

APPENDIX 1
FACULTY MANUAL SUPPLEMENT FOR CONTINUING APPOINTMENT-LINE
LIBRARY FACULTY

Unless otherwise noted, all references to “library faculty” or “faculty” in this supplement of the manual refer to full-time library faculty who have Continuing Appointment (“CA” or “continuing appointment”) or pre-Continuing Appointment status.

The library will use Continuing Appointment lines to:

- Attract and retain the best library faculty to support the mission and goals of American University.
- Provide library faculty with the opportunity to contribute to the profession of librarianship in the context of their twelve-month appointments and a focus on Primary Responsibilities.
- Give librarians the opportunity for long-term appointments within a system that ensures continued excellence of library faculty.
- Streamline the administrative process for library faculty reappointments.

Continuing Appointment may be earned by library faculty usually after a six year probationary period. This probationary period is usually spread over two contract periods. Continuing Appointment is granted to library faculty members based on their performance and potential. Once CA status has been achieved, such appointments are subject to annual reviews and may be terminated for unsatisfactory performance (in accordance with the CA annual review process), misconduct, or as permitted under other applicable University policies.

1. Professional Obligations of Continuing Appointment-Line Faculty

a. Professional Obligations

Library faculty members must meet the criteria for high-quality performance of Primary Responsibilities, contributions to the field of librarianship (hereafter referred to as Professional Contributions), and service as described in “General Criteria for Evaluation of Continuing Appointment Line Library Faculty” in this *Manual*.

Beyond these responsibilities, faculty members are encouraged to participate in major campus-wide events, such as opening convocation and graduation, and service roles when library faculty members are not engaged in primary responsibilities. These roles may include, for example, recruitment or orientation activities, faculty hiring committees, or other university business or committee work that must be conducted outside of the time required for primary responsibilities. Such service makes a critical contribution to the well-being of the academic community. However, choosing to engage in such service is wholly left to the discretion of the individual faculty member and is not a contractual obligation.

b. Primary Responsibilities, Professional Contributions, and Service

Library faculty members need to coordinate and collaborate when planning how to sustain library operations and services, working in a collegial atmosphere that fosters high-quality performance in Primary Responsibilities, Professional Contributions, and service. Because

individual faculty members play diverse roles, the library must have procedures for determining an appropriate allocation of faculty obligations in Primary Responsibilities, Professional Contributions, and service. All individual primary responsibility assignments are based on the mission of the library, the faculty member's contributions to that mission, and the faculty member's involvement in Professional Contributions, Primary Responsibilities, and service. Significant changes in Primary Responsibilities initiated by the University Librarian, especially reassignments or transfers to different or new positions, should be made through a process that includes input from the faculty member and the administrative head. The University Librarian must approve all workload assignments.

The allocation of each full-time library faculty member's professional obligations is based on the following parameters:

- The university expects all full-time Continuing Appointment-line library faculty members to have a workload divided among Primary Responsibilities, Professional Contributions, and service which recognizes the diverse roles of faculty. Library faculty members may develop adjustments in workload with their administrative head and recommend them to the University Librarian for approval.
- As part of their responsibilities, Continuing Appointment-line library faculty members maintain a campus presence that reflects a commitment to connecting with students and to the university community.

When recommending a faculty member's workload assignment to the University Librarian for an academic year, the library may consider but is not limited to: the scope of the Primary Responsibilities, evidence of an active Professional Contributions agenda and productivity; supervision of full and part-time employees; and significant contributions to service (such as major committee assignments) at the university and beyond. Such external service must be clearly related to the Primary Responsibilities and professional contribution interests of the faculty member and/or advances the academic reputation of the library or university.

2. Academic Ranks and Qualifications for Continuing Appointment-Line Faculty

This section parallels that of the section on Academic Ranks and Qualifications for Tenure-Line Faculty. See *Faculty Manual* section 8.

3. Provisions for Faculty Appointments in Continuing Appointment-Line Positions

American University is deeply committed to a diverse faculty. All appointments must be consistent with the university's commitment to affirmative action, equal opportunity, and nondiscrimination. The library must demonstrate that it has vigorously taken steps to fulfill those commitments.

The library may request authorization from the Provost for searches to hire faculty members at the Assistant Librarian, Associate Librarian, Librarian, or Distinguished Librarian rank. For all appointments, the library must demonstrate that it has conducted a full and careful search, including evidence that the candidate has the strong support of the library faculty members for a specified rank, along with concurrent support from the University Librarian and any other library review bodies, and the potential for sustained significant contributions in the areas of Primary

Responsibilities, Professional Contributions, and service. All faculty members who vote on Continuing Appointment-line hires must be tenure-line or Continuing Appointment-line faculty members at the rank of associate librarian or higher.

