



## **Library Faculty Handbook**

**2024-2025**

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# Preamble

## P.1 Regis University

Regis University is an institution of higher learning operating in the American Jesuit Catholic tradition. Both as an organization and as a learning community, Regis University constantly strives to advance its mission to build a more just and humane world through transformative education at the frontiers of faith, reason and culture. Together, all the University's constituents seek to inspire our students and one another to address critically and answer fully the life-enriching question: "How ought we to live?"

Regis University is committed to the idea that interdependence, communication, and shared action among its constitutive elements—the Board of Trustees, the faculty, the administration and staff, the students, and the Jesuit community—will enhance the institution's ability to fulfill its mission, meet challenges, solve problems, and prosper. Teaching, scholarship, service, and *cura personalis*, the care and concern for the whole person, are recognized as constituting essential elements of the existence of Regis University. It is affirmed that this interdependent existence depends on the faithful exchange of information and perspectives as decisions are shaped so that confusion and/or conflict arising from unilateral effort may be avoided and positive outcomes for all concerned may be attained. It is further affirmed that challenges to this interdependent existence can particularly manifest themselves in the allocation of limited resources among competing demands. For this reason, faculty will be represented by their respective deans in the determination of short- and long-range budgetary priorities.

Joint planning and effort by all components of Regis University occur in established and/or *ad hoc* groups. Experienced faculty committees—whether constituted to address curricular, personnel, or other matters—must be able to bring to the issues at hand not merely their disciplinary competencies, but also their first-hand understanding of what constitutes effective teaching, scholarship, and service and of the climate in which these endeavors may best be conducted in order to fulfill the University's mission:

“As a Jesuit Catholic university, Regis seeks to build a more just and humane world through transformative education at the frontiers of faith, reason and culture.”

Our work is also guided by the University's institutional-wide learning outcomes: The Regis Nine. We are committed to these nine outcomes as an ideal in the formation and education of our students. The Regis Nine encompass the knowledge, skills, and values that we believe are fundamental to the personal and professional growth of our students, employees, and community.

At Regis University, we seek to educate the whole person (*cura personalis*) in three important ways: 1. teaching academic content (knowledge-based learning), 2. developing practical skills and abilities for use in the "real world" (skill-based learning), and 3. instilling a commitment to leadership, service, and ethical and social responsibility (value-based education).

The Regis Nine involve a combination of knowledge, skills, and values; each is equally important. In the Regis educational model, one's commitment to ethical and social responsibility is equal in value to one's knowledge and skills.

## P.2 The Regis Library

The following is reproduced from the Mission and Values document, created September 2021.

### P.2.1 Who We Are

We are employees of the Library, Learning Commons, and Student Disability Services/University Testing who are creative individuals and collaborators at heart. We want to form connections with individuals and community members and are passionate about our work.

## P.2.2 Mission Statement

We form campus and community partnerships to enable access to information, resources, spaces, and people with the goal of fostering education for a more just and humane world.

## P.2.3 Values

Our values tie directly to our mission. They are framed by a commitment to social justice, racial justice, disability justice and furthering equity for our Regis Community.

### *Learning/Inquiry*

We envision creating an environment through our actions where everyone is empowered to take charge of their own learning and advocate for their academics. Learners have their own experiences and knowledge, so we work to nurture those existing experiences during the learning process so individuals can grow and share what they've learned with the broader community. Our spaces are for Regis community participation and support from the larger academic community. We envision a place that engenders community creation while providing spaces for self-care so that learners can grow and thrive.

### *Accessibility*

We provide holistic access to the Regis community and attempt to remove systemic barriers to access. We envision moving beyond compliance and towards an environment that respects and values the experiential knowledge of people with diverse abilities and backgrounds. Our methods of access are multiplatform and multiformat to meet the needs of all members of our community. We envision physical and virtual spaces that are dynamic, inclusive, and easy to navigate so that there are no barriers to knowledge, information, resources, or advocacy. Access is not solely about content, but the connections we form between people when we value intersectionality.

### *Compassion/Care*

We seek to engage in relations founded on the principles of authentic care, which work to undermine practices of identity-based injustices. We work to move beyond the principles of customer service to offer depth of care based on specific needs of individuals and communities. To this end, we also recognize that compassion and care requires balance regarding labor, both ours and that of our students and academic partners. We work to mutually support one another.

## Chapter 1 Library Faculty-Administration Relationships

Regis University administration is committed to collaboration with the faculty. The Library Faculty Handbook is a document of importance for both library faculty and the administration. The Library Faculty Handbook Committee (LFHC) is charged to review and revise the Handbook with the Dean of the Library according to the provisions of [Chapter 2](#), to monitor compliance with the Handbook, to address any Handbook issue that does not fall under the purview of another committee or office, and to provide the library faculty with a dedicated place in which to discuss faculty status issues. The LFHC will consist of two members elected from the ranked library faculty. Elected representatives will be selected under the same procedures used for other faculty-wide committees (e.g., Rank and Promotion) and will serve for staggered 3-year terms.

Several options exist for faculty to address matters of interest and importance. There are a number of venues in the library to address various issues from rank and promotion and a wide variety of academic matters to budget and facilities. These include, but are not limited to, the Library Faculty Council (LFC), the Library Faculty Handbook Committee (LFHC), and the Library Committee on Rank and Promotion (LCRP), or other groups such as the Department Heads and *ad hoc* committees. Relevant issues may be

brought to any appropriate library committee, to a department head, or to the Dean. As applicable to all employees of the University, relevant items may be addressed to offices or administrators responsible, e.g., Physical Plant, Human Resources, Information Technology Services, Campus Safety, etc.

Regis University is committed to genuine collaboration with the faculty. As of this writing, there are several governance mechanisms: the Regis University Academic Council, the Library Faculty Council (LFC), and faculty committees as well as other emerging processes for faculty participation in a wide range of issues. Regis University has consistently observed governance processes congruent with the position of AAUP that “curriculum, subject matter and methods of instruction, research and faculty status and those aspects of student life which relate to the educational process” are areas in which the faculty has primary responsibility (“Statement on Government of Colleges and Universities”). That commitment will continue.

## Chapter 2 Handbook Revision

Revisions to this Handbook shall be made in consultation with the faculty and the Dean via the Library Faculty Handbook Committee (LFHC) and a Library Faculty Status Assembly (LFSA). Given the importance of this Handbook to faculty and administration relations, it is necessary to have a process that is separate from other governance procedures.

The Handbook shall be reviewed in its entirety every three years by the LFHC. Reviews will begin in the fall semester to solicit input for revisions. LFSA meetings will be open to all library faculty, with voting privileges accorded on the same basis as the Library Faculty Council. Any voting member may suggest revisions to the Handbook to LFHC members, and any revisions to be considered in the current cycle must be submitted as soon as possible for inclusion. After gathering input from the library faculty, and after including any additional revisions proposed internally by the LFHC, the LFHC shall submit its final list of proposed revisions to the LFSA for review by February 28th of the following spring semester. Submit proposed revisions for review of Chief Legal Officer no later than two weeks prior to ratification vote. After review of proposed revisions at LFSA and by Chief Legal Officer, the library faculty shall vote to ratify any changes by May 1st of that year. The LFHC will then seek joint approval of the Provost and the chair of the Library Faculty Council. Any revisions not ratified by the LFSA shall be referred to the LFHC for further review. Additionally, revisions to update name changes, to correct typographical errors or to make other revisions of a similarly minor nature can be made at any point at the direction of the LFHC.

In order to provide an ongoing forum for matters related to faculty status, the LFSA shall be convened no less frequently than once a semester during the years between scheduled reviews of this Handbook. Any suggested revisions arising from the Assembly at this time shall be referred to the LFHC. Revisions to the Handbook outside the regular schedule may be initiated by the request of the Provost, the LFHC, or by the vote of a supermajority (67%) of all eligible voting faculty members. The process shall follow the same timeline as a regular review year.

If the President determines that circumstances warrant a revision to this Handbook in absence of the process described above, the President may make such a revision after receiving faculty input from the LFHC and consulting with the chair of the Library Faculty Council (LFC) and the Provost. When the LFHC receives a proposed Handbook revision from the President, it will convene a meeting of the LFSA and provide faculty input to the President within four weeks of receiving the proposed revision. The decision of the President is final.

### 2.1 Library Faculty Status Assembly

Library Faculty Status assembly meetings may be called by the LFHC, the LFC Chair, or by any library faculty member with support of one other library faculty member.



## Chapter 3 Letters of Appointment

Letters of appointment for library faculty generally are issued no later than *May 1 or 10 days after the Spring Board of Trustees meeting* for the succeeding year. Each letter will specify the type of appointment, rank, salary, primary duties of the individual, the term of appointment and any special conditions or considerations such as the amount of previous experience to be credited toward rank or promotion.

Letters of appointment issued to members shall contain the following statement:

This letter of appointment is offered and accepted subject to the applicable provisions of the current Library Faculty Handbook.

Members must sign their letters and return them to the office of the Dean of the Library within thirty (30) calendar days after receiving notification of the terms of an appointment for the coming year. Failure to sign and return the appointment letter by the time period specified may be construed and accepted by the University as resignation (See [Chapter 14.2](#)).

## Chapter 4 Policies on Recruitment and Appointment of Faculty

### 4.1 Recruitment of Ranked Faculty

The quality of initial appointments is so vital to the pursuit of excellence to which both Regis University and the Library are committed that the following statements of practice are deemed important guidelines to professional recruitment:

- a. to maintain an outstanding faculty and to create a professionally challenging atmosphere for the individual, the University is highly selective in making initial appointments; and
- b. those responsible for the recruitment of new faculty members conform to the letter and the spirit of the [equal employment opportunity policies of the University](#).

Requests for additional library faculty members, ranked or unranked, ordinarily originate in the department and are based upon consultation with the ranked faculty of the department. Such requests, with supporting data, are transmitted in writing to the Dean by the department head. If the request is approved, the Dean will communicate this decision in writing and will discuss with the department head pertinent matters such as salary ranges, the means to be used for interviewing prospective candidates, and the recruitment budget.

If the request is denied, the Dean will communicate in writing the reasons for denial, and upon request, will fully discuss them with the ranked faculty of the department. If a satisfactory resolution is not reached, either party may request a review of the decision by the Provost whose decision will be final.

When the Dean identifies the need for an additional faculty member, the reasons will be discussed with the ranked faculty in the department, who must concur with the Dean regarding the specific nature of the department's need before recruitment of a new faculty member is initiated. In the unusual instance where there is a disagreement between the Dean and a department, it may request a review of the decision by the Provost, whose decision will be final.

