

ACRL Framework for Academic Librarian Employment and Governance Systems

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About the Framework ***NEW for ACRL***

The ACRL Status of Academic Librarians Standards and Guidelines Review Task Force was appointed by the ACRL Board of Directors in summer 2016 with the charge:

The task force, following the procedures for the review of standards found in the ACRL Guide to Policies and Procedures, Chapter 14, and pertaining to the six documents listed below, is established to: (1) review the standards and guidelines, (2) recommend needed changes, (3) produce a draft document incorporating these changes, (4) seek comments and input from stakeholder communities and the general ACRL membership, and (5) incorporate, as appropriate, those recommendations into the final draft.

- Guidelines for Academic Librarians without Faculty Status
- Standards for Faculty Status for Academic Librarians
- Joint Statement on Faculty Status of College and University Librarians
- A Guideline for Appointment, Promotion, and Tenure of Academic Librarians
- Statement on Certification and Licensing of Academic Librarians
- Statement on the Terminal Professional Degree for Academic Librarians

The work of the task force centered on reviewing the above six documents consisting of a mixture of guidelines, standards, and statements. We did so during Fall 2016. The six documents felt duplicative at times, somewhat inconsistent in terms of terminology, and generally lacked cohesion. Application of the documents also felt unclear. Should one consult a statement or a guideline or a standard when trying to determine an employment approach for a library on the local level? It was difficult to know without first receiving guidance on basic employment definitions and how they might work within a local context. Are librarians where I work considered staff, tenure-track faculty, non-tenure track faculty or defined by the terms a union? But the ultimate missing piece was overall guidance on how to emphasize--on the local level--the intellectual role of the academic librarian.

As the task force discussed the six documents during our January 2017 meeting, we agreed on the importance of creating an overarching document to help guide ACRL members on ways of promulgating the intellectual role of academic librarians through policy, documented criteria, and shared governance. We think some documents should stay as they are in their existing versions (such as the [Joint Statement on Faculty Status of College and University Librarians](#)), some should be rescinded (such as [Standards for Faculty Status for Academic Librarians](#) and [Guidelines for Academic Librarians Without Faculty Status](#)), and some should be revised to more prominently reflect the intellectual role of the academic librarian (such as [A Guideline for the Appointment, Promotion, and Tenure of Academic Librarians](#)).

The result of the task force's work is the proposed Framework for Academic Librarian Employment and Governance Systems. Similar to American Association of University Professors' *Policy Documents and Reports* (aka the AAUP Redbook), the framework would provide a structure and allow individual libraries the flexibility to determine what will work best within their institution in modifying (or creating) a shared governance system that provides a foundation on which to build and define the intellectual role of librarians on their campuses. Some examples of shared governance systems at U.S. college & research libraries include: [Gustavus Adolphus College](#), [University of Utah](#), and [University of Illinois](#).

The task force also recommends that the ACRL Guideline for the Screening and Appointment of Academic Librarians, currently being revised by a separate task force, be incorporated into the Framework for Academic Librarian Employment and Governance Systems after a revised version is approved by the Board.

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Introduction ***NEW for ACRL***

ACRL encourages academic libraries to work within their institutional structures to develop an employment and governance system for the purpose of defining the intellectual role of the librarian and to establish due process and academic rights for librarians no matter the employment category (i.e. academic staff, tenured faculty, contingent faculty). A local library governance and committee system will need to reflect how the larger organization categorizes and defines its employees. For example, a staff code of conduct will probably define employment and sanctions as being within the purview of a manager or supervisor. A faculty code of conduct will define employment and sanctions in terms of formal committees, voting, and due process. An academic library's governance system will need to operate within its institutional context as a deliberative body. A deliberative body is defined by AAUP as "[...] a group that meets for the purpose of conducting business by voting on proposals presented in the form of motions" (AAUP *Policy Documents and Reports*, 11th edition, Baltimore, MD: Johns Hopkins University Press, 2015, xvi).

Joint Statement on Faculty Status of College and University Librarians (existing ACRL statement, not revised)

The statement that follows was prepared by the Joint Committee on College Library Problems, a national committee representing the Association of College and Research Libraries, the Association of American Colleges (now the Association of American Colleges and Universities), and the American Association of University Professors. The statement was endorsed by the board and annual meeting of the Association of College and Research Libraries, a division of the American Library Association, in 1972. It was reaffirmed by the ACRL board in June 2001 and 2007. It was adopted by the Council of the American Association of University Professors in April 1973 and endorsed by the Fifty-ninth Annual Meeting. Additional revisions were made by a subcommittee of the ACRL along with representatives of the AAUP in June 2012 and approved by the ACRL Board of Directors in October 2012.

