



Revisions to the UMD Policy on Appointment, Promotion, and Permanent Status of Library Faculty (Senate Document #16-17-28)
Faculty Affairs Committee | Chair: Patricio Korzeniewicz

The Senate Executive Committee (SEC) and Senate Chair Falvey request that the Faculty Affairs Committee review the proposed revisions to the UMD Policy on Appointment, Promotion, and Permanent Status of Library Faculty (Senate Document #16-17-28).

Specifically, we ask that you:

1. Review the University System Policy on Appointment, Rank, and Tenure of Faculty (II-1.00).
2. Review the University of Maryland, College Park Policy on Appointment, Promotion, and Permanent Status of Library Faculty [\[II-1.00\(B\)\]](#).
3. Review the proposed revisions to the policy in the attached proposal.
4. Review similar policies for library faculty at Big Ten and other peer institutions.
5. Consult with the Chair of the Libraries Assembly.
6. Consult with a representative from the University's Office of Faculty Affairs.
7. Consult with the Dean of the Libraries.
8. Consider whether the University's policy should be revised.
9. Consult with the University's Office of General Counsel on any proposed recommendations.

We ask that you submit a report to the Senate Office no later than **March 30, 2017**. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



University Senate PROPOSAL FORM

Name:	Kelsey Corlett-Rivera, Library Assembly Chair, on behalf of University Libraries faculty
Date:	February 24, 2017
Title of Proposal:	Revisions to the UMD Policy on Appointment, Promotion, and Permanent Status of Library Faculty
Phone Number:	301-405-9116
Email Address:	Kcr1@umd.edu
Campus Address:	4119A McKeldin Library
Unit/Department/College:	Libraries
Constituency (faculty, staff, undergraduate, graduate):	Faculty
Description of issue/concern/policy in question:	The University of Maryland Policy on Appointment, Promotion, and Permanent Status of Library Faculty was last updated in 2010. Since that time, numerous problems with the policy have come to the attention of the Libraries' faculty and the Libraries' Appointment, Promotion, and Permanent Status Committee (APPSC). The most glaring is that the policy does not comply with University System policy (II-1.00 University System Policy on Appointment, Rank and Tenure of Faculty, II.A.1, p. 7) which requires a "review process leading to the granting of promotion and/or permanent status to occur no later than the sixth year of continuous full-time employment." Additional problems include a lack of clarity regarding roles of the APPSC and Libraries Human Resources, outdated references to UMD and USM policy, and inconsistencies both within the policy and between the policy and the APPS Guidelines.
Description of action/changes you would like to see implemented and why:	See amended policy with tracked changes, attached. This policy was amended by a special committee of the Library Assembly, reviewed by the Library Assembly Advisory Council, and approved by a unanimous vote of the Library Assembly. The changes address the issues listed above, bring the policy in line with USM policy, and streamline the document for greater clarity. The amended policy will ensure that we are complying with USM policy and enable us to recruit, retain, and promote talented Libraries faculty.

Suggestions for how your proposal could be put into practice:	The Senate Executive Committee should refer this proposal to the Senate Faculty Affairs Committee and charge it with reviewing the proposed revisions to the UMD policy.
Additional Information:	

Please send your completed form and any supporting documents to senate-admin@umd.edu or University of Maryland Senate Office, 1100 Marie Mount Hall, College Park, MD 20742-7541. Thank you!

APPS Special Committee Summary Report February 24, 2017

The APPS Special Committee was charged by the Library Assembly on October 13, 2016 to “update the University of Maryland Policy on Appointment, Promotion, and Permanent Status of Library Faculty II-1.00(B) to bring it into compliance with the University of Maryland and University System of Maryland policies and bylaws.”

The Special Committee convened from October 2016 to January 2017 to complete its work. As instructed, it consulted superseding policies from the University System of Maryland and University of Maryland, and 2015 changes to the UMD Appointment, Promotion, and Tenure process. It also consulted the APPSC Special Committee Report of 2011 and policies and procedures of other USMAI libraries. The Committee’s charge did not include review or revision of the APPSC Guidelines, which are derived from the policy.

Per its charge, the Special Committee hereby delivers an updated version of UMD Policy II-1.00(B). The major changes proposed by the Special Committee are as follows:

Section 1: Library Faculty Ranks

- Replaced rank descriptions for Librarian I, II, III, and IV with language directly from superseding USM policy, thus removing potentially conflicting information between these two policies. Added language to descriptions for Librarian II, III, and IV to clarify that years of experience must also be accompanied by appropriate achievements in service and research, scholarship, and/or creativity to qualify for the rank.
- Aligned language for Librarian Emerita/Emeritus with definition from UMD Policy II-1.00(A) G.1 (p. 35)
- Affiliate Librarian II, Affiliate Librarian III, Affiliate Librarian IV: sentence 2, “The nature of the affiliation...” is currently contradicted by APPSC guidelines. The Special Committee recommends keeping the policy as-is, and rewriting the guidelines to reflect the policy.

Section 2: Criteria for Appointment, Promotion, and Permanent Status

- A. More broadly defined Librarianship to include activities beyond collection management and instruction
- C. Research, Scholarship, and/or Creativity: Edited last sentence to allow for librarian’s research, scholarship, and/or creativity to be judged on a greater array of factors

Section 4: Procedures for the Appointment of Library Faculty

- Paragraph 2: Added explanation to “barring exceptional circumstances” and reference to Section 6.