In most cases, searches for ranked faculty members will involve forming a search committee. Likewise, in most cases, searches for unranked faculty members will not involve a search committee and instead the search will be conducted from within the department.

Faculty members involved in the search have an obligation to review carefully all applications, to participate in discussions related to the recruitment process, and provide feedback on all questions pertaining to the selection of candidates for interview and the selection of the person to be appointed. Faculty members are further obligated to treat all application files and all relevant deliberations as confidential material. If appropriate faculty are not available for consultation, the final decision rests with the department head in consultation with the Dean.

When approval for additional faculty members, ranked or unranked, is obtained, the primary focus of the department or program in screening candidates is on the candidate's librarianship in light of department needs.

The Dean is especially charged with reviewing a candidate's general orientation towards the educational goals of the University.

All participants in the search may obtain consultation or opinions from inside or outside the University.

The search committee chair shall submit to the Dean the vitae and other supporting materials for the candidate recommended as most appropriate for the position by the search committee. If the Dean's review indicates a lack of congruence between the candidate's general educational orientation and the educational goals of the University, the Dean shall discuss the reasons with the search committee and an attempt will be made to resolve the difference of opinion. If no resolution is achieved, the Dean shall direct the search committee to select another candidate.

It is the responsibility of the department head and the Dean to transmit information to the successful applicant about departmental and University standards and policies, using this Handbook as a reference.

When a final candidate is selected, the Dean, in consultation with the department head will determine the amount of prior relevant experience to be recognized as applicable towards rank and promotion and will communicate this information in writing to the candidate, the department head, and the chair of the LCRP (see [7.1.1](#)).

No representative of the University will make commitments to prospective appointees without the written approval of the Dean, who must have approval from the Provost.

## 4.2 Appointment of Ranked Faculty

All appointments of ranked faculty are made by the Provost, on the recommendation of the Dean.

All initial appointments are probationary and are for only one year unless explicitly stated to the contrary in the letter of appointment. The precise terms and conditions of every new appointment will be clearly stated in the initial contract, a copy of which will be put in the individual's personnel file. The rank offered to new faculty members must be in accord with the requirements of that rank and with the policies on promotion.

## 4.3 The Pre-Employment File

The pre-employment file contains all material required or received by the University in connection with the faculty member's original employment. Application materials are retained in Workday; interview notes, assessments, feedback from checking references, etc. that would not necessarily be uploaded into Workday are required to be kept for one year. Prior to appointment, this file will be kept in strictest confidence in the Office of the Dean and will be available for confidential use only by the Provost, the Dean, the Dean's professional staff, the members of the search committee considering the person's application for employment, and the Department of Human Resources. However, for a valid reason, the applicant and the Dean or the Provost may authorize in writing access to their file by a person not indicated above.

Further, the President or Provost or designee may permit access to and copying from such files pursuant to lawful requests of federal or state agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

After appointment, files for the successful candidate that are not of a confidential nature will move into the employment record file; files for unsuccessful candidates shall be retained in the Office of the Dean for a period of at least three months. The remaining material (e.g., letters of recommendation and other confidential material) shall be placed in their academic record file (see [8.4.3](#)).

## **Chapter 5**      **Faculty Rights and Privileges**

### **5.1 Academic Freedom**

Regis University affirms and is guided by the ideal that 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” jointly formulated by the American Association of University Professors and the Association of American Universities as reissued in 1990. Specifically, the following excerpts from the 1940 Statement, as reworded in 1990, define what is meant by academic freedom.

“Institutions of higher education are conducted for the common good and not to further the interests of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.”

“Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries duties correlative with rights.”

“(a) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.”

“(b) “Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.”

“(c) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.”

Regis University also recognizes and affirms the importance of academic freedom in both traditional and electronic formats as described in the 2014 American Association of University Professors document “Academic Freedom and Electronic Communications.”

Academic freedom applies in electronic format, as in print, to activities or statements in a faculty member’s professional or academic expertise. Whereas the rights and responsibilities of citizens apply to activities or statements made by a faculty member that are outside of a faculty member’s expertise.

## 5.2 Faculty Voting

All ranked and unranked members of the library faculty are entitled to a full vote on faculty-wide matters and on the department and program matters of those groups to which they belong in accordance with applicable by-laws or rules established by those groups.

## 5.3 Changes in the Library Program

A proposal to discontinue or change a library department, program, or service not involving the termination of a member will be made in accordance with established governance procedures. The decision for change or discontinuance is subject to the approval of the Provost after consultation with the Dean and the members of the affected department, program or service. (See also [Chapter 14.3.1](#))

## 5.4 Office Facilities

All faculty members will be assigned office space in the library equipped with at least a desk, two chairs, a bookcase, filing cabinet, a computer with word processing capability, an Internet connection, an email account, and access to a telephone. Since some of these offices are semi-private, the Dean or designee will assist in locating suitable private space for meetings of a confidential nature. Provision of computers, email, and Internet access is conditioned upon the faculty member's compliance with the [University's Responsible Use of Technology Resources policy](#) and [Responsible Use of Email](#) policy. These policies shall not be deemed to and shall not be construed in a manner that would infringe the academic freedom rights of faculty per section 5.1.

The University also examines the needs of individual faculty members for personal computer upgrades and replacements, printers and software that are compatible with University-wide information technology support services as explicated in departmental budget requests and/or individual requests and to act favorably on these requests whenever feasible.

These lists are not intended to prevent upgrades in office space or equipment.

## 5.5 Sabbatical Leave

Regis University, recognizing the necessity for faculty to acquire new experiences to enrich their teaching and professional activities or to secure uninterrupted time for research and writing, provides them with sabbatical leaves. The University encourages professional growth and increased competence and productivity among members by subsidizing significant research, creative work, or a program which is judged by the Dean to be of equivalent value, such as some other program of study, or an organized experiential program, or an exchange of responsibilities with faculty at another four-year college or university.

### 5.5.1 Eligibility

Any faculty member with the rank of Associate Professor or higher who has served for six appointment years at Regis University or who has completed six appointment years of service at Regis University since the last sabbatical is eligible for a sabbatical leave. Normally, appointment periods as an unranked faculty member or as a ranked member on a term appointment do not apply. A faculty member is eligible to apply for sabbatical leave during their sixth appointment year, as they are eligible to take sabbatical leave in the following appointment year (their seventh appointment year).

### 5.5.2 Stipend

Stipends for sabbatical leaves for full-time faculty are one (1) semester (16 weeks) or the equivalent amount of time at full salary for the semester or two (2) semesters or the equivalent amount of time at one-half of full salary for the semesters. Stipends for sabbatical for part-time faculty will be

calculated on a pro-rated basis. Normal raises and benefits will not be withheld by reason of the sabbatical leave. Moreover, while the member is on sabbatical leave, both the member and the University will continue to pay their normal full share toward retirement, group life, health, disability insurance, and federal and state programs to the extent permitted by law. While on sabbatical, leave time neither accrues nor is it charged to faculty members.

A member with sabbatical leave may also receive an additional fellowship or grant from an appropriate source for this period. If, when such additional monies are added to the sabbatical stipend minus all expenses related to the sabbatical project, the net shall total more than the member's normal salary, the sabbatical stipend shall be reduced by the amount which exceeds the normal academic salary. Such refunded monies will be made available either for sabbatical purposes by other members in the same year or encumbered and added to the following year's budget for this purpose. In the case of such a refund by a member on sabbatical leave, the University will assure that its normal full share of retirement, group life, health, and disability insurance, and Social Security are paid; it may also bill, if necessary and appropriate, the member for his/her normal share of these items.

### 5.5.3 Application Policies and Procedures

A member must make a formal application for sabbatical leave, using the forms and guidelines provided by the Dean (available in [Appendix C](#)). The application must include a lay person summary as well as a narrative outline of the project to be pursued, a statement showing how it will increase professional competence, value to the University, and how the purposes set forth in the opening paragraph of "Sabbatical Leave" are satisfied. The member must also indicate in writing the qualifications that the member possesses to pursue the proposed project and time since last sabbatical.

These items are submitted to the immediate academic supervisor in sufficient time to permit the general deadlines set forth below to be met. Failure to submit the formal application on time will result in a loss of sabbatical rights for that year.

Inasmuch as the regular full-time staff of the department or program may be expected to absorb the workload of the individual on leave, the immediate academic supervisor, in consultation with the members of the department or program, will prepare a statement, attached to the sabbatical application, showing how this will be accomplished. In cases of a one-semester leave at full pay, or its equivalent, a temporary librarian may be hired to cover some duties; in case of a full appointment year's leave at reduced pay, or its equivalent, or a leave in which the University reduces the sabbatical salary because of outside income as explained in Chapter 5.5.2, a portion of the money saved will be allocated to hire temporary librarians as needed. Normally, no more than one sabbatical per semester will be granted within a single department. Departments are advised to plan their sabbatical applications in ways that stagger sabbatical leaves.

The original application, the immediate academic supervisor's evaluation and recommendation, and the statement of the academic unit's plans referred to above will be submitted to the Dean no later than October 1, of the year preceding the year for which the sabbatical application is made. The Dean is responsible for rejecting applications that do not meet the criteria set forth in this section and for ordering the remainder in terms of precedence. If all applications are of comparable quality, the order of selection will be determined by seniority based, in order, upon years of library service at Regis University, years since last sabbatical, and academic rank. The Dean may, for good reasons stated in writing, select one applicant over another regardless of seniority.

By January 15, the Dean will simultaneously inform, in writing, the applicant, the immediate academic supervisor, and the Chairperson of the LCRP of the approval or disapproval, for stated cause, of the application.

#### 5.5.4 Obligations of Sabbatical Recipients

The recipient of a sabbatical leave incurs these obligations:

- a. to make every reasonable effort to fulfill the terms of the sabbatical;
- b. to return to the University for a minimum of one year of service following the completion of the sabbatical leave; and
- c. to file a detailed written report on the results of the sabbatical with the immediate academic supervisor, the Dean, and the Chairperson of the LCRP within ninety (90) calendar days after the beginning of the semester following the sabbatical leave. By agreement with the Committee and the Dean, such reports may be made orally to a group of interested librarians, faculty and students.

#### 5.5.5 Additional Information

Time toward each new sabbatical begins with the appointment year immediately following the appointment year in which the sabbatical was taken or would have been taken in the case where a sabbatical was not awarded or application was delayed, provided the member has returned to regular service. Delay of a sabbatical does not delay eligibility for the next sabbatical.

