

Miami University Libraries 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, in consultation with the Dean of the Regional Campuses when appropriate, 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.

Note: Department head denotes the supervisor of the librarian throughout this document.

I. RANKS

A. Introduction

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

1. Assistant Librarian
2. Associate Librarian
3. 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:

1. Visiting Assistant Librarian
2. Visiting Associate Librarian
3. 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.

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.

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.

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.

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 are subject to the annual retention review. The review shall occur before the annual retention decision and be based on satisfactory performance of their primary professional responsibilities.

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.

II. CONTINUING CONTRACT

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.

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 head¹, the Dean of the Regional Campuses when appropriate, the Dean and University Librarian, and the Provost, may waive the probationary period and recommend continuing contract 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 with agreement of the Dean of the Regional Campuses when appropriate may accord a person 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. Normally, a person may receive up to two years' credit toward continuing contract. Only in exceptional circumstances may more credit be granted. 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.

III. CRITERIA FOR PROMOTION AND CONTINUING CONTRACT OR PROMOTION

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 (See Appendix I.).

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.
4. Attainment of a specific job-related goal such as:
5. Continuing education activities, e.g., participation in a non-degree program through formal courses;
6. Completion of an advanced degree or certificate in an academic discipline;
7. Acquisition of job-related skills, e.g., foreign language, statistical analysis, computer programming, or scripting.

B. Criterion 2: *Service to Miami University Libraries, The University, Profession of Academic Librarianship, or The Community*

Fulfillment of this criterion is manifested by the quality and extent of contributions by making professional knowledge and skills available through service on committees, task forces, clusters, and other professional and governance activities of the Miami University Libraries, the University, professional associations and organizations including library networks and consortia, and the community. 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. Work on grant-funded initiatives.

Miami University

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.

The Community

1. Leader or member of a task force, committee, board or commission providing service to local, state, regional, national, or international organizations.
2. Professional consultant to public or private organizations.

3. Providing extramural continuing education programs if these are not accounted for in primary professional responsibilities.

C. Criterion 3: Scholarship or Creative Achievement

Quality contributions to the profession of academic librarianship and information science imply the ongoing commitment to academic, intellectual, and creative activity. Scholarship is represented by achievements that expand the universe of knowledge within the academic library profession and undergo a process of selection by an external peer group. 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 achievements 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. Activities such as presentations or workshops.
5. Involvement in research projects and acquisition of grants.

IV. EVALUATION, PROMOTION AND CONTINUING CONTRACT OR PROMOTION

A. EVALUATION

Every librarian receives at a minimum a written annual evaluation based at least in part on data supplied in the Annual Report of Professional Activities based upon criteria for promotion and continuing contract or promotion. The purpose of evaluations is to guide the professional development of librarians and as such include strengths, weaknesses, and specific recommendations for improvement. Additional assessments may be conducted if deemed desirable by the department head, Dean and University Librarian or Dean of the Regional Campuses (when appropriate).

All librarians submit a written Annual Report of professional activities that addresses the promotion and continuing contract criteria defined in Section III. In each of the first five years of qualifying service, the probationary librarian goes through an annual evaluation process detailed below in Section IV.A. 1. In the third, fourth, and fifth review years, the Dean and University Librarian forwards annual evaluation materials to the Provost for review.

1. ANNUAL EVALUATION OF PROBATIONARY LIBRARIANS

1. Each year prior to the application for continuing contract, the librarian submits to their department head a 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 of the librarian's accomplishments that will provide an assessment of the librarian's progress toward promotion and continuing contract including strengths and weaknesses and specific recommendations for improvement.
3. The department head's evaluation is submitted to the librarian. After the department head and librarian discuss the evaluation, the librarian acknowledges the department head's evaluation.
4. A librarian who disputes errors of fact and/or omissions in an evaluation may note them in writing to his/her department head and to the Personnel Committee. Such written disputations are included with the evaluation materials.
5. The Personnel Committee receives all annual reports, supplemental and evaluation materials. 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 strengths and weaknesses, and specific recommendations for improvement. The Personnel Committee may also prepare a written review for a probationary librarian in any year of qualifying service. The committee submits its written review to the Personnel Committee repository and the librarian and their department head are notified. The Personnel Committee notifies the Dean and University Librarian that evaluation materials are available for review.
6. The Dean writes a separate evaluation in the third, fourth, and fifth years of qualifying service assessing the librarian's progress toward promotion and continuing contract. When the evaluation of the Dean differs from what has already been recorded, the Dean must cite the basis for the judgment in the evaluation. The evaluation is submitted to the Personnel Committee repository and the librarian is notified. The department head, personnel committee, and the Dean of the Regional Campuses may view the evaluation from the repository.
7. The Provost reviews the evaluations in the third, fourth, and fifth years of a librarian's probationary period. Whenever the Provost's evaluation differs from what has already been recorded, this judgment and the reasons for it are reported in writing to the librarian, Personnel Committee, department head, and Dean and University Librarian, and the Dean of the Regional campuses (when appropriate).