As the primary means through which students and faculty gain access to the storehouse of organized knowledge, the college and university library performs a unique and indispensable function in the educational process. This function will grow in importance as students assume greater responsibility for their own intellectual and social development. Indeed, all members of the academic community are likely to become increasingly dependent on skilled professional guidance in the acquisition and use of library resources as the forms and numbers of these resources multiply, scholarly materials appear in more languages, bibliographical systems

become more complicated, and library technology grows increasingly sophisticated. The librarian who provides such guidance plays a major role in the learning process.

The character and quality of an institution of higher learning are shaped in large measure by the nature and accessibility of its library resources as well as the expertise and availability of its librarians. Consequently, all members of the faculty should take an active interest in the operation and development of the library. Because the scope and character of library resources should be taken into account in such important academic decisions as curricular planning and faculty appointments, librarians should have a voice in the development of the institution's educational policy.

Librarians perform a multifaceted role within the academy. It includes not only teaching credit courses but also providing access to information, whether by individual and group instruction, selecting and In addition, librarians serve and contribute to university governance through their service on campus-wide committees. They also enhance the reputation of the institution by engaging in meaningful service and outreach to their profession and local communities.

Where the role of college and university librarians, as described in the preceding paragraphs, requires them to function essentially as part of the faculty, this functional identity should be recognized by granting of faculty status. Neither administrative responsibilities nor professional degrees, titles, or skills, per se, qualify members of the academic community for faculty status. The function of the librarian as participant in the processes of teaching, research, and service is the essential criterion of faculty status.

College and university librarians share the professional concerns of faculty members. Academic freedom is indispensable to librarians in their roles as teachers and researchers. Critically, they are trustees of knowledge with the responsibility of ensuring the intellectual freedom of the academic community through the availability of information and ideas, no matter how controversial, so that teachers may freely teach and students may freely learn. Moreover, as members of the academic community, librarians should have latitude in the exercise of their professional judgment within the library, a share in shaping policy within the institution, and adequate opportunities for professional development and appropriate reward.

Faculty status entails for librarians the same rights and responsibilities as for other members of the faculty. They should have corresponding entitlement to rank, promotion, tenure, compensation, leaves, and research funds.

Librarians should be offered the opportunity to have either academic-year appointments with salary and benefits commensurate with those of other faculty members or calendar-year appointments with additional compensation for summer work as is customary for faculty members who take on summer teaching assignments. As with faculty members in other academic departments on campus, librarians should be responsible for the development of their promotion and tenure criteria. Because of the special teaching role of librarians, criteria and standards may differ from traditional classroom faculty, but they must be comparable in rigor and content. Promotion and tenure guidelines should be approved by whatever faculty body is

responsible for the establishment of promotion and tenure procedures and policy. Faculty librarians should go through the same process of evaluation as other faculty members. ¹

On some campuses, adequate procedures for extending faculty status to librarians have already been established. These procedures vary from campus to campus because of institutional differences. In the development of such procedures, it is essential that the general faculty or its delegated agent determine the specific steps by which any professional position is to be accorded faculty rank and status. In any case, academic positions that are to be accorded faculty rank and status should be approved by the senate or the faculty at large before submission to the president and to the governing board for approval.

With respect to library governance, it is to be presumed that the governing board, the administrative officers, the library faculty, and representatives of the general faculty will share in the determination of library policies that affect the general interests of the institution and its educational program. In matters of internal governance, the library will operate like other academic units with respect to decisions relating to appointments, promotions, tenure, and conditions of service. ²

Notes

1. "1940 Statement of Principles on Academic Freedom and Tenure," <http://www.aaup.org/AAUP/pubsres/policydocs/contents/1940statement.htm> "1958 Statement on Procedural Standards in Faculty Dismissal Proceedings," <http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementon+procedu...> "Statement of Principles on Leaves of Absence" (1972), 54-55; in AAUP, *Policy Documents and Reports*, 10th ed. (Washington, DC: AAUP, 2006).
2. American Council on Education, AAUP, and Association of Governing Boards of Universities and Colleges, "Statement on Government of Colleges and Universities" (1966), <http://www.aaup.org/AAUP/pubsres/policydocs/contents/governancestatement...>, in AAUP, *Policy Documents and Reports*.