Time on sabbatical leave counts toward promotion in rank, unless the member and Regis University agree in writing to waive this provision at the time the leave is granted.

### 5.6 Faculty Development

Regis University encourages the professional development of the ranked library faculty by providing financial assistance. A partial listing of these programs with a brief description follows.

#### 5.6.1 Professional Travel Expenses

Regis University supports the members of its library faculty who wish to attend meetings of learned or professional societies as a means of keeping abreast of and contributing to their fields. The University encourages this professional development by providing financial support for such activities. Library faculty will submit travel requests to their department head. All requests will be examined by the Dean who, in consultation with the department heads, will ensure that travel grants are distributed in an equitable manner.

#### 5.6.2 Other Support for Research and Other Professional Activities

Whenever possible, Regis University will make available, at no cost, to members engaged in research and writing, a private room to use for research-related activities. Requests for rooms are directed to the Dean of the Library or designee who will make arrangements with the appropriate University officers.

To encourage members to seek and to accept grants from outside agencies such as the National Endowment for the Humanities or the National Science Foundation, Regis University will make up the difference between an outside grant and the salary a member would make had the grant not been accepted. While the member is receiving benefits from the grant, the University will also continue to provide all fringe benefits it would normally provide had the grant not been accepted.

## Chapter 6 Faculty Duties and Responsibilities

Membership in the academic profession carries with it responsibilities for the advancement of knowledge, the intellectual growth of students, and the improvement of society. Members are expected to model for



students exemplary citizenship, scholarship, and service. All faculty members must order and evaluate their activities in terms of commitment to these goals, as well as in terms of their own personal and professional development. To that end, faculty are encouraged to design a professional development plan and scholarly agenda. The plan is intended to help direct the faculty member's own professional growth by working with others to further the vision and goal to affect student learning. The plan should include faculty goals for professional effectiveness, research, and service.

Moreover, all members of the faculty of Regis University have a special obligation to understand the nature of this institution of higher learning, and to appreciate its unique characteristics and its philosophy and objectives. Faculty members should want to be associated with such an institution and should strive to improve the intellectual and practical effectiveness of the University by willing and thoughtful participation in its governance.

As an educational institution, Regis University does not wish to impose a rigid body of codified rules upon the members of its faculty. The University does, however, have certain legitimate expectations concerning the conduct of professional academics. The following statements outline in a general way the obligations incumbent on faculty members of Regis University.

## 6.1 Professional Ethics

The American Library Association "Code of Ethics" shall be understood to be compatible with the distinctive history, traditions, and mission of Regis University and applies to all library faculty. The code is reproduced below and available on the [ALA website](#).

### ALA Code of Ethics

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

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

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

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

1. We provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.
2. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.
3. We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted.
4. We respect intellectual property rights and advocate balance between the interests of information users and rights holders.
5. We treat co-workers and other colleagues with respect, fairness, and good faith, and advocate conditions of employment that safeguard the rights and welfare of all employees of our institutions.
6. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.

7. We distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources.
8. We strive for excellence in the profession by maintaining and enhancing our own knowledge and skills, by encouraging the professional development of co-workers, and by fostering the aspirations of potential members of the profession.
9. We affirm the inherent dignity and rights of every person. We work to recognize and dismantle systemic and individual biases; to confront inequity and oppression; to enhance diversity and inclusion; and to advance racial and social justice in our libraries, communities, profession, and associations through awareness, advocacy, education, collaboration, services, and allocation of resources and spaces.

Adopted at the 1939 Midwinter Meeting by the ALA Council; amended June 30, 1981; June 28, 1995; January 22, 2008; and June 29, 2021.

## 6.2 Librarian Workload

The librarian's primary responsibilities are to fulfil the conditions of employment delineated in their job description and to ensure that library services provided to the University are of the highest quality possible. Individual job descriptions are reviewed as deemed appropriate by the Dean of the Library, the department head or the librarian, and, if appropriate, revised by the Dean of the Library or department head in consultation with the librarian.

Regis University desires to assure equity in the distribution of assignments. An unduly heavy workload can impair a librarian's effectiveness in their areas of primary responsibility. An unduly light load deprives the University of services that should be rendered by a librarian and inflicts an unjust burden upon other library faculty. Since any adequate definition of librarian workload should take into account the whole spectrum of a librarian's professional and institutional services, it is difficult to establish a policy that applies to all library faculty.

The workload for which each Regis University librarian contracts in a given year is composed of a variety of activities and responsibilities that are set forth in the individual's job description. These activities are essential to the life and quality of an academic community. It is crucial that there be the closest possible link between these activities and the evaluation of the performance of the individual library faculty for probationary promotion track employment, and for promotion in rank.

The main elements that form the basis for library faculty workload include, in order of priority, two areas:

- a. Professional duties (such as collection development, reference service, media service, bibliographic organization and control, library instruction, development and evaluation of delivery systems, monitoring and adopting new information technologies, supervision of staff, and management of departments and budgets, as appropriate) are the most important activities of library faculty.

Because of the relatively small number of library faculty, each librarian is involved in long-range planning for the library. Each librarian must have knowledge of national standards and practices of librarianship and help assess how the Regis University Library will conform. Their work will take the non-routine problem and develop solutions that take into account the guidance and wisdom of the profession by developing standards, patterns, and finding tools. It is required that each librarian understand and seek to conform library resources and services to meet the educational mission of the University, the evolving curricula of the various academic programs, the learning styles of the various student groups, and the curricular and research needs of the schools and faculties of the University.

Each librarian will be an active participant in library faculty meetings and other library meetings and committees, other academic committees of Regis College, the Anderson College of Business and



Computing, the Rueckert-Hartman College for Health Professions, and the faculty meetings of these academic units of the University. The Dean of the Library will work with the library faculty to ensure that the committee involvements of the library faculty are evenly distributed among the academic units of the University.

- b. Supplemental duties include service to the University, the student body, and the community, research and professional activities, and professional development activities.

### 6.2.1 Librarian Availability and Presence

It is essential that library faculty are responsive to the needs of students and teaching faculty. Librarians should meet the requirements of their roles and responsibilities, participate with faculty groups, and serve on assigned committees, task forces, faculty teams, and staff service points as needed in their department. While many of these require on-campus presence, librarians may also have responsibilities such as research, scholarship, or professional development where the faculty member would benefit from the ability to work remotely for personal or professional reasons. The amount of time for remote work (whether regular or ad hoc) should be determined by the librarian and their department head, based on the needs of the librarian, the department, and the library as a whole.

## 6.3 Faculty Department Heads in the Library

Library department heads carry additional responsibilities beyond those of other staff and faculty. As members of the leadership team, they have the special obligation to build and maintain strong departments that interact productively across the library.

### 6.3.1 Duties and Responsibilities

Duties and responsibilities related to the specific department supervised are set forth largely in the pertinent job descriptions. If not already stated in the job description of a department head, additional duties will include:

- a. providing leadership by example in fostering a strong collegial work environment within the Regis University Library;
- b. supervising the duties and responsibilities of all members of the department, including student workers and volunteers if applicable;
- c. coordinating the workload of the department to ensure an equitable distribution among department members;
- d. with the support of the Dean's Office, as needed, recruiting of new faculty and staff;
- e. acquainting new faculty and staff members with departmental and University policies and procedures;
- f. encouraging the active participation in professional development and staff development opportunities;
- g. preparing, in consultation with departmental faculty and staff, departmental objectives, descriptions and revisions of ongoing projects and programs of the department;
- h. preparing, in consultation with members of the department, the Dean and other department heads, the yearly Regis University Library budget and supervising the implementation of the budget;
- i. planning the human and material resources of the department to best support the mission of the library and Regis University and conducting evaluations of the productivity of the department
- j. supervising, in conjunction with the Dean or designee, the material resources, and other facilities of the department;
- k. preparing and submitting monthly reports on the activities and developments of the department;
- l. attending all regularly scheduled Department Heads meetings and serving as liaison between the Dean of the Library and the department;

- m. scheduling department meetings;
- n. maintaining a file of departmental records; and
- o. evaluating complaints from or about department members and handling them in accordance with department and University procedures.

### 6.3.2 Evaluation of Administrative Responsibilities

Evaluation of administrative responsibilities occurs on an annual basis every May. Members of each department will receive an online form to evaluate the supervisor on communication and interpersonal skills, leadership, management, and valuing diversity. In addition, there is space to provide additional feedback. The form is anonymous, and all members of the department are encouraged to complete the evaluation. The Dean of the Library, as the supervisor of the department head, will compile the responses and discuss them individually with the department head. When necessary, action plans will be created with the department head.

## 6.4 Other Responsibilities to the University

Regis University can function effectively only if its faculty members participate actively in University governance. Faculty members must be willing to attend meetings, contribute their ideas and experience during the decision-making process, and shoulder their fair share of the work.

### 6.4.1 Faculty Responsibilities to the Department

The faculty member's first line of administrative responsibility is to her/his department. The faculty member should, therefore, maintain regular communication with all members of the department and perform any duties assigned. All members are expected to attend department meetings and to participate actively in the work of the department.

### 6.4.2 Faculty Responsibilities to the University

All faculty members are expected to serve at some time on University or faculty committees and to assume other assignments such as serving as an advisor to a student group, representing the library to a university-wide task force, or special assignments such as assisting with accreditation.

#### 6.4.2.1 Attendance at Program-wide and University-wide Academic Functions

Members of the faculty are expected to attend academic functions at which the presence of the faculty is explicitly requested. As a courtesy, the faculty member should notify the Dean when it is necessary to be absent.

#### 6.4.2.2 Attendance at Faculty Meetings

Library faculty members are expected to attend all regularly scheduled meetings of the Library Faculty Council.

## 6.5 Election of Library Standing Committees

The LFC shall conduct elections for standing committees including, but not limited to: the LFHC, the LCRP, the Review Committee, and all library committee and liaison positions assigned by the LFC. Elections shall occur at the May meeting of the Library Faculty Council.

## 6.6 Professional Growth and Development

It is essential that faculty members be considered expert and competent professionals in their given academic fields. It is incumbent on each faculty member to maintain this competence by keeping abreast of the developments in the primary field and in other fields related to it.