2. ANNUAL EVALUATION OF LIBRARIANS WITH CONTINUING CONTRACT

1. Each librarian with continuing contract submits to their department head a written Annual Report of Professional Activities that addresses the criteria defined in Section III. The annual report may document one year of professional activities.
2. The department head prepares an annual written evaluation of the librarian including strengths, accomplishments, specific recommendations for improvement and, when applicable, assessment of progress toward promotion. The department head's evaluation is submitted to the librarian. After the department head and librarian discuss the evaluation, the librarian acknowledges receipt of their evaluation.
3. A librarian who disputes errors of fact and/or omissions in an evaluation may note them in writing to the department head and the Personnel Committee. Such written disputations must be included with the evaluation materials
4. The Personnel Committee receives all annual reports, supplemental and evaluation materials. The Personnel Committee notifies the Dean and University Librarian when evaluation materials are available for review.
5. The Dean may call a meeting with the Personnel Committee, department head, and/or the librarian for clarification of any items in the evaluation.

B. PROMOTION AND CONTINUING CONTRACT OR PROMOTION

The meaning and significance of promotion and continuing contract or promotion 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 Libraries 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 continuing contract or promotion 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.

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 for the following year.

A librarian with continuing contract may apply for promotion in any year. Candidates should consult with their department head and the Dean before making this request.

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

C. APPLICATION AND REVIEW SEQUENCE FOR PROMOTION AND CONTINUING CONTRACT OR PROMOTION

1. Early in the year applications are due, the Personnel Committee notifies probationary librarians and their department head this is the year they must apply for promotion and continuing contract. A candidate who wishes to apply for promotion submits a letter of intent to the Personnel Committee and Dean and University Librarian before the deadline established each year by the Committee.
2. The candidate is responsible for assembling and submitting a dossier (Appendix III), 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 promotion and continuing contract 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. The Committee forwards copies of all recommendations to the librarian and forwards all recommendations and application materials to the Dean and University Librarian for review.
5. 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.
6. 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.
7. Candidates must have the positive recommendation of the Dean for applications to be advanced to the Provost.
8. The Dean retains print supplemental materials. They are returned to the candidate after a final decision is made.
9. Applications, dossier, and recommendations for candidates with the positive recommendation of the Dean are forwarded to the Provost for review. The Provost reviews recommendations and application materials. Those endorsed by the Provost are forwarded to the President for review. Recommendations endorsed by the President are given to the Board of Trustees for final action.
10. If granted, continuing contract is conferred for Miami University. Continuing contract and/or promotion becomes effective July 1, and is not specific to a given campus.

11. In the event any individual or committee is about to make a negative continuing contract recommendation, the annual written evaluations for the candidate will be reviewed by the individual or committee and appended to the candidate's promotion and continuing contract packet.
12. A candidate who receives a positive recommendation from the department head, Personnel Committee or Dean is notified as soon as possible.
13. A candidate who receives a negative recommendation is notified in writing with a Statement of Reasons for the negative recommendation. The Statement of Reasons must be given no later than ten (10) working days from the date the negative recommendation is given and becomes part of the record.
14. For restrictions on participation in promotion and continuing contract decisions by members of the same family, see the University Policy Library (reference ID MUPIM 3.15).

D. RECONSIDERATION FOR PROMOTION AND CONTINUING CONTRACT OR PROMOTION

Within 10 working days of receipt of the written Statement of Reasons, the candidate may request, in writing, reconsideration by the individual or committee that rendered the negative recommendation. Reconsideration is on the merits of the case

The candidate may respond, in writing, to the written Statement of Reasons prior to reconsideration. The candidate's response to the written Statement of Reasons must be submitted no later than ten (10) working days from the date of the request for reconsideration. Reconsideration shall be completed within ten (10) working days for the receipt of the candidate's response or, if no written response is given, within twenty (20) working days of the receipt of the request for reconsideration.