Once appointed, faculty will customarily receive Continuing Appointment in one of three ways:

- (1) An appointment that includes Continuing Appointment at the time of hire,
- (2) A successful Continuing Appointment review in the sixth year of pre-Continuing Appointment service at American University, or
- (3) A successful Continuing Appointment review in the sixth year of service at American University that may include: (i) credit for prior service at another institution before coming to American University, or (ii) credit for prior service at AU in a non-Continuing Appointment line position.

In rare instances a faculty member with an exceptional record may apply for a Continuing Appointment review prior to the sixth year of pre-CA service. Each of these categories is covered in the sections that follow.

a. Appointments of Faculty with Continuing Appointment

If the library completes its full search process and recommends hiring a faculty member with Continuing Appointment status, the unit must undertake additional due diligence to ensure that the candidate will meet the standards expected of a library faculty member in terms of Primary Responsibilities, Professional Contributions, and service at American University and that candidate will be an effective colleague in assisting the overall development of the library. Hiring at this level demands more than a demonstration of achievements commensurate with the rank; it also requires evidence that the individual possesses qualities that positively distinguish her or his career and that hold additional promise for AU.

The Provost and the Dean of Faculty will review the documentation and may interview the candidate. If an offer is to be made, it will include determination of status and rank.

Should circumstances require unusual action outside normal procedures, the Provost should, to the extent possible, consult with the library faculty and appropriate administrators. Under such circumstances, the Provost will provide a written explanation to all parties involved.

b. Pre-Continuing Appointment Faculty Review Schedule and Process

Customarily, library faculty will seek Continuing Appointment during the final year of the standard six-year pre-Continuing Appointment period. Pre-Continuing Appointment faculty on the standard six-year track are reviewed at the university level during the third and sixth years of service by the University Librarian, University Library Committee on Faculty Actions and the Dean of Faculty (who will make the decision on whether to reappoint and related terms). The third year review is an important step in determining if the faculty member is making sufficient progress toward Continuing Appointment. The sixth year review assesses the candidate's record so that a final recommendation regarding promotion and Continuing Appointment can be made to the Provost. The final decision to promote or to grant Continuing Appointment rests with the Provost. The Continuing

Appointment decision is final, and the candidate cannot reapply for Continuing Appointment again. If there is a disagreement between the University Library Committee on Faculty Actions and the University Librarian during any review process for continuing appointment librarians, the University Librarian will send the file to the Committee on Faculty Actions and subsequently to the Dean of Faculty or the Provost, as appropriate, for a final decision.

c. Pre-Continuing Appointment Credit for Prior Service

Qualified candidates may elect to take up to two years of prior service towards Continuing Appointment at American University. The typical service credit is for one to two years, but the library may also consider recommending appointments with up to four years of prior service under special circumstances. Extension of credit for prior service beyond the two years must be approved by the Dean of Faculty in consultations with the appropriate administrative head and University Librarian. This service credit may be based on experience at another institution, generally one of higher learning, but may include service at other types of appropriate institutions. Faculty whom the university converts from non-Continuing Appointment line to Continuing Appointment-line positions are also eligible for service credits. Candidates given credit for prior service shall be required while at American University to maintain at least the level of work for which credit was awarded.

The library and university reviews for faculty with credit for prior service normally follow the schedule below.

Review Schedule for Faculty with Credit Claimed for Prior Service at Initial Appointment at American University*		
	Type of Review	
	1-2 years prior service	3-4 years prior service
Beginning of last year of initial contract	Pre-CA review for reappointment	Review for a Continuing Appointment contract
Beginning of last year of second contract	Review for a Continuing Appointment contract	N/A
*Library faculty receiving appointments during an academic year (hired after September 1) receive their first review during the fall semester of the second full academic year of their appointments.		

Faculty who negotiate a service credit in their initial contract may waive the entire credit or reduce the amount of the credit within one month after receiving their first annual review. Changes in credits must be in writing and filed with the Dean of Faculty. This waiver of prior credit

has the effect of extending the pre-Continuing Appointment period for the faculty member who originally claimed credit for prior service at the time of appointment to American University. Thereafter, pre-Continuing Appointment faculty may not reclaim or waive additional time credited toward Continuing Appointment except in the most unusual circumstances. Faculty who waive all credit will revert to the standard six-year review schedule. Faculty who waive partial credit will revert to the review schedule in the appropriate column in the table below.