There are various ways of maintaining growth and development, and each faculty member must find appropriate ways. Reading current books, monographs, and professional journals are obvious ways of improving. Other possibilities include: participation in conferences and institutes; grants and fellowships; assisting the library in improving collections in a given field; occasionally teaching courses at another university; travel; and taking graduate courses at other universities. Teaching improvement activities, research, and consulting are still other avenues for growth.

Continued growth and development help keep faculty members concerned about the vitality of their courses and should be evidenced in the content of these courses and the quality of teaching. Moreover, faculty members who are aware of new developments in their areas and new teaching techniques are better able to assist their colleagues in curriculum development and improvement.

### 6.6.1 Research

Regis University recognizes that in higher education both professional librarianship and scholarship are essential to a vigorous institution and a sound curriculum.

A faculty member conducting or supervising research with animal or human subjects will adhere to the applicable federal and state regulations and to the ethical standards established for such work. A copy of these regulations and standards is to be available in the office of the affected department or program.

Regis University recognizes that every research investigation does not necessarily result in publishable material. The results of scholarly research can be shared with the academic community not only in writing and publication, but also by oral presentation to professional groups, both on or off campus. Nevertheless, publication, wherever appropriate and possible, is encouraged and recognized.

### 6.6.2 Consulting

Consulting work in education, government, or business may be a valuable experience promoting professional growth and development. The work done, however, must be of a professional character commensurate with the individual's capabilities, experience and status. Insofar as consulting work is most often akin to outside employment, the faculty member is bound by the provisions set forth in Chapter [6.2](#) and [6.6](#). There is not a reduction in load for engaging in consulting work unless the work is for Regis University or such arrangements have been mutually agreed to by the faculty member, the department head, and the Dean.

### 6.6.3 Community Service

Regis University recognizes that its faculty members are professionals with unique and varied capabilities that permit them to make useful contributions to the larger social communities of which they are members. The University encourages faculty members to accept individually their responsibility to support those activities in which they can make a contribution. This does not replace the faculty member's obligation for service to the University.

## 6.7 Non-Contractual Activities

Outside employment is considered employment that is outside of the faculty member's primary position with Regis University. Outside employment, business interests, or consulting activities must not diminish a faculty member's effectiveness as a member of the University community; it must be clearly subordinate to the individual's University duties and must be held to a minimum during the appointment year.

Faculty members shall inform the Dean in writing of any anticipated outside employment, business interests and/or consulting activities outside the University at the beginning of each appointment year on a form provided by the Dean. If such employment, interests or activities change during the course of the

appointment year, the faculty member shall notify the Dean in writing using the form provided. This provision shall not mitigate the professional responsibilities of a faculty member addressed in this Handbook. If, in the judgment of the Dean, a faculty member's planned outside employment, business interests or consulting activities diminish the faculty member's obligations to the University, the Dean may, after consultation with the faculty member and the immediate academic supervisor, limit the faculty member's involvement in other activities in or outside the University.

## 6.8 Adherence to University Regulations

The responsibility to adhere to University regulations is self-evident. An organization can operate effectively and consistently only if the policies and rules that guide it are followed by its members. Such regulations include, but are not limited to, [University policies](#) regarding intellectual property, copyrighted material, sexual or civil rights harassment/infringement, non-discrimination, conflicts of interest, and responsible use of information technology. Faculty will be notified of all changes in policies that affect them.

# Chapter 7 Academic Ranks and Titles

## 7.1 Definitions of Academic Ranks and Titles

### 7.1.1 The Ranked Library Faculty

A ranked librarian is a full-time or part-time employee of Regis University who has been appointed to one of the four academic ranks: Instructor, Assistant Professor, Associate Professor, or Professor.

Such a person:

- a. is a librarian with .75 FTE or higher;
- b. fulfills the duties and responsibilities of a library faculty member as specified in [Chapter 6.2](#); and
- c. meets or exceeds the criteria for academic rank as detailed below.

Whenever a decision is necessary on whether an individual has the equivalent of the degree required for a particular rank, the Dean of the Library will make this decision. Written copies of the decision will be provided to the individual involved and the LCRP.

The Director of the Writing Center and Tutoring Services has faculty status. Since the Director of the Writing Center and Tutoring Services reports directly to the Dean of the Library, this position falls within the jurisdiction of the Library Faculty Handbook. As such, any reference to librarian or department head within the handbook should be extended to the Director of the Writing Center and Tutoring Services.

#### 7.1.1.1 Instructor

Criteria for this rank are:

- a. possession of an M.L.I.S. degree from an American Library Association (ALA) accredited graduate program or an appropriate master's degree from an accredited graduate program or evidence of substantial progress toward the M.L.I.S. with the understanding that the degree will be obtained before further advancement; and
- b. either proven or presumptive potential for satisfactorily fulfilling the duties and responsibilities of a librarian.

#### 7.1.1.2 Assistant Professor

Criteria for this rank are:

- a. possession of an M.L.I.S. from an American Library Association (ALA) accredited graduate program or an appropriate master's degree from an accredited graduate program; and
- b. three years of full-time librarianship in a regionally accredited college or university (or its equivalent as specified in [Chapter 9.2.2](#)); and
- c. either proven or presumptive potential for satisfactorily fulfilling the duties and responsibilities of a librarian.

#### 7.1.1.3 Associate Professor

Criteria for this rank are:

- a. possession of an M.L.I.S. degree from an American Library Association (ALA) accredited graduate program or an appropriate master's degree from an accredited graduate program; and
- b. a minimum of six years of full-time, ranked librarianship in a regionally accredited college or university (or its equivalent as specified in [Chapter 9.2.2](#)) or a minimum of five years of full-time librarianship at the rank of Assistant Professor (see [Chapter 9.2.2](#)).

#### 7.1.1.4 Professor

Criteria for this rank are:

- a. possession of an M.L.I.S. degree from an American Library Association (ALA) accredited graduate program or an appropriate master's degree from an accredited graduate program; and
- b. a minimum of twelve years of full-time ranked librarianship in a regionally accredited college or university (or its equivalent as specified in [Chapter 9.2.2](#)) or a minimum of six years of full-time librarianship at the rank of Associate Professor (see [Chapter 9.2.2](#)).

### 7.1.2 Professor Emeritus/Emerita

This rank may be awarded to ranked faculty who have voluntarily limited or terminated their responsibilities as a faculty member after ten or more years of distinguished service to the University. A Professor Emeritus/Emerita is so designated and appointed by the President or Provost.

A Professor Emeritus/Emerita is accorded the privileges of the regular, ranked faculty, and is accorded those privileges specified in [Chapter 14.6.1](#) for Professor Emeritus/Emerita. The person's name is recorded at this rank in the [University Bulletin](#) for life.

No compensation accrues by virtue of this rank unless, by mutual agreement among the department or program, the Dean, and the individual, a part-time appointment to teach or to perform other duties is offered. In such cases, supplementary benefits, if any, will be set forth in the appointment.

### 7.1.3 Professor Alumnus/Alumna

Any faculty member with ten or more years of service at Regis University who voluntarily leaves employment with the University under the terms of the mid-career redirection program as specified in [Chapter 14.8](#) will be assigned the honorary title of Professor Alumnus/Alumna.

No compensation accrues by virtue of this rank unless, by mutual agreement between the department or program, the Dean, and individual, a part-time appointment to teach or to perform

other duties is offered. In such cases, supplementary benefits, if any, will be set forth in the appointment.

## 7.2 Administrative Officers and Academic Rank

Persons who are full-time employees of Regis University and who hold academic or non-academic administrative positions may be granted academic rank in the University. If a library administrator wishes to pursue an academic rank, they shall consult with the Provost and the LCRP to determine the appropriate conditions for receiving and maintaining ranked status.

## Chapter 8 Policies and Procedures on Review and Reappointment

Except in cases of awarding promotion, reappointment is a decision made by the Provost and the Dean with the approval of the President. This decision is based on a judgment of whether the individual meets the criteria established in Chapters [7.1](#) and [9.1.1](#) for the rank held, which judgment is made by the LCRP (according to the procedures established below) and approved by the President and a judgment regarding the individual's general commitment to and respect for the University's educational goals, which judgment is made by the Dean in consultation with the department chairperson or program director, and approved by the President.

Tenure track is not available to library faculty. Instead, Regis University may offer multi-year appointments of three and five years to members of the library faculty. The first and one subsequent appointment are considered probationary and are usually made for one year each. If faculty performance is satisfactory, a three-year appointment may be made. After two three-year appointments, a five-year appointment may be made for faculty at the rank of associate professor or professor. A multi-year appointment is made at the time of initial hiring only in exceptional circumstances as determined by the Dean with the approval of the Provost, after a recommendation from the department head.

The process of review at Regis University is seen as a means by which all members of the academic community can obtain constructive and balanced information which will enable them to better fulfill their academic responsibilities.

### 8.1 General Procedures for Review of the Regis Library Faculty

The following procedures enable students, supervisors, faculty peers, and the Dean to evaluate the Regis Library faculty.

By April 7, the LCRP will send a notice to the Dean and each department head showing where each faculty member under the Dean's supervision is with respect to rank and promotion. By June 15, the Chairperson of the LCRP will send each ranked faculty member who is due for a review a copy of the appropriate faculty self-evaluation form.

Each June, the LCRP shall hold an open meeting to answer questions about general expectations for performance levels required for rank and promotion.

Faculty members at the rank of instructor or assistant professor must submit the completed self-evaluation form and attachments to their immediate academic supervisor by September 21. Faculty members at the rank of associate professor or professor must submit the completed self-evaluation form and attachments to their immediate academic supervisor by November 15.

The immediate academic supervisor will prepare an evaluation of the individual's total professional development on a form provided by the LCRP. This form will have space for the supervisor to evaluate the faculty member's performance on each of the criteria in [Chapter 9](#). The faculty member's evaluation shall be completed by their immediate academic supervisor for the appointment year under evaluation. If, at the time the faculty member's evaluation is submitted, the immediate academic supervisor has changed, the previous and current supervisors shall meet to discuss the evaluation as well as the ongoing supervisory relationship with the faculty member up to this point. If the immediate academic supervisor for the appointment year under evaluation ceases employment with Regis University and will not complete the faculty member's evaluation prior to deadline set by the LCRP, the new academic supervisor shall complete this evaluation.

Both the self-evaluation and the supervisor's evaluation must include, if warranted, an assessment of areas to be corrected and/or improved. Following the third year of professional service the supervisor will specifically state their assessment of the faculty member's current performance level and recommend any needed improvement in preparation for promotion.