Section 5: Procedures for Promotion and Permanent Status Review

- Added new paragraph (paragraph 3) defining Advisory Subcommittee’s responsibilities re: confidentiality, with language derived from UMD policy.
- Added language to end of paragraph 4 requiring eligible faculty to adhere to equity guidelines per new UMD APT manual: <https://faculty.umd.edu/policies/documents/APTManual.pdf>

- A. Applications for Promotion to Librarian II
 - o A. Paragraph 1: Replaced references to specific dates with “by the mandatory review date,” which will be established by LHR according to the Office of Faculty Affairs’ Tenure Clock Policy and communicated via appointment letter.
 - o A. Paragraph 1: Added language re: conditions of tenure delay and link to UMD policy II-1.00(D)
 - o A. Paragraph 1: Defined “early promotion” as “promotion to the next level before the required number of years of professional experience has been reached.” See discussion of review and promotion dates, below.
 - o A. Paragraph 3: Added sentence re: candidates denied promotion, for consistency with other parts of the policy
- B. Applications for Promotion to Librarian III, for Promotion to Librarian IV, and for Permanent Status at the Rank of Librarian III
 - o B. Paragraph 1: Clarified deadline for completion of review, to bring into alignment with USM policy. See discussion of review and promotion dates, below.
 - o B. Paragraph 1: Libraries Human Resources is responsible for determining and communicating mandatory review date, in accordance with Office of Faculty Affairs’ Tenure Clock Policy. Streamlined language here re: dates so that candidates must apply by “announced deadline” each year, rather than by a specific month/day.
 - o B. Paragraph 1: Defined “early promotion” as “promotion to the next level before the required number of years of professional experience has been reached.” See discussion of review and promotion dates, below.
 - o B. Paragraph 2: Removed sentence: “Ordinarily, librarians denied promotion are not eligible for promotional review in the next review cycle.” We can find no reference to this in USM or campus policy and think it should be removed from our policy. If an unsuccessful candidate in (for example) year 3 can get the materials together by the deadline, s/he can apply again in year 4.
 - o B. Paragraph 3: Streamlined language re: date of announcement each year
 - o B. Paragraph 10: Added sentence re: candidates denied promotion, for consistency with other parts of the policy
 - o B. Paragraph 11: Added language re: reappointment review policy for applicants appointed at Librarian II who choose not to go up for promotion/permanent status by the third year. Note that the committee has changed the notification date to July 31 (instead of July 1, as in the current procedure) to allow APPSC time to complete this task after being convened at the beginning of the fiscal year. If accepted, this change will need to be updated in APPSC documentation.

Other changes throughout:

- Replaced inconsistent references to creativity, scholarship, research, etc. with “research, scholarship, and/or creativity”
- Removed outdated references to “team-based organization”
- Made nomenclature consistent: “candidate” = librarian applying to promotion or permanent status from within the Libraries; “applicant” = librarian applying for initial position with the

Libraries; “Librarian” = current library faculty or specific USM-defined ranks (e.g., Librarian II, III, and IV)

- Replaced outdated references to “Internal Review Committee” with “Advisory Subcommittee,” per new University policy
- Replaced inconsistent references to “Libraries Human Resources”
- Replaced outdated references to USM or UMD policy names/numbers (e.g., II-1.00(D) UMCP Policy on Extension of Time for Tenure Review Due to Personal or Professional Circumstances.)

Review and Promotion Dates

The most significant change recommended by the Special Committee concerns the deadlines by which candidates can or must apply for promotion and/or permanent status. Current policy requires candidates to apply for promotion by the end of the fifth year of employment; anything else is considered an “early” application. However, USM policy only requires that “the review process leading to the granting of promotion to Librarian III and granting of permanent status shall be completed no later than the sixth year of continuous full-time employment.” Simultaneously, USM policy sets minimum years of experience for each Librarian rank (three years for Librarian II, for example.) The Special Committee therefore contends that, if a candidate has reached the minimum number of years of experience (or will reach it by the time promotion and/or permanent status would be granted,) that candidate should be able to apply for the next rank, regardless of the number of years of continuous, full-time employment at the University of Maryland. With this change, there will no longer be such a thing as “going up early” for promotion; if a Librarian will have the required number of years of experience by the date promotion would be granted, he or she is eligible to apply for promotion. “Early” application would only apply if a candidate does not have the number of years of requisite experience but has a record of “exceptional accomplishment where the candidate has shown superior performance and extraordinarily rapid professional development.”

When a new Librarian I or II is hired, Libraries Human Resources has responsibility for setting the mandatory review date (relying on the University’s Tenure Clock Policy) and for notifying the new Librarian of that date. The Librarian is responsible for calculating his/her own years of experience and making a decision on whether to apply for promotion before the mandatory date has been reached. The Librarian may consult with the PRC, APPSC, and Libraries Human Resources, as needed, to calculate years of experience and determine if/when application for promotion is appropriate.