Adjusted University Review Schedule** Based on Changes to Credit for Prior Service Originally Claimed at Initial Appointment to American University		
Number of Years of Prior Service originally claimed at initial appointment to AU	Number of those years of prior service waived	Adjusted University Review(s) Schedule
	1	Beginning of 2 nd and 5 th years at AU
	2	Beginning of 3 rd and 6 th years at AU
	1	*Beginning of 2 nd and 4 th year at AU
	2	Beginning of 2 nd and 5 th year at AU
	3	Beginning of 3 rd and 6 th years at AU
	1	Beginning of 3 rd year at AU
	2	*Beginning of 2 nd and 4 th year at AU
	3	Beginning of 2 nd and 5 th year at AU
	4	Beginning of 3 rd and 6 th years at AU
<p><i>*Review required in this case, because maximum time between pre-Continuing Appointment reviews is 3 years.</i></p> <p><i>**For library faculty members who receive an initial appointment during an academic year (after September 1), this schedule will be appropriately modified.</i></p>		

d. Faculty Seeking an Early Continuing Appointment Review

Library faculty with an exceptional record may apply for Continuing Appointment prior to completing the entire sixth-year probationary period. In such instances, the faculty member must have the support of their administrative head, University Library Committee on Faculty Actions, and the University Librarian. Customarily, such a request would not be made prior to the completion of the third year pre-Continuing Appointment review for a second contract. Library faculty who file for an early Continuing Appointment review go through the standard review described in this *Manual*.

e. Delay of Continuing Appointment Consideration

This section parallels that of the section on “Delay of Tenure for Tenure-Line Faculty”. See *Faculty Manual* section 9bi

f. Annual Reviews for Library Faculty with Continuing Appointment

Once Continuing Appointment is granted, the faculty member’s performance is evaluated annually.

The annual review process for library faculty members is part administrative and part peer review. The latter is conducted by the Annual Review Committee. The evaluation is based on the general criteria for the evaluation of faculty members contained in the “General Criteria for Evaluation of Continuing Appointment Line Library Faculty” section of this *Manual*, the specific criteria set by the library, and the criteria for particular ranks outlined in the Continuing Appointment-line “Academic Ranks and Qualifications” section of this *Manual*.

- i.* Each faculty member with Continuing Appointment must submit an annual report documenting their accomplishments and activities in their Primary Responsibilities, Professional Contributions, and service according to procedures developed for such reviews.

In the event that a library faculty member on a Continuing Appointment contract receives an unsatisfactory review as specified in the annual review guidelines, particularly in the area of Primary Responsibilities, the administrative head and the library faculty member will develop a plan for improvement. A faculty member who, despite guidance and support, persists in unsatisfactory performance following the conclusion of the plan for improvement, may be dismissed by the Provost. Dismissal of CA faculty under this process is not subject to the process under the section Disciplinary Actions, Investigations, and Formal Faculty Hearings or the Appeal Procedures for Denial of Reappointment, Tenure, or Promotion of Tenure-Line Faculty and Certain Multi-Year Contract Term Faculty. However, CA faculty may grieve the dismissal under the Faculty Grievance Procedures.

- ii.* Upon recommendation of the University Librarian, these procedures may be postponed if there are extenuating circumstances, such as use of permitted leave unrelated to research.

g. Contractual Terms of Service

Initial Appointment

Initial appointments for pre-Continuing Appointment faculty are usually for three years; the maximum appointment is three years.

In the last year of the initial contract, the library faculty member may submit a request and a file for action for reappointment to a second probationary term.

Reappointment

Reappointments prior to the granting of Continuing Appointment are usually for three years. However, the library may recommend reappointments of less than three years, including one-year terminal appointments, which would then proceed through the usual reappointment process for approval. Reappointments are contingent upon the satisfaction of the general criteria for the evaluation of faculty members contained in the “General Criteria for Evaluation of Continuing Appointment Line Library Faculty” section of this *Manual*, the specific criteria set by the library, and the criteria for particular ranks outlined in the Continuing Appointment-line “Academic Ranks and Qualifications” section of this *Manual*.

The reappointment of a faculty member to a seventh year of service must indicate whether the reappointment conveys Continuing Appointment or is a terminal contract.

Dismissal of Pre-Continuing Appointment Library Faculty

In instances when the performance of a faculty member during the pre-CA period is substantially less than satisfactory, the library will provide guidance and support so that the faculty member has an opportunity to improve. In these instances, the administrative head will notify the faculty member in writing of such concerns. In extraordinary circumstances, upon the recommendation of the chair, appropriate designated committee(s) in the library, the University Librarian, and the University Library Committee on Faculty Actions, the Provost or designee may, before the current contract expires, dismiss a faculty member who, despite guidance and support, persists in unsatisfactory performance. This unusual action would normally, but not always, be related to performance of Primary Responsibilities. A faculty member dismissed for unsatisfactory performance during the pre-CA period is not entitled to the process outlined in Disciplinary Actions, Investigations, and Formal Faculty Hearings or the Appeal Procedures for Denial of Reappointment, Tenure, or Promotion of Tenure-Line Faculty and Certain Multi-Year Contract Term Faculty. However, the pre-CA faculty may grieve the dismissal under the Faculty Grievance Procedures.

b. Schedule of Notice for Appointment or Termination

This section parallels that of the section on Schedule of Notice for Appointment or Termination for Tenure-Line Faculty. See *Faculty Manual* section 9f

i. Resignations

This section parallels that of the section on Resignations for Tenure-Line Faculty. See *Faculty Manual* section 9g.

j. Death While on Active Service

This section parallels that of the section on Death While on Active Service for Tenure-Line Faculty. See *Faculty Manual* section 9h.