The supervisor will forward their written evaluation, along with the individual's self-evaluation form and any supporting documents, to the Chairperson of the LCRP by October 21 for promotion track faculty and by November 30 for post-tenure/post-associate faculty.

In order to judge fairly the professional development of each faculty member, supervisors should obtain pertinent information about a faculty member's academic performance from a variety of sources, including:

- a. the faculty member's self-evaluation form and (if applicable) student evaluations;
- b. information from other members of the department and other library colleagues, particularly from those who have taught with or observed the teaching of the faculty member;
- c. first-hand information about the professional effectiveness of the faculty member.

The data obtained must be incorporated into the supervisor's written evaluation and a copy of the evaluation must be given to the individual concerned and discussed with the faculty member in such a way that confidentiality is maintained and the information is helpful to the faculty member. This discussion must take place before the submission of the evaluation to the LCRP. At the time of this discussion, the faculty member must sign the form to confirm that s/he has had an opportunity to review the evaluation. Following this discussion, the faculty member will have until October 28 for promotion track faculty and by December 7 for post-tenure/post-associate faculty to submit any clarifying comments regarding the evaluation to the Committee, with a copy to the supervisor or special academic evaluator.

Also by October 7, the Dean will notify the LCRP of any material in a faculty member's personnel file that is identified as appropriate and/or necessary for them to take into account in their deliberations. The LCRP will first determine if the material it receives on each faculty member is complete and will not consider it complete unless all pertinent information is available. If any material is absent, the Committee will so inform the source and

- a. may accept a written explanation of the absence from the source in lieu of the material;
- b. if the source is a supervisor and more complete information is not forthcoming by a date set by the Committee, the Committee shall ask the Dean, or the Provost if the supervisor is the Dean, to substitute for the supervisor and the Committee shall have the option of placing a note of noncompliance in the supervisor's personnel file; and
- c. if the source is the faculty member, may refuse to evaluate the material if it is not complete and may put a note of noncompliance in the faculty member's personnel file.

The Committee may request such additional information or evaluations as it deems desirable, in whatever form it deems appropriate, from persons internal or external to Regis University. The Committee then will collate and evaluate the material it receives and will evaluate each faculty member's performance on each of the criteria in [Chapter 9](#).



The Committee will submit its recommendations and evaluations along with summaries of the applicable student evaluations, the self-evaluation, the supervisor's or special academic evaluator's evaluation, and other pertinent material submitted to or obtained by the Committee, to the Provost and the Dean by January 31 for promotion track faculty, or by February 28 for post-tenure/post-associate faculty. However, the Committee may defer its recommendation in specific cases until a later date if it is awaiting receipt of additional information deemed necessary to its deliberations.

## 8.2 Procedures Relative to the Annual Review of Promotion Track Faculty

Generally, a library faculty member hired by January 31<sup>st</sup> will submit their first self-evaluation the following September. The LCRP, beginning in the faculty member's second year, will review the status of each promotion track faculty member annually. By December 1 during the second year and by January 31 during or after the third year of professional service, using the guidelines published in this Handbook, the Committee will evaluate each faculty member's progress toward rank and promotion and will communicate its findings and any relevant suggestions to the Dean. Following the third year of professional service the supervisor will specifically state their assessment of the faculty member's current performance level and recommend any needed improvement in preparation for promotion. The Committee's evaluation and recommendation will be reviewed by the Dean and, if the Dean considers necessary, legal counsel for the University. If any potential legal problems are identified by the Dean and/or legal counsel, these will be brought to the Committee by the Dean. The Committee will rewrite the evaluation and/or recommendation in order to eliminate the potential legal problems without changing the substance of the Committee's original evaluation and/or recommendation. No later than two weeks after completing the final report, the Committee will send it in its entirety to the faculty member under review, the Provost, the Dean, and the immediate academic supervisor.

By December 1, the Dean will prepare a separate evaluation and recommendation on each faculty member and will forward a copy of it in its entirety to the faculty member, the immediate academic supervisor, the Committee, and the Provost. The faculty member may submit a written reply to the Dean if the faculty member believes there are substantive errors in an evaluation. The Dean will send the faculty member's reply to the Committee and to the immediate academic supervisor and the Provost.

If a decision is made that promotion is not to be granted to a promotion track faculty member, notice must be given by the President or Provost as early as possible, and at least by the dates specified in [Chapter 14.1](#).

## 8.3 Review of Tenured/Post-Associate Faculty

Post-Associate faculty on a three-year appointment are evaluated by the LCRP every third year with the proviso that the Dean and/or the immediate academic supervisor may require more frequent reviews if s/he believes it necessary. Faculty members having appointments with tenure, or who have obtained the rank of Associate Professor and are on a five year appointment, are evaluated by the LCRP every fifth year with the proviso that the Dean and/or the immediate academic supervisor may require more frequent reviews if s/he believes it necessary. Tenured/Post-Associate faculty who wish more frequent review as part of their preparation for application for promotion to a higher rank may also request it.

If a Tenured/Post-Associate faculty member receives a performance ranking that is below the minimum level required to achieve his or her current rank, the Committee on Rank & Promotion may recommend to the faculty member's immediate supervisor that a special evaluation be performed in the next appointment year.

If performance issues arise between regularly scheduled reviews, the faculty member and supervisor are encouraged to find solutions at the earliest opportunity. If a satisfactory resolution cannot be found, either party may request a special evaluation to be performed in the next appointment year.



## 8.4 Personnel Files

It is essential that there be adequate and detailed documentation to support actions involving each individual, especially those actions pertaining to appointment, promotion, disciplinary action, termination and dismissal. The University maintains official personnel files for each faculty member in both the Office of Human Resources and the Office of the Dean. The Office of the Dean shall maintain both an employment record file and an academic record file for each faculty member.

Neither the University nor the member shall place anonymous letters or complaints in a personnel file.

No letter of commendation or complaint shall be placed in a file without notification to both the faculty member and the Dean.

Members shall have access to their personnel files during regular office hours. A member may obtain copies of any material in their personnel files.

Personnel files are confidential and will normally be available only to the individuals indicated below. However, for a valid reason, the faculty member may authorize in writing access to their file by a person not indicated below. Further, the President or Provost or designee may permit access to and copying from such files pursuant to internal grievances or lawful requests of federal or state agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

### 8.4.1 Human Resource File

Documentation held by the Department of Human Resources are subject to the held in accordance with the Human Resources Policy Manual, Section 8.1-8.5.

### 8.4.2 The Employment Record File

The employment record file housed in the Office of the Dean will include, but not be limited to, the following:

- a. information not of a confidential nature transferred from the pre-employment file (see [4.3](#));
- b. documents showing the history of the member's work assignments and compensation and copies of the faculty member's letters of appointment;
- c. correspondence related to the member's employment;
- d. other documents related to the member's employment status at the University;
- e. member responses to the above, if any.
- f. records pertaining to disciplinary action or records pertaining to corrective measures taken by a member resulting from disciplinary action;
- g. documentation of final actions on grievances relating to the member's performance or disciplinary action;
- h. information relating to the faculty member's academic and professional accomplishments submitted by or placed in the file at the request of the faculty member.

This file is available to the Dean, the President and the Provost and their professional staffs, the immediate academic supervisor, the individual faculty member, the LCRP, and the Department of Human Resources.

### 8.4.3 The Academic Record File

The academic record file housed in the Office of the Dean will include, but not be limited to, the following:

- a. information relating to the faculty member's academic and professional accomplishments submitted by or placed in the file at the request of the faculty member;

- b. summaries of student evaluations (if applicable), copies of ratings and evaluations of the faculty member's professional performance made by supervisors and the LCRP, and the formal recommendations of the faculty member's supervisor(s) and the LCRP;
- c. documentation of faculty workload and evaluations relating to promotion, tenure, retention, and contractual obligations;
- d. all documents included in the promotion and/or tenure file;
- e. documentation of commendations, awards, and/or honors;
- f. summaries of submitted proposals, notices of awarded grants and contracts, and summaries of donations or gifts received;
- g. other documents relevant to the faculty member's academic record at the University; and
- h. member responses to the above, if any.

This file is available only to the Dean, the President and the Provost and their professional staffs, the immediate academic supervisor, the individual faculty member, and the LCRP.

## 8.5 Extension of Deadlines

If all parties to the review process of an individual agree in writing in advance, these deadlines can be extended. If deadlines or extended deadlines are not met by the candidate, the review will not be performed that year and a note of noncompliance will be placed in the faculty member's personnel file. The faculty member may place a note in their file explaining the reason for the tardiness. If major deadlines are not met by the supervisor or special academic evaluator, the Committee, or the Dean, (or the Provost if the Committee has missed a major deadline) will take whatever steps seem appropriate to guarantee that subsequent deadlines are met.

## Chapter 9 Policies and Procedures on Promotion

Regis University has a responsibility to improve its academic stature. This improvement calls for rigor in the application of evaluation criteria in the promotion process. However, the University recognizes that no faculty member can simultaneously engage successfully in activities in all of the areas listed below. Therefore, the faculty member seeking promotion should make long-range plans to address these criteria in planning professional goals since the LCRP, in evaluating a faculty member, will assess performance in these areas over a period of time.

As of June 30, 2013, tenure track appointments are no longer available for new library faculty appointees. Faculty currently holding tenured appointments will retain tenure until their separation from Regis University. See the 2012 edition of the Library Faculty Handbook for issues pertaining to tenure for librarians.

### 9.1 General Criteria for Promotion

Promotions are made on the basis of the fulfillment of the qualifications discussed in this section and in Chapter 6.3 if it applies. See also the discussion of faculty workload in [Chapter 6.2](#).

In addition to such minimum standards as possession of the appropriate degree and serving stated time in rank prior to promotion, decisions to advance faculty in rank will be based primarily on and professional effectiveness in librarianship, research and creative works, and service to the University, including service to the student body.

A faculty member appointed to the rank of Instructor must, by the end of the fourth year at that rank, obtain promotion to the rank of Assistant Professor or the fifth year at the rank of Instructor will be terminal. A faculty member at the rank of Assistant Professor, in consultation with their immediate academic supervisor, must apply for promotion to Associate Professor no later than during the fifth year of their appointment at

the Assistant Professor rank at Regis. If a decision on promotion to Associate Professor is negative, the appointment for the following year will be terminal.