Employment Categories and Definitions ***NEW for ACRL***

Faculty

A body of professionals with the right to share in the decision-making process of who will join the group by means of a formal vote or other institutional process. Faculty consider matters of appointment, reappointment, retention, promotion, and tenure in a review process based on documented and agreed-upon local criteria and standards. Faculty also govern the curriculum, educational policy, and share in the administration of the institution in collaboration with other employees (*Chair's note: This definition is part aspirational and part practical. The original phrase included the word 'choose' instead of 'share.'* AAUP indicates in their *Statement on Government of Colleges and Universities*

that faculty responsibility includes “appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal.” Based on excellent research by task force members K.T. Vaughn and Nancy Weiner, the task force felt more comfortable with the word ‘share,’ which I agree with. Task force members felt having the phrase ‘or other institutional process’ would help keep this framework practical, which I also agree with. The idea of utilizing a formal vote might be aspirational because, based on K.T. and Nancy’s research, I’m not aware of another academic library besides the Marriott Library at the University of Utah that has a formal appointment vote by the body of the library faculty. The faculty use a written ballot to respond to the appointment recommendation made by the dean. The dean bases this recommendation on the vetting work done by the search committee and in confidential negotiation with a candidate. If the appointment vote comes from the majority of faculty as a ‘nay’, the dean typically takes the faculty’s stated opinion to heart in respect of the faculty’s role as a deliberative body within the governing of the library)

Faculty Type

- a. Tenure-track and non-tenure-track. Tenure gets defined by local policies. Non-tenure-based employment gets defined by contract

Appointment

- b. Determined after search process by vote of the faculty based on local standards and general mission of the faculty within the institution

Re-appointment

- c. Annual vote for non-tenure-track faculty based on local standards

Retention, Promotion, Tenure, and Post-Tenure

- d. Vote of tenure-track faculty based on local schedule and standards

Rank

- e. Structured process for determining promotion based on schedule set by local standards. Labels conveying rank will depend on faculty type set by the institution

Staff

An employee who is paid by the institution in a position not included in the category of faculty. Employment is based on local recruitment and interviewing process. Review and promotion is based on local library and institutional human resources practices

Suggested Functions for an Academic Library Governance System ***NEW for ACRL***

Plenary (or Representative) Council of Employees with Committees, such as

- Faculty Appointments
- Employee Review, specific function dependent on employment categorization within local institution
 - Retention, Promotion, and Tenure (for Tenure-Track Institutions)
 - Faculty Appointment and Review (for non-Tenure-Track Institutions)
 - Staff Appointment and Review (for Institutions without Faculty Status)
- Library Services
- Peer Teaching and Curriculum
- Student Advisory/Feedback

A Guideline for the Appointment, Promotion and Tenure of Academic Librarians ***EXISTING WITH CHANGES***

Introduction

This Guideline for Appointment, Promotion, and Tenure is intended for use where librarians have faculty status. It is intended for application within the context of two ACRL policy statements on faculty status for academic librarians, ¹as well as related statements issued by the American Association of University Professors. ²The objective of this Guideline is to propose criteria and procedures for appointment, promotion in academic rank, and tenure (continuous appointment) for use in academic libraries. Utilizing these criteria and procedures will ensure that the library faculty and, therefore, library services will be of the highest quality possible. These criteria are intended to be minimal only. These procedures may need to be adjusted in minor detail to conform with existing institutional procedures for other faculty. Any contractual procedures must be observed.

I. Appointment

A. General Policies

1. Appointment of librarians shall follow the same procedures that are established for appointing all institutional faculty members. Any librarian appointed to a college or university library faculty shall have the appropriate terminal professional degree. ³ Appointment to any rank shall meet the criteria appropriate to that rank.
2. To ensure that only candidates of the highest quality are appointed to the library faculty, there shall be at least one committee representative of the library faculty selected to

participate in the reviewing and screening of all candidates, participate in the interview process, and make recommendations for appointment.

3. The terms and conditions of every appointment to the library faculty shall be stated and confirmed in writing, and copies of all relevant documents, including the official document of appointment, shall be given to the faculty member. Subsequent extensions or modifications of an appointment shall be stated and confirmed in writing.