4. General Criteria for Evaluation of Continuing Appointment Line Library Faculty

Every faculty action should serve to enhance the quality of the university. Library faculty members must demonstrate effectiveness in fulfilling Primary Responsibilities and in making appropriate Professional Contributions, as well as a willingness to assume a fair share of service. There must also be evidence of the ability and commitment to continued advancement in all areas. As members of the learned profession responsible for educating the future citizenry, the university expects faculty members to exhibit civility, collegiality, and respect for different points of view in the academic community.

To achieve these objectives, the library must establish guidelines that define the expectations for the overall contributions of each faculty member. The University Library Committee on Faculty Actions shall review these guidelines as specified in the section “Governance at American University” in this *Manual*. Upon approval by the University Librarian, the Dean of Faculty and the Provost, the library will make these guidelines available to faculty.

a. Primary Responsibilities

The quality of the performance of a library faculty member in carrying out his/her Primary Responsibilities is the chief criterion for an evaluation.

Library faculty support the educational mission of the University in many ways. All library faculty are evaluated on the quality and effectiveness of their performance of Primary Responsibilities which vary according to their assignments. For example, library faculty may provide any of the following services: research assistance for individuals; information literacy instruction for groups; collection management for specific disciplines or formats; promotion of and communication about library resources and services; application of information technology; incorporation of library resources in the AU curriculum; and acquiring, organizing and ensuring access to all library materials. Some positions include an administrative component or require leadership for or coordination of a particular service. All library faculty members must maintain a current awareness of research and technological advances relevant to their library positions and a broad understanding of librarianship and related disciplines.

b. Professional Contributions (to the Profession of Librarianship)

Faculty members' thorough understanding of and significant contribution to their field are essential to the mission of the university and to the advancement of knowledge. The library must have criteria that require Professional Contributions of the highest quality in national or international venues. The university shall base its assessment of a faculty member's achievements on the aggregate productivity and impact of the work since degree completion, including evidence that the faculty member is productive at AU. The work should relate directly to the criteria established by the library. An additional required assessment addresses the likelihood of continued successful achievements.

The University is committed to support and assist library faculty who engage in professional activities that lead to contributions to librarianship and related fields. The criteria for Professional Contributions for library faculty are described in appropriate guidelines approved by the Dean of Faculty and typically include, but are not limited to, the following:

- Participation in responsible positions in local, regional, or national professional organizations.
- Presentations at conferences.
- Service on editorial boards, accreditation committees, or similar bodies of experts.
- Publication in peer-reviewed venues, including reviews of books and other materials.
- Other professional activities that advance the field of librarianship.
- Creative production, performance, or publication and evidence of scholarship in areas other than librarianship that serve to deepen a library faculty member's knowledge and expertise in these subject areas, in support of their Primary Responsibilities.

c. Service

i. Service to the University

Engagement at American University is an essential component of faculty responsibility. Faculty members should demonstrate engagement in the university community, including a meaningful level of library or university service. The library must establish guidelines for evaluating service that include evidence of a willingness to carry an appropriate share of library collegiate service obligations.

ii. Service beyond the University

Faculty often provide service to local, national, and/or international communities and governments as well as hold leadership positions in appropriate scholarly/professional associations. Such activities demonstrate an individual's acceptance of the responsibilities that come with being a member of the faculty in a university deeply committed to service to a wider community. Such service must be clearly related to the Primary Responsibilities and professional contribution interests of the faculty member and/or advances the academic reputation of the library. Service beyond the university cannot substitute for a service contribution to the university but may count toward faculty members' fulfilling their workload obligation. The library must establish guidelines for evaluating service beyond the university.

5. Principles, Structure, and Process for Faculty Actions

This section parallels that of the section on Principles, Structure, and Process for Faculty Actions for Tenure-Line Faculty (see *Faculty Manual*, section 11) except that external letters are not required for continuing appointment-line faculty, and that files are only referred to the Committee on Faculty Actions for their recommendation if there is a disagreement between the University Library Committee on Faculty Actions and the University Librarian.