The initial responsibility of applying for advancement in rank and the burden of proof for the advancement rests with the individual faculty member, subject to the procedures set forth in this Chapter. The department head, the Dean, and the LCRP also may initiate promotion applications. If a faculty member is nominated for promotion, the choice of whether this nomination becomes a formal application will reside with the nominee. If the nominee chooses for this nomination to become a formal application, then the nominator and the nominee are mutually responsible for providing all the necessary materials by the appropriate deadlines.

Applications for advancement in rank must be accompanied by a recommendation from the individual faculty member's immediate academic supervisor. Actions initiated by the LCRP do not require a supervisor's recommendation.

The definitions and criteria set forth in this Chapter and in [Chapter 7.1](#) should be used by the individual faculty member in preparing the annual self-evaluation form, by the immediate academic supervisor in evaluating a faculty member, and by the LCRP in its deliberations. No faculty member is entitled to promotion solely because of length of service. Further, the level of performance and the relative weighing of the criteria depend on the rank for which the faculty member is being considered.

Normally, outside reviews are not necessary for evaluations for promotion. When a member applies for promotion to the rank of Associate Professor or Professor, either the member, the LCRP, or the Dean may require an outside review. If an outside review is required, the applicant will provide the LCRP with a list of names of potential external reviewers with which both the Dean and the applicant agree. Addition of any name(s) to the list by the LCRP requires the approval of both the applicant and the Dean. If the Dean and the applicant cannot agree, each will submit three names to the LCRP, and the Committee will make the selection. The LCRP will select the outside reviewer from this final list and will furnish the outside reviewer with the LCRP's guidelines and representative examples of the candidate's professional and/or scholarly work. The costs of the review require prior approval of the Dean and will be borne by the University. The Chairperson of the LCRP will provide copies of the results of the outside review to the applicant and the Dean.

## 9.1.1 Performance Requirements for Faculty Ranks

### 9.1.1.1 Assistant Professor

Promotion to Assistant Professor requires that the candidate provide evidence of meeting at least the minimum education, professional experience, scholarship, and potential for fulfillment of the duties and responsibilities of a faculty librarian as set forth in the description of this rank in [Chapter 7.1.1.2](#).

### 9.1.1.2 Associate Professor

Promotion to Associate Professor requires that the candidate provide evidence of:

- a. accomplished professional effectiveness (see [Chapter 9.2.3](#));
- b. noteworthy research, creative work, and professional activities (see [Chapter 9.2.4](#)); and
- c. noteworthy service to the University, including service to the student body (see [Chapter 9.2.5](#)).

### 9.1.1.3 Professor

In addition to the general requirements, promotion to Professor requires evidence of outstanding performance in one of the following areas and accomplished performance in the other two areas:

- a. professional effectiveness (see [Chapter 9.2.3](#));

- b. Research, creative work, and professional activities (see [Chapter 9.2.4](#)); and
- c. service to the University, including the student body (see [Chapter 9.2.5](#)).

A librarian intending to apply for the rank of Professor must notify their supervisor in writing one year in advance of the application deadline of September 21 and the librarian should discuss their preparation for promotion with the supervisor at this time.

In preparation for application for the rank of Professor, it is recommended that a faculty member either apply for promotion a year or two after a regularly scheduled evaluation in which the faculty member clearly stated their intention to apply for promotion or request a special evaluation in which the faculty member should clearly state their intention to apply for promotion a year or two before application for the rank of Professor. If an application for promotion to the rank of Professor is denied, the faculty member may not reapply for a minimum of two years.

## 9.2 Specific Criteria for Promotion

### 9.2.1 Education Required for Promotion

For library faculty, the normal, minimum education requirement for promotion to Assistant Professor, Associate Professor, or Professor is possession of an M.L.I.S. from an ALA accredited graduate program, or an appropriate master's degree from a graduate institution of recognized standing. M.L.I.S.

### 9.2.2 Experience Required for Promotion

The minimum professional library experience required for each rank is (see also [Chapter 7.1.1](#)):

- a. at least three years for promotion to Assistant Professor;
- b. either six years total or a minimum of five years librarianship at the rank of Assistant Professor for promotion to Associate Professor; or
- c. either twelve years total or a minimum of six years librarianship at the rank of Associate Professor for promotion to Professor.

Deviation from these minima must be fully justified by the party initiating the request for early promotion, and the LCRP must concur with the justification.

A year of ranked professional experience means that an individual has fulfilled the duties and responsibilities of a ranked library faculty member for a full appointment year (generally Aug 1 to July 31).

Librarians may apply for promotion during the appointment year before they will be eligible to be promoted, so that they are able to be promoted at the beginning of the next appointment year, at the earliest opportunity. For example, if a librarian is applying for promotion to Assistant Professor from Instructor (with no additional years granted), they become eligible for promotion at the beginning of their 4<sup>th</sup> year of service thus they would apply in their 3<sup>rd</sup> year of employment. Librarians may see more details and examples in the faculty schedule from the LCRP.

A year of ranked professional service at any regionally accredited college or university is equivalent to a year of ranked professional service at Regis University, with the proviso that a minimum amount of service at Regis University is normally required before promotion to the next rank as follows:

- a. for promotion to the rank of Associate Professor, a minimum of two years' experience at Regis University at the rank of Assistant Professor; and
- b. for promotion to the rank of Professor, a minimum of three years' experience at Regis University at the rank of Associate Professor.

Full-time professional experience in other relevant settings may be counted toward promotion provided that the amount of credit has been agreed upon by the librarian and the Dean of the Library at the time of the initial appointment.

Part-time professional experience at a regionally accredited college or university or in other relevant settings may be counted toward promotion on a pro rata basis provided that the amount of credit has been agreed upon by the librarian and the Dean of the Library at the time of the initial appointment.

In considering faculty for promotion in rank, those faculty who are .75 to 1.0 FTE at Regis will follow the same time frames for a specified rank as the faculty at 1.0 FTE.

A sabbatical leave (as defined in [Chapter 5.5](#)) will count toward promotion in rank, unless the librarian and the Dean of the Library agree in writing to waive this provision at the time the leave is granted. A leave of absence with pay (as defined in [Chapter 13](#)) for less than an appointment year will count toward promotion. A leave of absence without pay (as defined in [Chapters 13.2](#) and [13.3](#)) for one appointment year or more will not count toward promotion unless the librarian and the Dean of the Library agree in writing to the contrary at the time the leave is granted.

### 9.2.3 Professional Effectiveness

Regis University recognizes that excellence in librarianship is the most important attribute of library faculty. The attributes and qualifications which should be considered and documented in assessing professional effectiveness may include, but not necessarily be limited to, the following:

- a. the ability to direct the activities of subordinate, professional and non-professional staff;
- b. fulfillment of one's principal responsibilities;
- c. knowledge of current developments in one's areas of responsibilities; and
- d. possession of the attributes of integrity, industry, open-mindedness and objectivity

Sources of documentation include, but are not necessarily limited to, the following:

- a. Self-ratings;
- b. supervisor ratings;
- c. peer ratings;
- d. if a department head, ratings from annual reviews of administrative performance (see [Chapter 6.3](#));
- e. ratings by users of librarian's expertise;
- f. ratings by outside experts;
- g. proof of having met the requirements of one's job description and one's department goals;
- h. student ratings; and
- i. further course work or other continuing education in one's field.

### 9.2.4 Research, Creative Work, and Professional Activities for Library Faculty

Each library faculty member has an obligation to maintain a high level of professional competence and to keep abreast of the developments in their field. Moreover, effective librarianship necessitates active involvement in the intellectual and scholarly developments of the individual's field. Because what is considered appropriate research or professional activity in one discipline may not be recognized as appropriate in another discipline, an individual faculty member's research, creative, or professional work should be evaluated in terms of its quality, its level of recognition among peers, and its significance to the particular discipline. Evidence of appropriate endeavors includes, but is not limited to:

- a. publications, including writing scholarly chapters, monographs, textbooks, teaching manuals for textbooks, and reviews of books and other creative works;
- b. digital and multimedia production and contributions to digital scholarship, including but not limited to open access publications, learning objects, and other open educational resources;
- c. artistic works and performances;
- d. research grants and projects;
- e. receipt of fellowships;
- f. inventions and patents;
- g. participation in professional organizations (e.g., attendance at annual meetings);
- h. presentation of research findings at professional meetings;
- i. a leadership position in professional organizations (e.g., election or appointment to offices or committees);
- j. reading scholarly papers before learned societies and professional organizations;
- k. disciplinary addresses to civic organizations;
- l. participation in conferences and institutes;
- m. appointment in a scholarly capacity to a state or national post;
- n. service in the individual's professional area as a consultant or resource person;
- o. refereeing grant proposals or tenure proposals;
- p. selection as a critic of new teaching methods;
- q. invitations to present professional workshops;
- r. expert witness;
- s. disciplinary expert for news media;
- t. education that enhances one's teaching and/or research;
- u. citations in others' works; and
- v. contributions to the Regis University mission via research, creative work, and/or professional activity as appropriate.

Sources of documentation include, but are not necessarily limited to, the following:

- a. self-report of activities, with appropriate documentation and, where not self-evident, of time spent;
- b. review or testimony by professional peers;
- c. publications;
- d. citation of research in other works;
- e. award of grants, patents, prizes, or commendations;
- f. research projects one has done in the conduct of one's job;
- g. award of fellowship; and
- h. election or appointment to a scholarly or professional post.

### 9.2.5 Service to the University, Including Service to the Student Body

A university like Regis necessarily depends upon its library faculty for quality services rendered outside the library. It is a basic expectation that every faculty member have at least one ongoing service commitment each year. Therefore, a faculty member may reasonably be expected to demonstrate participation in the operational concerns of the institution, including services rendered to the students (subject to the provisions of Chapter 6.2). Such participation may include, but not necessarily be limited to, the following:

- a. service on and participation in the business of the University (including library and university) committees, attendance at University (including library and department) meetings, and participation in decision-making and library program development processes;
- b. service to and participation in the business of the general faculty (e.g., faculty meetings, faculty committees);
- c. fulfillment of special assignments (e.g., administrative assignments such as recruitment);

- d. participation in fund raising for the University or alumni-liaison activities; and
- e. contributions to the Regis University mission.

Other service to the student body may include, but not necessarily be limited to, any of the following:

- a. service as a moderator of student activities;
- b. planning and/or participating in extracurricular student activities;
- c. planning and/or participating in curricular-related activities;
- d. organizing material and advising students with special interests (e.g., law school, foreign study).
- e. teaching as affiliate faculty for a credit bearing course for students

Sources of documentation include, but are not necessarily limited to, the following:

- a. self-report of activities and, where it is not self-evident, of time spent;
- b. committee or committee chairperson ratings, or ratings by the supervisor of an activity (e.g., a report from the Director of Admissions, the Vice President for University Relations' staff);
- c. rating by Dean of Students office personnel; and
- d. supervisor ratings.