B. Probationary Appointments

1. Probationary appointments may be for no less than one year, or for other stated periods longer than a year, subject to renewal. The total period of full-time service prior to acquiring tenure shall not exceed seven years, and may include previous full-time service with the rank of instructor or higher in other institutions of higher learning (except that the probationary period may extend to as much as four years, even if the total full-time service in the profession thereby exceeds seven years; the terms of such extension shall be stated in writing at the time of initial appointment). Scholarly leave of absence for one year or less shall count as part of the probationary period as if it were prior service at another institution, unless the individual and the institution agree in writing to an exception to this provision at the time the leave is granted.
2. The faculty member shall be advised in writing at the time of initial appointment of the substantive standards and procedures employed in decisions affecting renewal and tenure. Institutional standards should be clearly documented, as well as any special standards adopted by the library. The faculty member shall be advised in writing of the time when decisions affecting renewal or tenure are made.
3. The institution shall normally notify faculty members in writing of the terms and conditions of their renewals by March 15 or three months before the new contract begins.
4. Written notice that probationary appointment is not to be renewed shall be given to the faculty member in advance of the expiration of the appointment, as follows:

Length of Probationary Appointment	Written Notice Given
One year	March 1st or at least 3 months before end of first year of probationary service
Initial two year appointment	Initial two year appointment December 15th or at least six months in advance of termination
Two or more years of service	At least one year in advance of termination

5. When a faculty recommendation or a decision not to renew an appointment has first been reached, the faculty member involved shall be informed of that recommendation or decision in writing by the body or individual making the initial recommendation or decision; the faculty member shall be advised upon request of the reasons which contributed to that decision. The faculty member may request reconsideration by the recommending or deciding body.
6. If the faculty member so requests, the reasons given in explanation of the non-renewal shall be confirmed in writing.
7. Should the faculty member allege that the decision against renewal was based on inadequate consideration, the committee that reviews the faculty member's allegation shall determine whether the decision was fair in terms of the relevant standards of the institution. The review committee shall not substitute its judgment on the merits for that of the faculty body. If the review committee determines that adequate consideration was not given, it shall request reconsideration by the faculty body, indicating the ways in which it believes the consideration may have been inadequate. It shall provide copies of its findings to the faculty member, the faculty body, and the chief executive officer or other appropriate administrative officer.

II. Promotion in academic rank

A. General Professional and Scholarly Qualifications of the Library Faculty

All activities shall be judged by professional colleagues on and/or off the campus on the basis of their **librarianship**, contribution to scholarship, ~~the profession of librarianship, and library and~~ **service to the profession, institution, community**. The basic criterion for promotion in academic rank is to perform professional level tasks that **constitute librarianship** and contribute to the educational and research mission of the institution.

Evidence of this level of performance may be judged by colleagues on the library faculty, members of the academic community outside the library, and/or professional colleagues outside the academic institution.

~~Additional~~ Evidence for promotion in rank may include:

1. **Elements of librarianship: making accurate connections to information; building authentic relationships; facilitating research competencies; integrating information literacy.**
2. Contributions to the educational mission of the institution: for example, teaching (not necessarily in a classroom); organization of workshops, institutes or similar meetings; public appearances in the interest of librarianship or information transfer. Assessment by students and professional colleagues may contribute to this evaluation.
3. Contributions to the advancement of the profession: for example, active participation in professional and learned societies as a member.
4. Activities related to inquiry, research, and creative activity: for example, scholarly publication, presentation of papers, reviews of books and other literature, grants,

consulting, service as a member of a team of experts, or other means of disseminating professional expertise.

B. Criteria for Promotion to Specific Ranks

Promotion to the ranks of assistant professor, associate professor, and professor requires a record of successful fulfillment of criteria at the lower level.

Instructor—Appointments at this rank shall require expectation of successful overall performance and the potential for a promising career in librarianship. Institutional practice for faculty appointments varies. Specialized skills or expertise may justify appointment at a higher rank.

Assistant professor—Promotion to this rank shall require evidence of significant professional contributions to the library or to the institution.

Associate professor—Promotion to this rank shall require evidence of substantial professional contributions to the library and to the institution as well as attainment of a high level in research or other professional endeavors.

Professor—Promotion to this rank shall require outstanding achievements in librarianship, research, and other professional endeavors.