A candidate who receives a positive recommendation upon reconsideration is notified as soon as possible. A candidate who receives a negative recommendation upon reconsideration is notified, in writing, with a Statement of Reasons for the negative recommendation. This written Statement of Reasons must be given no later than ten (10) working days from the date the negative recommendation is made.

The original application, written Statement of Reasons for the negative recommendation, request for reconsideration, candidate's response to the written Statement of Reasons, and recommendation upon reconsideration, including the written Statement of Reasons, is any, become part of the record.

E. APPEAL OF PROMOTION AND CONTINUING CONTRACT OR PROMOTION DECISION

A negative decision on the promotion and continuing contract or promotion reconsideration request may be appealed in writing to the Provost within fifteen (15) working days of the last date of consideration or reconsideration that resulted in the denial of the candidate's application for promotion and continuing contract or promotion. The basis for an appeal must be alleged procedural error or inequitable treatment. The written notice of appeal shall

state the basis for the appeal and shall be addressed to the Provost. The Provost will have an answer to the candidate no later than fifteen (15) working days following receipt of the appeal. For appeals based on discrimination, see the University Policy Library (reference ID MUPIM 7.9).

V. DISCIPLINARY ACTION

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 the University Policy Library (reference ID MUPIM, Section 8.3).

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.

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.

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.

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.

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.

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.

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.

It is understood that for regional campus librarians the Dean of the Regional Campuses will be consulted by the dean and may be involved in these procedures to whatever extent is appropriate.

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.

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).

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.

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.

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.

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.

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 the University Policy Library, (reference ID MUPIM 13.6).

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.
4. It is understood that for regional campus librarians the Dean of the Regional Campuses will be consulted by the dean and may be involved in these procedures to whatever extent is appropriate.

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.

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.

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 organizational reporting structure to the Dean and University Librarian, the Provost, and the President.
2. Each application shall include:
 - a. Applicant's name, rank, and year rank was attained
 - b. Dates and year of the anticipated leave
 - c. Dates and year of previous Professional Leave
 - d. Purpose for the requested leave
 - e. Activities anticipated with timeline
 - f. Value of the leave to the applicant, Libraries, and University
 - g. How responsibilities will be covered
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. A person may not receive another Librarian Professional Improvement Leave until seven (7) years have elapsed from the end of the previous leave.
5. Persons receiving Librarian Professional Improvement Leave are obligated to remain at Miami for a time period equivalent to the Leave and to make a full report of the results of the assignment to the department head, Dean, Dean of the Regional Campuses if appropriate, and the Provost within ninety (90) days of the completion of the Leave. If a person chooses not to return to Miami during the ensuing academic term, he or she is expected to refund compensation equal to that received during the Librarian Improvement Leave.
6. Submit applications for Librarian Professional Improvement Leave to the Dean and University Librarian by November 1. Applications should be received in the Academic Personnel Services Office by December 1 of the year preceding the leave period to receive most favorable consideration.

APPENDIX I. TEACHING EVALUATION PLAN

5.30.2006; last updated 8.2018

Teaching excellence is a cornerstone of the Miami University Libraries mission as a teaching/learning library and an active participant in preparing Miami students for life in the information society. Evaluation of teaching provides feedback to assist librarians with instruction responsibilities to improve their teaching, to progress toward promotion and continuing contract, and to continue to examine the teaching/learning process after achieving promotion and continuing contract. Librarians may teach a combination of non-credit classes, class-related instruction, workshops and/or credit courses and are increasingly creating instructional content for online and flipped delivery.

The fundamentals for an effective instructor are a willingness to consider suggestions and to cooperate in teaching activities; a spirit of scholarly inquiry to explore developments in the field, to develop and strengthen the content of classes and courses, and to improve methods of presenting the material; a vital interest in teaching and working with students and, above all, the ability to stimulate their intellectual interests and enthusiasm. The Libraries attempt to bolster innovative classroom techniques, reflective practice and sharing and support for teaching librarians. Every librarian involved in instruction is responsible for maintaining Good Teaching Practices as identified in the [Student Handbook](#).

The quality of teaching is difficult to evaluate. However, librarians are expected to describe and document how their teaching has been evaluated and how they have used these evaluations to improve the quality of instruction in their annual report. Librarians should evaluate the objectives, methods, and materials of classes or courses that they have designed and taught. Students will evaluate the objectives, methods, and materials of classes or courses taught as well as the in-class performance of the instructor.