### 9.3 Criteria for Promotion of Academic Administrators

If a library administrator wishes to pursue a promotion in academic rank, they shall consult with the Provost and the LCRP to determine the appropriate conditions for making such an application, and must meet all other criteria for promotion to the next rank.

### 9.4 Procedures for Promotion in Rank

The procedures set forth in this section are in addition to the procedures set forth in [Chapter 8.1](#).

Promotion in rank is a decision made by the President, on the advice of the LCRP, the Provost, and the Dean, and subject to the approval of the Board of Trustees. This decision is based on a judgment by the LCRP of whether the individual meets the criteria for the next rank established in this Chapter. In arriving at this decision, the LCRP oversees and is governed by the procedures established below.

By April 7, the LCRP will send a notice to the Dean and each department chairperson or program director showing where each faculty member under the chairperson's or director's supervision is with respect to rank. By April 30, the Chairperson of the LCRP will send a copy of the "Application for Promotion Form" to each faculty member in the first year that member is eligible for promotion. Faculty members applying for the rank of Professor should contact LCRP by April 30 to receive the form. This form must be completed by September 21 and submitted to the academic supervisor.

A supervisor or the LCRP may recognize superior service by recommending advancement in rank and the University may concur by offering advancement in rank. However, individual faculty members generally may not qualify for advancement until the minimum length of time in current rank has been completed as defined in [Chapter 9.2.2](#). If a supervisor intends to nominate someone for promotion, the letter of nomination must be received by the Chairperson of the LCRP by April 21.

A faculty member desiring promotion in rank must indicate this on the self-evaluation form and must fill in the form in conformity with the instructions thereon.

After receiving the faculty member's "Application for Promotion Form," the immediate academic supervisor must provide an independent judgment about whether the faculty member should be promoted at this time, and substantiate the recommendations using the applicable guidelines published in this Handbook (see [Chapter 8.1](#)). The immediate academic supervisor will give a copy of the recommendation to the faculty member and will discuss it with the faculty member before its submission to the LCRP. If the supervisor is



the Dean, provisions regarding appointment of a Special Academic Evaluator apply (see [Chapter 8.1](#)). In this case, all references in procedures for promotion in rank to immediate academic supervisor shall apply to the Special Academic Evaluator.

The Application for Promotion, including the supervisor's written evaluation, must be submitted to the LCRP by October 21. The faculty member will have until October 28 to submit any clarifying comments regarding the evaluation to the Committee, with a copy to the supervisor.

Also, by October 7, the Dean will notify the LCRP of any material in a faculty member's personnel file that is appropriate and/or necessary for them to take into account in their deliberations.

By October 28, the LCRP will develop a list of applicants and nominees for promotion in rank and will provide a copy of this list to the Dean.

By October 28, if external reviewers are being used, applicants and nominees for promotion to the ranks of Associate Professor and Professor must meet with the Dean to develop a list of potential external reviewers for submission to the LCRP. (See [Chapter 8.1](#))

Pursuant to its deliberations, the LCRP invites the Dean early in the fall semester to join the Committee in a discussion of specific candidates, particularly those applying for advancement in rank. However, the Dean does not sit as an ex-officio member of the LCRP.

The LCRP will render an independent judgment on whether the faculty member has met the criteria established for promotion to the rank requested in this Chapter based upon the totality of the information it possesses. It will be considered appropriate to recommend a promotion in rank contingent upon the fulfillment of certain requirements prior to a specific date.

The LCRP's recommendation, together with that of the supervisor, the self-evaluation, and other supporting evidence will be forwarded to the Provost and the Dean on or before January 31. The Committee's evaluation and recommendation, along with the Dean's separate evaluation and recommendation, will be sent in its entirety to the faculty member under review after being reviewed by the Dean and, if the Dean considers necessary, legal counsel for the University. If any potential legal problems are identified by the Dean and/or legal counsel, these will be brought to the Committee by the Dean. The Committee will rewrite the evaluation and/or recommendation in order to eliminate the potential legal problems without changing the substance of the Committee's original evaluation and/or recommendation.

The independent recommendations of the Provost and the Dean, with appropriate documentation, on advancements in rank shall be forwarded to the President by mid-February, or within two weeks after receiving the Committee's report if the Committee submits a final written report to the Dean after the end of January. The Provost and the Dean will send copies of their respective recommendations to the applicant and their immediate supervisor at that time.

The decision of the LCRP regarding the fitness of the faculty member for promotion is recommended to the President except in the following situations:

- a. when the President or Provost believes that the LCRP did not follow the procedures established in this Handbook; or
- b. when the LCRP did not obtain evaluation(s) of the material submitted by the faculty member by appropriate off-campus expert(s) and the President or Provost deems it desirable to obtain such opinion(s); or
- c. when the President has pertinent information, including, but not limited to, the independent recommendations of the Dean and the Provost, which was not utilized by the Committee at the time of its deliberations.

In such instances, the Provost will forward such information to the Committee for its consideration and the Committee will notify the President, in writing, of any change(s) in its recommendations. If a difference of



opinion continues to exist between the Provost and the LCRP, the Provost or the Provost's designee will confer with the Committee and the Dean and will attempt to resolve this difference of opinion prior to the President's decision which in any event will be final. In unusual circumstances, a final decision may be deferred until after the above notification date, provided that all interested parties are informed in writing of the reasons for the delay and the anticipated date of the decision.

Normally, the Provost will inform in writing within ten (10) working days after the President's decision the faculty member, the Department Chairperson or Program Director, the Dean, and the LCRP of the action of the President on the application for promotion in rank.

## **Chapter 10 Library Committee on Rank and Promotion**

The Library Committee on Rank and Promotion (LCRP) will annually review the progress of the library faculty with regard to their professional growth and their fulfillment of the obligations of faculty appointments and make recommendations to the President, with copies to the Provost and to the Dean of the Library, concerning personnel actions such as promotion in rank as set forth in Chapters [8](#) and [9](#).

The LCRP is composed of two members; two Regis University library faculty with Associate Professor or Professor rank. Each librarian to be a member of the Committee must be a member of the library faculty with three or more years of continuous service at Regis University. No member of the Library Committee on Rank and Promotion may simultaneously be a member of the Review Committee.

When a faculty member applies for promotion to the rank of Associate Professor or Professor, either the member, the LCRP, or the Dean of the Library may require an outside review. If an outside review is required, the applicant will provide the LCRP with a list of names of potential external reviewers with which both the Dean of the Library and the applicant agree. Addition of any name(s) to the list by the Committee requires the approval of both the applicant and the Dean of the Library. If the Dean of the Library and the applicant cannot agree, each will submit three names to the Committee, and the Committee will make the selection. The LCRP will select the outside reviewer from this final list and will furnish the outside reviewer with the Committee's guidelines and representative examples of the candidate's professional and/or scholarly work. The costs of the review require prior approval of the Dean of the Library and will be borne by the University. The LCRP will provide copies of the results of the outside review to the applicant and the Dean of the Library.

Nominations for service on this committee will include all library faculty eligible to serve. A simple majority of the votes cast by the library faculty shall be necessary for election. Normally, terms of office for the librarian members shall be for three years and shall expire in rotation. Terms begin the day after the May Library Faculty Council Meeting in which members are elected. Vacancies are filled by special election; a person elected to fill a vacancy serves for the remainder of that term.

Each June, the LCRP shall hold an open meeting to answer questions about general expectations for performance levels required for rank and promotion.

The duties and responsibilities of the LCRP include the following:

- a. consider and make recommendations on all applications for advancement in rank;
- b. apply the criteria for rank decisions set forth in [Chapter 9](#) of this Handbook;
- c. review the progress of all library faculty as called for in Chapters [8](#) and [9](#) of this Handbook;
- d. seek such information and assure that such records as are needed to fulfill its functions are maintained, including confidential records of its deliberations as far as legally permitted;
- e. ensure adherence to filing dates as established by the Committee or as specified in Chapters [8](#) and [9](#);

- f. determine that supervisory evaluations are sufficient for judgment and address the criteria established in [Chapter 9](#);
- g. file such reports as needed to fulfill its functions;
- h. review and recommend to the Dean of the Library and the Library Handbook Committee desirable changes in the criteria for promotion in rank;
- i. prepare and revise the forms necessary to carry on its activities;
- j. review the students' evaluations of bibliographic instruction lectures and courses;
- k. prepare and revise informational guidelines that summarize the requirements for promotion, help guide applicants in how best to present their case concisely while covering the issues in which the Committee is most interested, reflect the Committee's recent experience with rank issues, and offer suggestions for limiting the volume of evidence in order to make the evidence more effective;
- l. prepare and revise separate application forms that are designed to help applicants focus on the major criteria for each level of advancement in rank;
- m. for the Committee's use, prepare and revise a procedures manual that will indicate among other things what records shall be kept, what deadlines must be met, how consulting of outside sources shall be handled, how voting shall be conducted, and what information shall be normally included in recommendations to the President; and
- n. initiate whatever action is necessary to fulfill its duties and responsibilities.

## **Chapter 11    Unranked Library Faculty**

An unranked faculty member is a regular part-time librarian with an FTE of less than .75 or a temporary full-time librarian under a fixed term appointment. While the current university employee handbook is the primary policy source for the unranked faculty, this chapter details the additional policies, procedures, and privileges that are applicable to the unranked faculty.

### **11.1 Appointment of Unranked Faculty**

To be eligible for an appointment as unranked faculty, applicants shall possess the minimum education as defined for the rank of Instructor (see [Chapter 7.1.1.1](#)).

### **11.2 Evaluation of Unranked Faculty**

Each member of the unranked faculty shall be evaluated after the first six months of employment. This evaluation serves as an opportunity for the unranked faculty member and supervisor to check-in with each other regarding onboarding and progress towards professional effectiveness, per the unranked faculty member's position description. If the supervisor has concerns at this 6-month check-in, the supervisor must communicate those concerns to the faculty member as well as the Dean of the Library. After the one-time 6-month check-in the unranked faculty member will be evaluated yearly on the anniversary of their date of hire. This annual evaluation will consist of a self-evaluation by the unranked faculty member focused on the unranked faculty member's Professional Effectiveness, as specified in [section 9.2.3](#). The written self-review will be submitted to the supervisor and the supervisor will provide a written response, which will be shared with the unranked faculty member. Both the unranked faculty member's self-review and the supervisor's response should be delivered to the Dean of the Library and filed accordingly. Since the position is unranked, the self-review and supervisor response does not need to be delivered to the LCRP.