If a Librarian II does not (or cannot, due to not reaching the required years of experience) apply for promotion and permanent status during the third year, that librarian must undergo reappointment review as it is currently understood. The goal is to ensure that the candidate is making sufficient progress toward promotion and permanent status.

A few examples:

Librarian II Appointment with application at earliest date:

Jane Doe has four years of previous academic library experience, one year of which is at a level comparable to Librarian II, when she is hired as a Librarian II at the University of Maryland. Her mandatory review date will be the end of her fifth full year of employment, as determined by Libraries Human Resources via the University’s Tenure Clock Policy. However, by the end of her second year she

will have reached the minimum years of experience (six, with three at the rank of Librarian II.) She is eligible, then, to apply for Librarian III with Permanent Status at the end of her first year of employment at the University of Maryland. If promotion is not granted, she may apply in subsequent years as desired. She must apply for promotion and permanent status by the end of her fifth year of employment at University of Maryland to meet the mandatory review date.

Librarian II Appointment with application at mandatory date:

John Doe also has four years of previous academic library experience, one year of which is at a level comparable to Librarian II, when he is hired as a Librarian II at the University of Maryland. His mandatory review date will be the end of his fifth full year of employment, as determined by Libraries Human Resources via the University's Tenure Clock Policy. Unlike Jane, John decides not to apply for promotion and permanent status at the end of his second year, even though he is eligible, and decides instead to wait for the mandatory review date. In his third year, John will go through the reappointment process. He must apply for promotion and permanent status by the end of his fifth year of employment at University of Maryland to meet the mandatory review date

Librarian I Appointment:

Jane Frost is a new librarian with less than a year of previous academic library experience, when she is hired as a Librarian I at the University of Maryland. Her first review date will be January 31 of the year in which she would reach her third full year of employment with the University of Maryland. If successful, she becomes a Librarian II effective July 1 of her third year. She must apply for promotion and permanent status by the end of her fifth year of employment at University of Maryland to meet the mandatory review date.

In summary, this change puts the emphasis on the years of experience, rather than the years at the University of Maryland, for determining the timeline for promotion and/or permanent status. A Librarian II can apply for Librarian III at the end of the fifth year of experience, so that s/he can be promoted by the sixth year; a Librarian I can apply for promotion in the second year so that s/he can be promoted to Librarian II by the third year.

We believe these revisions to the Appointment, Promotion, and Permanent Status policy will bring the Libraries into compliance with University and University System of Maryland policy, and will result in a simpler, more understandable system for librarians, their supervisors, and the APPSC.

Respectfully submitted,

APPS Special Committee
Tim Hackman, Chair
Sharon Epps
Vin Novara
Bria Parker

II-1.00(B) UNIVERSITY OF MARYLAND POLICY ON APPOINTMENT, PROMOTION, AND PERMANENT STATUS OF LIBRARY FACULTY

(Revised by the Library Faculty Assembly on November 30, 2006; Approved by the President on March 15, 2007; Technical Amendments on August 1, 2008; Technical Amendment Section 5(B) July 1, 2009; Technical Amendments on May 20, 2010)
[\[Add new revision information here when approved by campus\]](#)

Purpose of this Policy

Librarians at the University of Maryland (JMD) hold faculty status and as such are colleagues with the academic teaching faculty in the pursuit of the educational mission within the University: by providing academic support for research and teaching, by [helping to move](#) the university forward in the digital age, by making their own professional and scholarly contributions, and by providing public service to the state and the nation [in ways](#) embodying the best traditions of outstanding land-grant universities.

University of Maryland library faculty apply professional, scholarly, and disciplinary knowledge in a series of related functions: selecting, acquiring, and organizing scholarly information; teaching in both formal and informal settings; and providing organization and management of the staff and resources that facilitate access to scholarly information and library services for our users [according to](#) the mission of the University Libraries.

The faculty have an obligation to remain professionally informed, to pursue the discovery of new knowledge related to their field of expertise, to disseminate the results of their scholarly work, and to seek opportunities for service to the Libraries, [the University, the state, the nation, and the profession.](#)

The **Policy on Appointment, Promotion, and Permanent Status of Library Faculty** exists to set the standards and procedures for appointment and promotion to the various librarian faculty ranks and to recognize and [encourage](#) the achievement of excellence on the part of the library faculty members through the awarding of permanent status and through promotion within the library faculty ranks. The [policy is](#) derived from the "University of Maryland Policy and Procedures on Appointment, Promotion, and Tenure of Faculty" (BOR Policy II-1.00 [A]) but [is](#) adapted to library faculty. The **Guidelines for Appointment, Promotion, and Permanent Status of Library Faculty** (hereafter *Guidelines*) contain the procedures governing the preparation of dossiers and specific details of the review process.

Section 1: Library Faculty Ranks

Each librarian within the JMD Libraries' organizational structure holds a functional position title based on his or her core assignment. In addition, each librarian holds a faculty rank commensurate with his or her level of professional experience and achievement. Each rank requires a master's degree from an American Library Association accredited program or a graduate degree in another field where appropriate. The master's degree is considered the terminal degree. Appointments to these ranks are for [twelve](#) months with leave and other benefits provided to twelve-month tenured/tenure track faculty members with the exception of terminal leave, sabbatical leave, and non-creditable sick leave (collegially supported).