I. EVALUATION OF TEACHING

The Libraries seek to evaluate teaching for the purposes of assisting librarians to improve teaching and of documenting teaching effectiveness for promotion, continuing contract and/or annual review.

Feedback assists the librarian to recognize strengths and areas for improvement. Peer evaluation provides instructors guidance and feedback based on classroom observation. In addition, peer evaluators have the opportunity to observe others and reflect on their own teaching practices.

II. MEASURES OF INSTRUCTOR EFFECTIVENESS

The focus of these activities is to reflect and apply findings to improve teaching practices. They are used to document teaching improvement activities in the annual report as well as to meet professional development goals. Assessing and obtaining feedback from students in your sessions can provide valuable insight into your teaching and guidance for self-improvement. Therefore, instructors are encouraged to use assessment whenever appropriate during their instruction sessions.

Recommendations on assessment methods are available via [Instruction Resources page](#).

III. Peer Evaluation

There are two distinct purposes for which peer evaluations of in-classroom performance may be used: formative and summative. Formative evaluations are used to improve in-class performance and effectiveness. Summative evaluations are used to make administrative decisions regarding hiring, continuing contract and/or promotion.

A. Formative Peer Evaluation

Peer evaluations of teaching for the purpose of formative evaluation should begin in the first semester of hire and continue after continuing contract and/or promotion. Formative evaluations should be documented in writing, but are not included in a candidate's file for major reviews unless the candidate chooses to include them. These peer evaluations can also be used to prompt self and group reflection.

Formative evaluation may take the form of peer mentoring, learning communities and/or group reflection and may adjust to the needs of the community and the delivery methods of instruction.

B. Summative Peer Evaluation of Teaching

1. Required for
 - a. Probationary librarians: twice before applying for promotion and continuing contract, usually in the 2nd & 4th year.
 - b. Continuing contract librarians: prior to applying for Principal Librarian
 - c. Visiting & non-LARPS: strongly encouraged
2. Describe measures used and what you learned in a reflective summary in your annual report. Include summative peer evaluations as supporting materials in your annual report.
3. Peer evaluation of a librarian focuses on providing feedback for non-credit or credit instruction during an academic term. In addition, the peer evaluator has the opportunity to view and reflect on teaching methods and classroom dynamics from a different vantage point. Librarians teaching both non-credit classes and credit courses will discuss with their department head which type of instruction to select for peer evaluation in a given term.

C. Appointment of Peer Evaluator(s)

1. The Instruction Assessment Designee will assign evaluators to candidates and inform both parties prior to the beginning of the semester of evaluation. For probationary librarians receiving summative evaluation, every effort will be given to assign an evaluator who outranks the candidate.
2. At the beginning of the semester, the Instruction Assessment Designee will convene a meeting of peer evaluators and candidates. The purpose of the meeting is to discuss peer evaluation procedures and guidelines, and provide a time for peer evaluators and candidates to initiate an ongoing dialogue. The candidate provides peer evaluators with access to

instruction materials such as a schedule of classes, syllabi, handouts etc. Templates will be provided for in class observation, goal setting and final reporting.

3. The candidate will provide the peer evaluator(s) with goals for the semester where h/she hopes to demonstrate growth.

D. Peer Evaluator(s) visits

1. Peer evaluator(s) are encouraged to focus on the areas the candidate has expressed interest in demonstrating growth.
2. Non-credit classes, class-related instruction, workshops, presentations to special programs etc.
 - a. Peer evaluator(s) should observe 3-5 instructional hours during a semester and include different types of sessions at a variety of grade levels and formats when appropriate and possible.
3. Credit courses
 - a. Peer evaluator(s) should observe 3-5 instructional hours distributed over the academic term.
4. Both credit course and non-credit classes (optional)
 - a. If a candidate opts to have both types of teaching evaluated in one term, peer evaluator(s) should observe 6-10 instructional hours distributed between credit courses and non-credit classes.