C. Procedures for Promotion to Specific Ranks

1. Candidates for promotion in academic rank shall be considered by a peer review committee formed in accordance with appropriate institutional regulations.
2. Recommendations for promotion in academic rank may be made by the appropriate administrator, or a member of the library faculty, who shall give the candidate copies of any recommendations or evaluations. These statements shall be retained.
3. Documentation in support of candidates for promotion in rank shall include evaluations from the appropriate administrator. Additional documentation may include letters from colleagues, copies and reviews of publications, records of committee activity, etc.
4. The peer review committee (see C-1) shall transmit its recommendations, with all supporting documentation, to the chief administrative officer of the library.
5. The chief administrative officer of the library will receive the recommendations of the committee, make a decision, and so notify the committee. If the chief administrative officer of the library does not concur in any particular recommendation, after consultation with the committee, he/she may note such disagreement before notifying the candidate of the recommendations. The chief administrative officer of the library shall inform the committee and the candidate in writing of the recommendations before transmitting the recommendations of the committee and the chief administrative officer of the library to the appropriate institutional officer. The candidate then will have the opportunity to respond in writing to the recommendations. After this, the chief administrative officer of the library will submit his/her recommendation, the recommendation of the committee,

and any responses from these parties or from the candidate, to the appropriate institutional officer.

6. If the candidate for promotion believes there are substantial grounds for disagreement with a denial of promotion, appropriate institutional regulations shall be provided so that the case may be properly reviewed. The unsuccessful candidate may file a grievance as specified in Section V.

III. Tenure (Continuous Appointment)

- A. Tenure, or continuous appointment, is defined as an institutional commitment to permanent employment to be terminated only for adequate cause (for example, incompetence, malfeasance, mental or physical disability, bona fide financial exigency) and only after due process. Tenure (continuous appointment) shall be available to librarians in accordance with provisions for all faculty of the institution.
- B. The criteria for tenure are closely allied to the criteria for promotion in academic rank. The relationship between tenure and rank shall be the same for library faculty as for other faculty in the institution. These criteria include performance, scholarship, and service.
- C. A candidate for tenure shall be reviewed according to established institutional regulations, which shall be similar to those described above for promotion in academic rank.

IV. Termination of appointments

A. Termination of Appointment by the Individual

Faculty members may terminate their appointments, provided that they give notice in writing at the earliest possible opportunity, or within 30 days after receiving notification of the terms of appointment for the coming year. Faculty members may properly request a waiver of this requirement of notice in case of hardship or in a situation where they would otherwise be denied substantial professional advancement or other opportunity.

B. Termination of Appointments by the Institution

1. Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may be effected by the institution only for adequate cause.
2. If termination takes the form of a dismissal for cause, it shall be pursuant to the procedures specified in section VI below.
3. Financial Exigency
 - a. Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial

exigency, i.e., an imminent financial crisis that threatens the survival of the institution as a whole and that cannot be alleviated by less drastic means.

- b. [Note: Each institution in adopting regulations on financial exigency will need to decide how to share and allocate the hard judgments and decisions that are necessary in such a crisis.
- c. As a first step, there should be a faculty body that participates in the decision that a condition of financial exigency exists or is imminent, and that all feasible alternatives to termination of appointments have been pursued
- d. Judgments determining where within the overall academic program termination of appointments may occur involve considerations of educational policy, including affirmative action, as well as of faculty status, and should therefore be the primary responsibility of the faculty or of an appropriate faculty body. The faculty or an appropriate faculty body should also exercise primary responsibility in determining the criteria for identifying the individuals whose appointments are to be terminated. These criteria may appropriately include considerations of length of service.
- e. The responsibility for identifying individuals whose appointments are to be terminated should be committed to a person or group designated or approved by the faculty. The allocation of this responsibility may vary according to the size and character of the institution, the extent of the terminations to be made, or other considerations of fairness in judgment. The case of a faculty member given notice of proposed termination of appointment will be governed by the following procedures.]
- f. If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member shall have the right to a full hearing before a faculty committee. The hearing need not conform in all respects with a proceeding conducted pursuant to Section VI, but the essentials of an on-the-record adjudicative hearing shall be observed. The issues in this hearing may include:
 - i. The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced.
 - ii. The validity of the educational judgments and the criteria for identification for termination; but the recommendations of a faculty body on these matters will be considered presumptively valid.
 - iii. Whether the criteria are being properly applied in the individual case.
- g. If the institution, because of financial exigency, terminates appointments, it will not at the same time make new appointments except in extraordinary

circumstances where a serious distortion in the academic program would otherwise result. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