Permanent status is an institutional commitment to permanent and continuous employment to be terminated only for adequate cause (for example, professional or scholarly misconduct, incompetence, moral turpitude, or willful neglect of duty) in accordance with applicable procedures. (See II-1.00 University System Policy on Appointment, Rank and Tenure of Faculty at II.A.1 and I.C.5, and I-1.00(A) University of Maryland Policy and Procedures on Appointment, Promotion and Tenure of Faculty at [I.F.10 and I.F.12](#). Librarians at the rank of Librarian I and Librarian II are not eligible for permanent status. Permanent status is available for library faculty

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holding the rank of Librarian III and Librarian IV. Those candidates from within the University without permanent status applying for the rank of Librarian III and Librarian IV shall be considered concurrently for permanent status. Permanent status decisions will be based on the candidate's entire career. The candidate's record must demonstrate consistency of job performance, continuing development, significance of contributions, and potential for continued excellence and professional growth.

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The following shall be the minimum qualifications for appointment or promotion to the library faculty ranks in use by the University of Maryland Libraries.

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Librarian I

This rank is assigned to a librarian just entering librarianship with little or no professional library experience, but who has been judged to have demonstrated an understanding of the basic tenets of librarianship and a potential for professional growth. A Librarian I is not eligible for permanent status.

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Librarian II

Appointment or promotion to this rank signifies that the librarian has demonstrated effective professional knowledge and skills significantly above those expected of a Librarian I. Normally, this rank requires a minimum of three years of professional experience, plus achievements in service and research, scholarship, and/or creativity befitting the rank. Appointment to this rank does not confer permanent status.

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Librarian III

Appointment or promotion to this rank signifies that the librarian has mastered the skills, knowledge, and techniques of librarianship and has made meaningful contributions to the library, the institution, the library profession, and/or an academic discipline. Normally, this rank requires a minimum of six years of professional experience, three of which must be at a level comparable to the rank of Librarian II at the appointing USM institution, plus achievements in service and research, scholarship, and/or creativity befitting the rank. Promotion to this rank from within the Libraries confers permanent status; appointment to this rank from outside the Libraries may confer permanent status.

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Librarian IV

Appointment or promotion to this rank is exceptional. This rank is awarded to those librarians who have made distinctive contributions to the library, the institution, the library profession, and/or an academic discipline. This rank normally requires a minimum of nine years of professional experience, at least three of which must be at a level comparable to the rank of Librarian III at the appointing USM institution, plus achievements in service and research, scholarship, and or creativity befitting the rank. Appointment to this rank confers permanent status.

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Affiliate Librarian II, Affiliate Librarian III, Affiliate Librarian IV

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These titles shall be used to recognize the affiliation with the Libraries of a university staff or faculty member from an academic or administrative unit to which his or her appointment and salary are formally linked. The nature of the affiliation shall be specified in writing, and the appointment shall be made upon the recommendation of the Appointment Promotion and Permanent Status Committee (APPSC). The rank of affiliation shall be commensurate with the appointee's qualifications or academic rank within his or her primary unit.

Librarian Emerita, Librarian Emeritus

Librarians III and Librarians IV, who have been members of the faculty of the University of Maryland at College Park for the equivalent of ten or more years of full-time service, and who give to the Dean of Libraries proper written notice of their intention to retire, are eligible for nomination to emerita/emeritus status. Only in exceptional circumstances may faculty with fewer than the equivalent of ten years of full-time service be recommended for emerita/emeritus status. Emerita/emeritus Librarians shall have demonstrated meritorious service to the University in the areas of librarianship, service, or research, scholarship, and/or creativity.

Section 2: Criteria for Appointment, Promotion and Permanent Status

The criteria for appointment, promotion, and permanent status of library faculty reflect the University of Maryland Libraries' mission to provide access to and assistance in the use of scholarly information resources. These activities support the Libraries' primary role in serving the instructional, research, and public constituencies of the University. The factors to be considered in appointments, promotions, and permanent status decisions fall into three categories: (a) librarianship; (b) service; and (c) research, scholarship, and/or creativity. Candidates are expected first and foremost to demonstrate excellence in librarianship in their area of assigned responsibility. Each factor shall be considered in every decision.

a. Librarianship

Librarianship at the University of Maryland is defined as selecting, acquiring, and organizing scholarly information; teaching in both formal and informal settings; and providing organization and management of the staff and resources that facilitate access to scholarly information and library services for our users. The candidate for appointment, promotion, or permanent status must demonstrate superior performance in his or her area of assigned responsibility and participation in the collaborative endeavors of librarianship.

b. Service

Librarians shall demonstrate committed service, beyond the assigned area of responsibility, to the Libraries and the University, and within the library profession or an academic discipline. A strong service profile at the local, regional, national, and international levels is highly valued among library faculty but service shall not substitute for librarianship or for achievement in research, scholarship, and/or creativity. Service activity shall not be expected or required of library faculty who have not attained permanent status to the point that it interferes with the development of their librarianship.

c. Research, Scholarship, and/or Creativity

Librarians shall demonstrate sustained and effective engagement in research, scholarship, and, in appropriate areas, creative activities or other activities that result in the generation and application of intellectual property. These contributions must be of high quality and significance to the field of librarianship or another discipline related or complementary to the candidate's area of responsibility. A library faculty member's research, scholarship, and/or creativity will be judged for its impact, significance, innovation, contribution to library effectiveness, and/or expansion of the librarian's relationship to knowledge.