E. Peer Review and Assessment

1. Reviewers will provide the candidate with sufficient notice for each class that is to be observed. The candidate will share learning objectives for the session beforehand.
2. End-of session assessment will occur for three (3) sessions minimum which are observed in a semester. The candidate will prepare the assessment collaboration with the reviewer is encouraged, but not required). The results of the assessment will be collected by the reviewer, and integrated into the final report.
3. The faculty feedback form will automatically be sent for sessions that are observed (it is the reviewer(s) responsibility to inform the instructional assessment designee that a class is being observed). Results will be sent to the reviewer, and integrated into the final report.
4. FOR CREDIT COURSES ONLY: A small-group instructional diagnosis (SGID) may be utilized in lieu of assessment at the end of each session. The instructor will arrange the SGID to fit the course schedule, and will share the results with the reviewer once received.

F. Peer Evaluator(s) Report: Report Format and Submission Process

1. Peer evaluator(s) provide formative assessment to the candidate throughout the term, using the procedures outlined in section E.

2. Peer evaluator(s) submit a final written report, containing reports from the sessions in which student and faculty assessment occurred, along with an executive summary that includes the following:
3. Strengths/weaknesses
4. Suggestions for improvement
5. Other comments
6. This report is submitted to the instruction assessment designee. Once submitted, the report will be available to the candidate and the department head. Evaluators may choose to submit a joint report.
7. Peer evaluator(s) are encouraged to discuss the report and other observations with the candidate ideally within one (1) week after the final report has been submitted. The candidate also acknowledges (via the email received upon submission) that he/she has received a copy of the report.
8. The candidate's supervisor is encouraged to discuss the report with the candidate, ideally within two (2) weeks from the time the document is submitted.
9. Candidates are encouraged to assess his/her own goals during the semester, and include this information as an attachment to the final peer evaluator(s) report.

G. Peer Evaluator(s) Report and the Annual Report

1. The peer review report and reflection on findings (as outlined in 2.1e) are included in the candidate's annual report.
2. The peer review report is included as a supplementary material.
3. For librarians with instruction as part of his/her primary professional responsibilities, include peer review reports and reflection in the PPR section.
4. For librarians without instruction as part of his/her primary professional responsibilities, include peer review reports and reflection in the Service section
5. For credit courses, course syllabi and final course evaluations are included as supplemental materials.

IV. EVALUATION OF STUDENT LEARNING: CREDIT INSTRUCTION

Required: The standard University student evaluation must be completed for every course taught. At a minimum, summary data from student evaluations must be included in annual reports as a record of the instructor's teaching effectiveness that can be used for both self-improvement and summative evaluation.

APPENDIX II. PERSONNEL COMMITTEE

last updated 9.2019

The Personnel Committee is a standing committee that serves as the Libraries promotion and continuing contract committee. The committee conducts objective and thorough review of probationary librarian annual activity reports and applications of candidates for promotion and/or continuing contract within the Libraries defined criteria. Members of the Personnel Committee must regard their work to be of the utmost confidentiality.

1. Membership consists of five librarians holding continuing contract and the rank of associate librarian or principal librarian. The Dean and University Librarian or Dean's designee serves as a non-voting ex-officio chair of the committee; others in Library Leadership who supervise librarians are ineligible to serve on the committee unless an inadequate number of librarians are eligible to serve.
2. Two members of the committee are elected from the Oxford campus, one is elected from the Regional Campus libraries, and two members are appointed by the Dean subsequent to elections.
3. Members serve staggered three-year 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. Any committee member who has written a candidate's recommendation is ineligible to review.
5. Applications for promotion and/or continuing contract are 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, conflict of interest, or extenuating circumstances makes them ineligible to review applications and make recommendations.
6. The Dean and University Librarian or Dean's designee convenes the committee and performs administrative duties.
7. The Dean and University Librarian or Dean's designee consults with the committee for revisions to the governance document.
8. A quorum shall consist of the majority of the voting membership of the committee.

APPENDIX III. Dossier

last updated 5.2010

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 Libraries will retain a copy of these materials.

Consult Miami University Libraries [Promotion and Continuing Contract or Promotion Application Guidelines](#) for the application process and development of the dossier.

APPENDIX IV. CODE OF ETHICS: AMERICAN LIBRARY ASSOCIATION

last updated 5.2009

Miami University Libraries accepts as a basic ethical guideline, the [Code of Ethics of the American Library Association](#), adopted June 28, 1997, by the ALA Council; amended January 22, 2008. 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.

1. 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.
2. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.
3. 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.
4. We respect intellectual property rights and advocate balance between the interests of information users and rights holders.
5. 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.
6. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.
7. 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.
8. 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.