- h. Before terminating an appointment because of financial exigency, the institution, with faculty participation, shall make every effort to place the faculty member concerned in another suitable position within the institution.
 - i. In all cases of termination of appointment because of financial exigency, the faculty member concerned shall be given notice or severance salary not less than as prescribed in Section IX.
 - j. In all cases of termination of appointment because of financial exigency, the place of the faculty member concerned shall not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.
4. Discontinuation of a Program or Department Not Mandated by Financial Exigency
Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur as a result of bona fide formal discontinuance of a program or department of instruction. The following standards and procedures shall apply.
- a. The decision to discontinue formally a library unit, program or department of instruction shall be based essentially upon educational considerations, as determined primarily by the faculty as a whole or an appropriate committee thereof. [Note: "Educational considerations" do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the institution as a whole will be enhanced by the discontinuance.]
 - b. Before the administration issues notice to a faculty member of its intention to terminate an appointment because of formal discontinuance of a library unit, program or department of instruction, the institution shall make every effort to place the faculty member concerned in another suitable position. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered. If no position is available within the institution, with or without retraining, the faculty member's appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member's length of past and potential service.

[Note: When an institution proposes to discontinue a program or department of instruction, it should plan to bear the costs of relocating, training, or otherwise compensating faculty members adversely affected.]

- c. A faculty member may appeal a proposed relocation or termination resulting from a discontinuance and has a right to a full hearing before a faculty committee. The hearing need not conform in all respects with a proceeding

conducted pursuant to Section VI, but the essentials of an on-the-record adjudicative hearing will be observed. The issues in such a hearing may include the institution's failure to satisfy any of the conditions specified in this section. In such a hearing a faculty determination that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof on other issues shall rest on the administration.

5. Termination Because of Physical or Mental Disability

Termination of an appointment with tenure, or of a probationary or special appointment before the end of the period of appointment, because of physical or mental disability, shall be based upon clear and convincing medical evidence that the faculty member, even with reasonable accommodation, is no longer able to perform the essential duties of the position. The decision to terminate shall be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the appropriate faculty committee before a final decision is made by the governing board on the recommendation of the administration. The faculty member shall be given severance salary not less than as prescribed in Section IX.

6. Review

In cases of termination of appointment, the governing board shall be available for ultimate review.

V. Grievance

In the event that an amicable solution cannot be reached between the two parties, a grievance procedure shall be provided by the institution. The general criteria for a grievance procedure include:

- A. The procedure shall be equitable to both parties.
- B. The procedure shall state clearly what is to be done, when, and by whom.
- C. The term "grievance", as well as any other terms which could be misunderstood, shall be clearly defined.
- D. The procedures should be accessible to and easy to initiate by all members of the library faculty.
- E. Steps in the procedure shall be completed within specified time limits. Additional time shall be allowed as the grievance moves to higher levels.
- F. There shall be effective safeguards against reprisal for initiating or participating in a grievance proceeding and against abuse of the procedures.
- G. Any procedure must be consistent with applicable institutional regulations and contracts.

VI. Dismissal procedures

- A. Termination of any appointment, other than by expiration, may be made for adequate cause. Adequate cause for a dismissal shall be related, directly and substantially, to the fitness of faculty members in their professional capacities as librarians. The dismissal procedure shall include a written statement of adequate cause. Dismissal shall not be used to restrain faculty members in their exercise of academic freedom.
- B. Dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of the specified term, shall be preceded by:
 - a. Discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement;
 - b. Inquiry by the duly elected faculty or peer review committee that will make a non-binding recommendation to continue or cancel dismissal proceedings; and3. A statement of charges, framed by the chief executive officer or the CEO's delegate.
- C. The individual concerned shall have the right to address the elected faculty or peer review hearing committee. Librarians have a right to appeal a decision for non-renewal of an appointment based on their institutional guidelines for faculty.
 - a. Pending a final decision by the hearing committee, the faculty member shall be assigned to other duties in lieu of suspension, and suspended only if his/her continued presence poses a significant danger.
 - b. The hearing committee may, with the consent of the parties concerned, hold joint prehearing meetings with the parties to stipulate the facts, provide for the exchange of documentary or other information, and achieve other appropriate prehearing objectives to make the hearing fair, effective, and expeditious.
 - c. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, the committee shall evaluate all available evidence and submit its recommendation upon the evidence in the record.
 - d. The committee, in consultation with the chief executive officer and the faculty member, shall determine whether the hearing shall be public or private.
 - e. During the proceedings the faculty member shall be permitted to have an academic advisor and counsel of the faculty member's choice.
 - f. At the request of either party or the hearing committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.
 - g. A verbatim record of all hearings shall be taken and a copy made available to the faculty member without cost, on request.
 - h. The burden of proving adequate cause rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