Section 3: Appointment, Promotion and Permanent Status Committee

The Appointment, Promotion, and Permanent Status Committee (APPSC) is a standing committee of the Library Assembly, members of which are elected by the library faculty. The number of committee members and representation are detailed in A Plan of Organization for the University of Maryland

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Libraries. The APPSC has two major responsibilities. It is the sole faculty body to make recommendations on rank and status for new faculty appointed to the Libraries at the rank of Librarian I, II and III without permanent status and on the promotion of Librarian I to Librarian II. In addition, the APPSC is the body that coordinates all activities related to promotion and permanent status for Librarian III and Librarian IV and serves as the faculty review committee (defined as the **Advisory Subcommittee**) for new appointments at the rank of Librarian III and IV.

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Section 4: Procedures for the Appointment of Library Faculty

All announcements for library faculty vacancies shall state that **applicants** are expected to demonstrate potential for and/or proof of accomplishments in the areas of librarianship, service and scholarly/creative activities.

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New full-time appointments to the rank of Librarian IV carry permanent status. New full-time appointments to the rank of Librarian III may carry permanent status. When a Librarian III is appointed without permanent status, the APPSC shall set a date for the completion of the mandatory review for permanent status that is no later than the end of the third full fiscal year of employment. The date for this mandatory review will be stated in the letter of appointment. A candidate who has been notified that permanent status has been denied shall be granted an additional and terminal one-year appointment in that rank, but barring exceptional circumstances, such as a successful appeal (Section 6), shall receive no further consideration for permanent status.

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The APPSC acts as the **Advisory Subcommittee** for **applicants** for appointment at the rank of Librarian III with permanent status and Librarian IV. The APPSC evaluates the **applicants'** records and writes an evaluative report recommending a rank. **Seventy-five percent** of the eligible faculty (Librarians III with permanent status and/or Librarians IV) shall constitute a quorum for the meeting to recommend rank at appointment. A positive recommendation requires a two-thirds majority of those voting. The APPSC will write a report summarizing the vote and the recommendation and submit the report to the Dean of Libraries. The Dean shall submit his or her recommendation to the Provost through the Office of Faculty Affairs. The Provost shall in turn submit his or her recommendation to the President. The evaluative report, recommendations made at each level, and other elements of the dossier such as external letters shall be forwarded for consideration by those at the next level, but otherwise shall remain confidential from the **applicant** and others in order to best elicit candor and aid the University in making a fair and impartial assessment.

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Section 5: Procedures for Promotion and Permanent Status Review

Reviews for promotion and permanent status shall be conducted according to the duly adopted written policies and procedures of the University. These procedures shall be published in the *Guidelines*.

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Faculty review committees (defined as **Advisory Subcommittees**) are a part of the review process. Review committees and administrators at all levels shall impose the highest standards of quality, ensure that all candidates receive fair and impartial treatment, and be responsible for maintaining the integrity and confidentiality of the review and recommendation process. The APPSC shall assign an **Advisory Subcommittee** for each application for permanent status and/or promotion to Librarian III or Librarian IV. Normally, each **Advisory Subcommittee** will have three members consisting of one librarian who is familiar with the work of the candidate, one librarian in a related field, and one **librarian from anywhere in the Libraries**. Each **Advisory Subcommittee** should reflect sufficient seniority in membership to ensure familiarity with the procedures and knowledge of the Libraries' goals and standards. The APPSC may appoint additional outside members to an **Advisory Subcommittee** (i.e. academic faculty in a relevant department) where appropriate. If there are fewer than three eligible faculty members, the Dean shall appoint eligible faculty members from related departments to ensure that the review committee shall contain three persons.

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Members of an Advisory Subcommittee must maintain absolute confidentiality in their consideration of cases and shall not discuss specific cases with anyone who is not a member of the subcommittee. Every member of the campus community must respect the integrity of the appointment, permanent status, and promotion process and must refrain from attempting to discuss cases with subcommittee members or to lobby them in any way.

In decisions on permanent status and/or promotion to Librarian III and Librarian IV, library faculty eligible to vote are those librarians with permanent status at or above the rank for which the candidate has applied. Eligible faculty members are bound by the same requirements for confidentiality required of Advisory Subcommittees and the APPSC, and will also adhere to equity guidelines as prescribed in the University APT Manual (see "Equity and Fairness in the Review Process.")¹

The following procedures and sequence of operations are to be followed by all candidates and by all committees. The procedures have been established to promote consistency from one year to the next and to guarantee full and fair hearings for all candidates.

