and by fostering the aspirations of potential members of the profession.

Adopted by the ALA Council , June 28, 1995