- i. The faculty member shall have the opportunity to obtain necessary witnesses, documentation, or other evidence. The administration shall cooperate with the hearing committee in securing witnesses, documentation and other evidence.
- j. The faculty member and the administration shall have the right to confront and cross-examine all witnesses. When the witnesses cannot or shall not appear, but the committee determines that the interests of justice require admission of their statements, the committee shall identify the witnesses, disclose their statements, and, if possible, provide for interrogatories.
- k. In the hearing of charges of incompetence, the testimony shall include that of qualified librarians.
- l. The hearing committee shall not be bound by strict rules of legal evidence. It may admit any evidence which is of probative value in determining the issues. Every possible effort shall be made to obtain the most reliable evidence.
- m. The findings of fact and the decision shall be based solely on the hearing record.
- n. Except for simple necessary announcements that cover the time of the hearing and similar matters, all parties shall avoid public statements and publicity about the case until the proceedings have been completed.
- o. If the hearing committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it shall so report to the president or CEO of the institution. If the president/CEO rejects the report, he/she shall state the reasons for doing so, in writing, to the hearing committee and to the faculty member, and shall provide an opportunity for response before transmitting the case to the governing board. If the hearing committee concludes that an academic penalty less than dismissal is more appropriate, it shall so recommend with supporting reasons.

VII. Action by the institutional governing board

If dismissal or other severe sanction is recommended, the president shall, on request of the faculty member, transmit the record of the case to the governing board. The governing board's review shall be based on the record of the committee hearing. This review shall provide opportunity for the principals or their representatives to make oral and/or written argument. The governing boards shall either sustain the decision of the hearing committee, or return the findings to the committee with specific objections. The committee shall then reconsider, taking into account these objections, and receiving new evidence if necessary. The governing board shall make a final decision only after study of the committee's reconsideration.

VIII. Procedures for imposition of sanctions other than dismissal

- a. If the administration believes that the conduct of a faculty member does not constitute adequate cause for dismissal, but is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated

period, the administration may institute a proceeding to impose such a severe sanction. The procedures outlined in Section VI shall govern such a proceeding.

- b. If the administration believes that the conduct of a faculty member justifies the imposition of a minor sanction, such as a reprimand, it shall notify the faculty member of the basis of the proposed sanction. The faculty member shall have an opportunity to persuade the administration that the proposed sanction not be imposed. A faculty member who believes that a major or minor sanction has been incorrectly imposed, may, pursuant to Section V, petition the faculty grievance committee for such action as may be appropriate.

IX. Terminal salary or notice

If the appointment is terminated, the faculty member shall receive salary or notice in accordance with the following schedule:

Length of Probationary Service	Final Decision Reached By	Notice Given
Less than 9 months	March 1st	3 months before end of first year of probationary service
Between 9 and 18 months	December 15th	At least six months
Over 18 months or Member has tenure	After 18 months of service	At least one year

This provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct which justified dismissal involved malfeasance. On the recommendation of the faculty hearing committee or the chief executive officer, the governing board may take into account the length and quality of service of the faculty member in determining what, if any, payments shall be made beyond the effective date of dismissal.

X. Academic freedom and protection against discrimination

1. All members of the faculty, whether tenured or not, are entitled to academic freedom as set forth in the 1940 "Statement of Principles on Academic Freedom and Tenure," formulated by the Association of American Colleges and the American Association of University Professors.
2. All members of the faculty, whether tenured or not, are entitled to protection against illegal or unconstitutional discrimination by the institution, or discrimination on a basis not demonstrably related to the faculty member's professional performance, including but not limited to race, sex, religion, national origin, age, physical handicap, marital status, or sexual preference.

XI. Complaints of violation of academic freedom or of discrimination in non-reappointment

If a faculty member on probationary or other non-tenured appointment alleges that a decision against reappointment was based significantly on considerations which violate either academic freedom or policies of nondiscrimination with respect to race, sex, religion, national origin, age, physical handicap, marital status, or sexual preference, the allegation shall be first considered by the appropriate committee. This committee shall try to settle the matter by informal methods. The allegation of violation shall be accompanied by the faculty member's statement consenting to the institution's presentation of supporting evidence to the committee. An unresolved matter shall be heard in the manner set forth in Sections VI and VII, except that the faculty member making the complaint is responsible for stating the grounds upon which the allegations of violation are based, and the burden of proof shall rest upon the faculty member. If the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision against reappointment to present evidence in support of the decision. Statistical evidence of improper discrimination may be used in establishing a prima facie case.