A. Applications for Promotion to Librarian II

A library faculty member holding a full or part-time, non-temporary, non-contractual appointment at the University of Maryland Libraries at the rank of Librarian I must apply for promotion by the mandatory review date. Libraries Human Resources will communicate the mandatory review date, as established by the Tenure Clock Policy maintained by the Office of Faculty Affairs², via the letter of appointment. A candidate may request a delay of his/her promotion application for personal or professional circumstances or for the birth or adoption of a child, in accordance with University policy II-1.00(D). Requests to delay the promotion review must be submitted in writing to the APPSC and the Dean of Libraries by the deadline for the mandatory review. Extensions will be determined by the APPSC in consultation with the Dean of Libraries. Librarians who choose not to apply will have their appointments terminated at the end of their contract period. Early promotion (i.e., promotion to the next level before the required number of years of professional experience has been reached) will be considered only in cases of clearly exceptional accomplishment where the candidate has shown superior performance and extraordinarily rapid professional development. Review for promotion to Librarian II, like review of initial appointments to the ranks of Librarian I and Librarian II, is conducted by APPSC. Promotion to the rank of Librarian II becomes effective on July 1 of the next fiscal year following the completion of the review. Applications shall consist of the elements described in the Guidelines.

The application will be shepherded through the review process by a committee member assigned by the chair of the APPSC. The APPSC's recommendation is added to the dossier and forwarded to the Dean for the final decision on the application.

Before the beginning of the next fiscal year, the Dean will review the material in the dossier and send written notification to the candidate indicating the Dean's final decision. An appointee who has been notified that promotion to Librarian II has been denied shall be granted an additional and terminal one year appointment in that rank, but barring exceptional circumstances, such as a successful appeal (Section 6), shall receive no further consideration for permanent status. Copies of the Dean's written notification to the candidate regarding the final decision will be provided to the APPSC and the Libraries Human Resources. Following the decision, the candidate's dossier and all evaluative reports and recommendations shall be forwarded to the Dean's Office where they shall remain confidential from the candidate and others.

¹ <https://faculty.umd.edu/policies/documents/APTManual.pdf>

² <https://www.faculty.umd.edu/policies/tenureclock.html>

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B. Applications for Promotion to Librarian III, for Promotion to Librarian IV, and for Permanent Status at the Rank of Librarian III

The deadline for the initiation of the review for promotion to Librarian III is mandatory. Review for promotion to Librarian IV is neither mandatory nor automatic. Promotion to Librarian III from within confers permanent status. In accordance with the University System Policy on Appointment, Rank, and Tenure of Faculty, the review process leading to the granting of promotion to Librarian III and granting of permanent status shall be completed no later than the sixth year of continuous full-time employment. Permanent status can be awarded only by an affirmative decision based upon a formal review. Libraries Human Resources will communicate the mandatory promotion review date, as established by the Tenure Clock Policy maintained by the Office of Faculty Affairs, via the letter of appointment or promotion. Candidates for promotion to Librarian III and candidates for permanent status at the rank of Librarian III must submit their materials or inform the APPSC and the Dean of Libraries, in writing, of their intent to resign, by the beginning of the fiscal year in which the review is mandated. For information related to delaying the promotion review process, see Section D.

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To be considered for promotion and/or permanent status, the library faculty member must have the required minimum years of professional experience, plus a corresponding record of service and research, scholarship, and/or creativity, and must initiate the review process by submission of an application to the chair of the APPSC by the announced deadline. Credit for years of professional experience (defined as post-masters or equivalent professional employment) is counted as of the start of the fiscal year in which promotion and/or permanent status would be granted, and can include relevant experience at other institutions. If granted, promotion becomes effective on July 1 of the next fiscal year. Early promotion (i.e., promotion to the next level before the required number of years of professional experience has been reached) will be considered only in cases of clearly exceptional accomplishment where the candidate has shown superior performance and extraordinarily rapid professional development. Applications should consist of the elements described in the Guidelines.

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In April, the chair of the APPSC will announce the deadline for submission of applications. APPSC will notify all candidates with mandatory review dates in the current fiscal year, and will call for non-mandatory candidates to declare their intention to apply.

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The Advisory Subcommittee appointed for a candidate will request letters of reference, other supporting documentation, and where appropriate, verify the authenticity of documentation supplied by the candidate. There must be a minimum of six letters from external referees (outside the University of Maryland), three and at most one-half of the letters chosen by the candidate and at least three chosen by the Advisory Subcommittee.

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The Advisory Subcommittee will review the documentation collected and prepare a Summary Statement of Professional Achievements, a factual and objective, not evaluative, summary of the candidate's accomplishments in relation to the factors. The purpose of the Summary Statement is to set forth the candidate's work in the context of the field. The APPSC will send a copy of the Summary Statement to the candidate for review and comment. The candidate must certify receipt of the Summary Statement by signing and returning the Summary Statement. The candidate has the option of submitting a response that corrects or amends the Summary Statement. The candidate's response is due to the APPSC two weeks after receipt of the Summary Statement. The Summary Statement of Professional Achievements and optional candidate's response both become part of the candidate's dossier.

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The Advisory Subcommittee will decide on its recommendation and prepare an evaluative report that addresses each factor and discusses whether the candidate meets the requirements for promotion. If a member of the Advisory Subcommittee disagrees with the majority opinion

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expressed in the evaluative report, he or she may prepare a minority report. The evaluative report(s) become part of the dossier.