XII. Administrative personnel

The foregoing regulations apply to administrative personnel who hold academic rank, but only in their capacity as faculty members. The procedures set forth in Section XI apply to termination or non-reappointment to an administrative post. Administrators who allege a violation of academic freedom or of governing policies against improper discrimination are entitled to these procedures.

Notes

1. "Standards for Faculty Status for College and University Librarians," approved by ACRL and ALA, January 2001 (<http://www.ala.org/ala/acrl/acrlstandards/standardsfaculty.htm>) ; "Joint Statement on Faculty Status of College and University Librarians," drafted by a committee of the Association of American Colleges (AAC), the American Association of University Professors (AAUP) and the Association of College and Research Libraries (ACRL); endorsed by ACRL, June 1972, and by AAUP, April 1973. Reaffirmed by ACRL, June 2001. (<http://www.ala.org/ala/acrl/acrlstandards/jointstatementfaculty.htm>)

2. "Recommended Institutional Regulations on Academic Freedom and Tenure," (<http://www.aaup.org/statements/Redbook/RBrir.htm>). Much of the original Model Statement was drawn from earlier versions of this statement.

3. See the ACRL "Statement on the Terminal Professional Degree for Academic Librarians" (<http://www.ala.org/ala/acrl/acrlstandards/statementterminal.htm>).

About the Guidelines

These Guidelines are a revision of the Model Statement of Criteria and Procedures for Appointment, Promotion in Academic Rank and Tenure for College and University Librarians first issued by ACRL in 1973 and revised in 1987. The ACRL Board charged the Committee on the Status of Academic Librarians with the task of revising this document. The revision process began in January 2003 under the chairmanship of Bill Nelson, Augusta State University. The final revision was completed under the chairmanship of Sharon McCaslin, Fontbonne University, with a draft published in the April 2005 College & Research Libraries News. Following the recommendation of the ACRL Standards and Accreditation Committee (SAC), the title was changed to Guidelines rather than Model Statement. The Guidelines were approved by SAC and subsequently approved by the ACRL Board in June 2005. The previous Model Statement was rescinded. The guidelines were reviewed and revised in 2009-and 2010. Members of the 2009-2010 ACRL Committee on the Status of Academic Librarians were: Sandra Hawes, Saint Leo University; Connie Strittmatter, Montana State University; Gloria Creed-Dikeogu, Ottawa University; Patricia M. Duck, University of Pittsburgh; Bradford L. Eden, University of California, Santa Barbara; Kevin Gunn, Catholic University of America; Carol A. Leibiger, University of South Dakota; and Mark McBride, Buffalo State College. In 2016-2017, the Status of Academic Librarians Standards and Guidelines Review Task Force revised the document. Task force members included Allyson Mower, Carla Arbagey, Neal Baker, Kevin Butterfield, Bryan Clark, Brian Doherty, Marla Peppers, K.T. Vaughan, Nancy Weiner

Statement on the Certification and Licensing of Academic Librarians *EXISTING*

Approved by the ACRL Board of Directors, July, 1989.

Reaffirmed by the ACRL Board, June, 2001 and June, 2007.

Modified and reaffirmed by the ACRL Board at the Spring Executive Committee Meeting, May 11, 2011.

At the 2011 Spring Executive Committee Meeting, the board of directors of the Association of College and Research Libraries (ACRL) approved the following "Statement on the Certification and Licensing of Academic Librarians":

The Association of College and Research Libraries has affirmed that the master's degree from a program accredited by the American Library Association or from an international institution with a formal accreditation process identified by ALA's Human Resource Development and Recruitment Office is the appropriate terminal professional degree for academic librarians. Therefore, ACRL opposes any alternative certification or licensing by state agencies or by state or local professional associations in lieu of the accredited degree for academic librarians.

However, ACRL does not oppose licensing or certifying librarians in addition to an M.L.S/M.L.I.S degree.

Statement on the Terminal Professional Degree for Academic Librarians *EXISTING*

Approved as policy by the Board of Directors of the Association of College and Research Libraries, a division of the American Library Association, on January 23, 1975. Reaffirmed by the ACRL Board of Directors, June, 2001 and June, 2007. Modified and reaffirmed by the ACRL Board of Directors at the Spring Executive Committee Meeting, May 11, 2011.

The master's degree from a program accredited by the American Library Association or from a program in a country with a formal accreditation process as identified by ALA's Human Resource Development and Recruitment Office is the appropriate terminal professional degree for academic librarians.