The APPSC will call a meeting of eligible library faculty, allowing sufficient time for the faculty members to review the documentation. A quorum consisting of 75% of the eligible faculty must be in attendance. A candidate may not attend a meeting where his or her application is under consideration. The Dean of Libraries may attend the meeting but does not vote. The faculty must maintain absolute confidentiality in their consideration of the cases.

The APPSC will call for a vote of eligible faculty. A two-thirds majority of those voting is required for a positive recommendation for permanent status and/or promotion.

A member of the APPSC will prepare a written report stating the faculty's vote and recommendation on whether or not to grant permanent status or promotion and explaining the basis for the faculty's recommendation insofar as that basis has been made known in the discussion. Any dissenting faculty member(s) may prepare a minority report. The report(s) will be forwarded to the Dean along with the Advisory Subcommittee summary statements, evaluative reports, and candidate's dossier.

The Dean will review the documentation and recommendation of the faculty and forward a recommendation to the Provost. The Provost and the President shall confer about the case, and the Provost shall transmit his or her recommendation and a written justification to the President. The President will send written notification to the candidate and provide a copy of the notice to the Dean, the APPSC, and the Libraries' Office of Human Resources. An appointee who has been notified that permanent status has been denied shall be granted an additional and terminal one year appointment in that rank, but barring exceptional circumstances, such as a successful appeal (Section 6), shall receive no further consideration for permanent status. Following the decision, the candidate's dossier and all evaluative reports and recommendations shall be forwarded to the Office of the Vice President for Academic Affairs and Provost, where they shall remain confidential from the candidate and others.

Librarians II who do not apply for promotion by their third year of full-time employment shall apply for reappointment. The Appointment, Promotion, and Permanent Status Committee (APPSC) will notify Librarians II without permanent status in a permanent status track position by July 31 of the fiscal year in which their reappointment should occur (usually before the third year) that they are to submit an application for reappointment to the Appointment, Promotion, and Permanent Status Committee by January 31 of that same fiscal year.

C. Withdrawal

Candidates for promotion and/or permanent status may voluntarily withdraw from the review process at any time. When a library faculty member without permanent status withdraws at the time of mandatory review, he or she is entitled to a period of six months before the termination of employment. Depending on where the application is in the process, the chair of the APPSC, the Dean, or the Office of the Associate Provost for Faculty Affairs should be notified promptly.

D. Extension of Time for Permanent Status Review Due to Personal and Professional Circumstances

Any library faculty member may request an extension of time for promotion and/or permanent status consideration based on personal or professional circumstances. Extension requests shall be governed by the UMCP Policy on Extension of Time for Tenure Review Due to Personal and Professional Circumstances. (II-1.00 D)

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E. Notification to Candidates for Promotion and/or Permanent Status

Within two weeks of the date of forwarding the decision to the Provost, the Dean will inform the candidate whether the recommendations made by the eligible faculty and the Dean were positive or negative (including specific information on the number of faculty who voted for promotion and/or permanent status and the number who voted against) and prepare a letter that will summarize in general terms the nature of the considerations on which those decisions were based. The APPSC shall review the summary letter prepared by the Dean in order to ensure that it accurately summarizes the considerations regarded as relevant by the eligible faculty. The APPSC shall be provided access to the Dean's letter to the candidate in order to ensure that the summary accurately reflects the recommendation and rationale provided to higher levels of review. In addition, the letter shall be made available in the Office of the Dean for review by any member of the eligible faculty. In the event that the APPSC and the Dean are unable to agree on the appropriate language and contents of the summary letter, each shall write a summary letter to the candidate. A copy of all materials provided to the candidate shall be added to the promotion or permanent status file as the case proceeds through higher levels of review.

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Section 6: Appeals Procedure

The appeal process described in this section is derived from the "University of Maryland Policy and Procedures on Appointment, Promotion, and Tenure of Faculty" (BOR II-1.00 [A], Section V. The Appeals Process) and adapted for library faculty.

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A. Appeals Committees

When appropriate, the Provost shall appoint a special three-member Appeals Committee. This committee shall consist of three non-library faculty, one of whom shall be a member of the University Library Council and shall serve as chair. The non-librarian faculty members represented must be tenured and at or above the relevant rank of the appellant, and they should not have participated in the original review of the appellant.

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B. Guidelines and Procedures for Appeals

1. Mandatory and Non-Mandatory Reviews

When a candidate for promotion and/or permanent status receives notification from the President or Dean of Libraries that promotion or permanent status was not awarded, the candidate may appeal the decision by requesting that the President submit the matter to a specially appointed Appeals Committee for consideration. The request shall be in writing and be made within sixty (60) days of notification of the negative decision. If the request is granted, all documentation to be filed in support of the appeal must be submitted to the Appeals Committee not later than one hundred and twenty (120) days after notification unless otherwise extended by the President because of circumstances reasonably beyond control of the candidate. In writing the letter requesting appeal, the appellant should be aware that this letter and any other documentation submitted to support the appeal serve as the evidentiary basis for the investigation of the validity of the appeal and should the President determine that the appeal is properly made in accordance with this section and refer the appeal to the Appeals Committee appointed by the Provost, these materials shall be shared by the Appeals Committee with the parties against whom allegations are made and any other persons deemed necessary by the Committee for a determination of the issues.

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2. Grounds for Appeal

The grounds for appeal of negative promotion and permanent status decisions shall be limited to: (1) violation of procedural due process and/or (2) violation of substantive due process. A decision may not be appealed on the ground that a different review committee, Dean or Provost exercising sound academic judgment might, or would, have come to a different conclusion. An appeals committee will not substitute its academic judgment for the judgment of those in the review process.

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Violation of procedural due process means that the decision was negatively influenced by a failure by those in the review process to take a procedural step or to fulfill a procedural requirement established in relevant promotion and permanent status review procedures of the Libraries and the Board of Regents. There must be a reasonable basis for believing that the procedural error affected the outcome of the vote.

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Violation of substantive due process means that: (1) the decision was based upon an illegal or constitutionally impermissible consideration; e.g. upon the candidate's gender, race, age, nationality, handicap, sexual orientation, or on the candidate's exercise of protected first amendment freedoms (e.g., freedom of speech) or (2) the decision was arbitrary or capricious, i.e., it was based on erroneous information or misinterpretation of information or the decision was clearly inconsistent with the supporting materials.

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3. *Standard of Proof*

An appeal shall not be granted unless the alleged grounds for appeal are demonstrated by a preponderance of the evidence that the procedural error affected the outcome of the vote.

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4. *Responsibilities and Powers of the Appeals Committee*

The Appeals Committee shall notify the relevant administrators and APPSC chair in writing of the grounds for the appeal and meet with them to discuss the issues. The Appeals Committee shall meet with the appellant to discuss and clarify the issues raised in the appeal.

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The Appeals Committee has investigative powers. The appeals committee may interview persons in the review process whom it believes to have information relevant to the appeal. Additionally, the Appeals Committee shall examine all documents related to the appellant's promotion or permanent status review and may have access to such other Libraries' materials as it deems relevant to the case. Whenever the committee believes that a meeting could lead to a better understanding of the issues in the appeal, it shall meet with the appropriate party (with the appellant or with the relevant academic administrator and APPSC Chair).

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The Appeals Committee shall prepare a written report for the President. The report shall be based upon the weight of evidence before it. It shall include findings with respect to the grounds alleged on appeal and, where appropriate, recommendations for corrective action. Such remedy may include the return of the matter back to the stage of the review process at which the error was made and action to eliminate any harmful effects it may have had on the full and fair consideration of the case. No recommended remedy, however, may abrogate the principle of peer review.

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The President shall attach great weight to the findings and recommendations of the committee. The decision of the President shall be final. The decision and the rationale

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shall be transmitted to the appellant, the Dean, the chair of the APPSC and the Provost in writing.

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C. Implementation of the President's Decision

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1. When the President supports the grounds for an appeal, the Provost has the responsibility for oversight of the implementation of the corrective actions the President requires to be taken. Within 30 days of receipt of the President's letter, the Provost shall request the Dean of Libraries to formulate a plan and a timeline for implementing and monitoring the corrective actions. Within 30 days after receipt of this letter, the Dean of Libraries must supply a written reply. The Provost may require modification of the plan before approving it.

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2. The Provost shall appoint a Provost's Representative to participate in all stages of the implementation of the corrective actions specified in the approved plan for the re-review, including participation in the meeting or meetings at which the eligible library faculty members discuss, review, or vote on its recommendation for permanent status and/or promotion for the appellant. The Provost's Representative shall be a senior member of the faculty with no previous or potential involvement at any level of review or appeal pertaining to the consideration of the appellant for permanent status and/or promotion except for the participation as Provost's Representative as defined in this paragraph. The Provost's Representative shall participate in all corrective action activities but shall not have a vote. After the review is completed by the Libraries, the Provost's Representative shall prepare a report on all of the elements of corrective action specified in the approved plan, and this report will be included with the complete dossier to be reviewed at higher levels within the University.

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3. The Provost's request and the Dean of Libraries' approved plan of implementation must be included in the dossier from the inception of the re-review. Re-reviews begin at the level of review at which the violation(s) of due process occurred and evaluate the person's record at the time the initial review occurred unless otherwise specified by the President. The Dean of Libraries, in addition to evaluating the candidate for promotion, must certify that each of the corrective actions has been taken and describe how the actions have been implemented. Re-reviews must proceed through all levels of evaluation including Presidential review. The Provost's review of the dossier will include an evaluation of compliance with the requirements imposed in the President's decision to grant the appeal. If the Provost discovers a serious failure by the Libraries to comply with the corrective actions required, the Provost shall formulate and implement a new plan for corrective action with respect to the appellant. In addition, the Provost shall inform the Dean of Libraries in writing and shall take appropriate disciplinary action.

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D. Extension of Contract

In the event that the appellant's contract of employment will have terminated before reconsideration can be completed, the appellant may request the President to extend the contract for one additional year beyond the date of its normal termination, with the understanding that the extension does not in itself produce a claim to permanent status through length of service.

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Notes:

1. Individuals who were granted permanent status under BOR VII-2.15, "Policy on Librarians," which was superseded by the "University System Policy on Appointment, Rank, and Tenure of Faculty" (BOR

II1.00), shall retain permanent status. See Section II. Faculty Ranks, Promotion, Tenure, and Permanent Status, A. General Principles, 1.

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