### **11.3 Faculty Development**

Regis University is committed to the ongoing development of all faculty, including the unranked librarians. The unranked faculty may request funds for attendance at workshops and local conferences and may request release time to attend continuing education activities. Department heads, in consultation with the

Dean, will ensure that support of such activities is equitably given both within departments and across the library.

## Chapter 12 Salary and Benefits

### 12.1 General Salary Provisions

Regis University seeks to maintain competitive total compensation packages for all its employees, among which are the four faculties of Regis University. The University utilizes various sources, depending on the employee category, to determine how effectively this goal is being accomplished. Regis recognizes that it must balance ambitions with resources and seeks to maintain equity within employee groups.

It is traditional in higher education for faculty to offer views on salaries and particularly on equity across a number of dimensions both with respect to the external environment and with respect to internal factors. Regis recognizes that a general increase may not always be sufficient for certain employee categories or that a general increase may more properly be apportioned in a more tailored fashion in a given year.

In order to provide faculty input into salary considerations for the library faculty, the library department heads, in consultation with the Dean, may appoint a subcommittee to prepare a report on salary recommendations and may draw upon the larger faculty for membership. This subcommittee will have access to aggregated salary data for the library faculty in order to tailor recommendations based on rank and years of service. The administration will consult with the library department heads to review the subcommittee's findings and will consider these findings in determining salaries.

### 12.2 Benefits for Eligible Members

Details of coverage and benefits as well as benefit forms may be obtained from the [Department of Human Resources](#), in the [Human Resources Manual \(Section 4\)](#), and/or on [Workday](#). All benefits are governed by the terms and provision of the laws or insurance plans under which they are provided. All benefit programs, carriers, terms, and conditions are subject to change from time to time by the University and are effective as and when changed. Benefit provisions are subject to the administrative regulations and technical operation procedures of the University and carriers. Copies of the benefit plans in effect may be obtained from the Department of Human Resources or on Workday.

It is the responsibility of the Department of Human Resources to ensure that employees, upon becoming eligible, are informed of the procedures for enrollment in the appropriate programs and to make a reasonable effort to enroll them.

If an employee does not enroll existing dependents for medical insurance when first eligible, such dependents will be required to provide evidence of insurability. The determination of eligibility for benefit participation shall be made in the sole judgment of the University.

The University normally reviews its employee group insurance plans annually.

#### 12.2.1 Vacation Time for Library Faculty

Full-time library faculty with 12-month appointments receive a bi-weekly vacation accrual rate of 6.67 hours (the equivalent of twenty-two (22) days per year). Colorado Wage Claim Act, Rule 2.15, effective late December 2019, states a cap on accrual of vacation pay is permitted, so long as it is no less than one year's worth of vacation, and so long as employees are paid for all accrued vacation time upon termination. With this in mind, the new vacation accrual cap will be based on your respective annual accrual rate. Library faculty with less 1.0 FTE appointments accrue vacation leave on a prorated basis. Once a librarian reaches their accrual limit, they will

not accrue additional vacation leave until the leave balance is reduced due to usage of vacation leave.

The times at which library faculty may take vacation shall be approved by the librarian's immediate academic supervisor with due regard for the wishes of the librarian and particular regard for the needs of the Regis University Library.

The Dean of the Library is responsible for ensuring that appropriate vacations are arranged.

All unused vacation leave will be paid to a librarian upon separation from the University.

### 12.2.2 Holidays for Library Faculty

Library faculty are eligible for those holidays that Regis University recognizes during their appointment period. Holidays occurring during a vacation period shall not be counted as vacation time.

## Chapter 13 Leaves of Absence

Information on leaves of absence is available in the [Human Resources Policy Manual](#) in Section 3.

In addition to sabbatical leaves and alternate leaves as specified in [Chapter 5.5](#), leaves of absence as set forth below are available subject to the restrictions of the Human Resources Policy Manual. Requests for leaves with or without pay are submitted in writing to the Dean through the immediate academic supervisor, except that requests for emergency leaves for compassionate reasons may be taken directly to the Dean, who may waive a written request in view of the circumstances.

Except in circumstances that preclude such action, it shall be the responsibility of the member to work with the department head and the Dean to ensure coverage of the member's responsibilities during the absence.

### 13.1 Leave with Pay

- a. Sick leave
- b. Authorized short-term absences for professional purposes
- c. Authorized short-term absences for military purposes
- d. Authorized short-term absences for jury/witness duty
- e. Authorized short-term absences for compassionate reasons
- f. Authorized short-term absences for bereavement
- g. Mission leave
- h. Vacation leave
- i. Other - A leave of absence with pay may be granted under circumstances that, in the judgment of the Provost, are in the best interest of Regis.

### 13.2 Leave without Pay

Permitting leaves of absence without pay for professional or personal reasons may be beneficial to both the individual and the University.

Any full-time member may request a full-time or part-time leave of absence without pay for one of the following reasons:

- a. fellowship award;

- b. completion of research;
- c. formal study;
- d. extended service in the armed services;
- e. defense work during a war or national emergency;
- f. any program of enrichment approved by the University;
- g. assignments or work that are considered to benefit the University;
- h. leaves in conformity with the Family Medical Leave Act of 1993; or
- i. other personal or professional reasons in the best interests of the University.

The term of a leave will normally coincide with an academic term. Such leaves must be mutually agreed to and shall not ordinarily be for longer than one year, although the University, through the Dean and the Provost, may grant an extended full-time or part-time leave without pay for up to three years in special circumstances. Time on such leave will not count toward promotion in rank and is not credited toward time in service for longevity or for sabbatical leave unless the individual and the Dean agree in writing prior to the beginning of the leave. However, the member will not forfeit rank as a result of being on leave without pay and the base compensation rate of a member shall be augmented by all general increases which would have been received had no leave been taken.

While an individual is on leave without pay, the University does not provide benefits unless a contrary arrangement has been mutually agreed to in writing by the member and the University. Members may continue their benefits, however, by paying them through the University.

Requests for a leave without pay are submitted in writing to the Dean through the immediate academic supervisor not later than December 15 of the appointment year preceding that in which the proposed leave is to begin. A final decision on leaves is made by the Provost in consultation with the Dean and the immediate academic supervisor.

If a leave without pay is granted, the department or program normally will be permitted to hire an unranked faculty member to cover the period of the leave.

### 13.3 Temporary, Fractional-Time Appointments

A faculty member wishing to have more time for personal or professional reasons may request a temporary, fractional-time appointment not to exceed two years.

## Chapter 14 Policies and Procedures Relating to Separation from Employment

At times, it may be necessary for the University or the individual faculty member to sever their professional relationship. In order to protect the interests of both parties, the various types of separation (non-reappointment, resignation, dismissal, layoff, temporary suspension of duties, retirement, gradual retirement, and career redirection,) are here defined, and the policies and procedures related to each category are set forth.

### 14.1 Non-Reappointment

Since all initial, promotion track appointments at Regis University are made with the understanding that both the University and the appointee will engage in a period of mutual evaluation prior to establishing a continuous association, a severance prerogative rests with both parties.

A promotion track faculty member may decide not to accept a renewal of appointment. In such an event, notice should be given in writing at the earliest possible opportunity, but not later than May 15 or thirty (30) days after receiving notification of the terms of the appointment for the coming year, whichever date

occurs later. In case of hardship, or in a situation where the member would otherwise be denied substantial professional advancement or other opportunity, the member may request an extension of this time period from the immediate academic supervisor and the Dean of the Library. Failure to accept an appointment within the aforementioned time frame or failure to request an extension of time may be construed and accepted by the University as resignation.

The term “non-reappointment” means that the University has decided not to offer an additional appointment at the conclusion of a probationary/promotion track term.

The decision not to reappoint a probationary/promotion track member rests, in the final instance, with the Dean of the Library with the approval of the Provost. The Dean's judgment regarding the correspondence between the member's expertise and the University's educational needs must be made in consultation with the immediate academic supervisor. This final decision must take into account the judgment of the LCRP on whether the member meets the criteria established for the rank held. Recommendations for non-reappointment may originate from the immediate academic supervisor, from the Dean of the Library in consultation with the immediate academic supervisor, from the Dean of the Library in consultation with the members of the affected department or program if the individual in question is a department chairperson or program director, or from the LCRP.

Notice of non-reappointment must be given in writing by the following dates:

- a. by March 1 of the first appointment year of service, if the appointment expires at the end of that appointment year; or, if the appointment terminates at a time other than at the end of the appointment year, at least three (3) months in advance of its termination;
- b. by December 15 of the second appointment year of service, if the appointment expires at the end of that appointment year; or, if the appointment terminates at a time other than at the end of the appointment year, at least six (6) months in advance of its termination;
- c. at least twelve (12) months before the expiration of an appointment after two or more years of service.

Since a notice of non-reappointment is not a dismissal for cause, it is not necessary for the University to set forth its reasons in the initial notice of non-reappointment. If the member wishes to know the reasons for non-reappointment, the request will be made to and will be honored by the Dean of the Library.

Legitimate reasons for non-reappointment may include, but are not limited to, the following:

- a. changes in the library program;
- b. declining enrollment;
- c. financial exigency;
- d. over-staffing;
- e. unacceptable performance in librarianship;
- f. inadequate service to the University;
- g. incongruence between the interests of the member and the educational goals of the University;
- h. inadequate correspondence between the member's expertise and the University's educational needs.

## 14.2 Resignation

A faculty member may resign an appointment effective at the end of an appointment year provided that they give notice in writing no later than thirty (30) calendar days after receiving notification of the terms of the appointment for the coming year. The member may request an extension of this time period for personal or professional reasons. Failure by the member to accept an appointment within thirty (30) calendar days after receiving notification of the terms of an appointment for the coming year or failure to request an extension within this time frame may be construed and accepted by the University as resignation.



## 14.3 Layoff

Layoff is a severance action by which the University terminates the services of a tenured or probationary/promotion track member without prejudice as to the member's performance due to changes in the library program or financial exigency.

### 14.3.1 Changes in Library Services

Layoff of a tenured member may occur as a result of the formal discontinuance or redirection of a department.

When probationary/promotion track or tenured faculty could be laid off, a proposal to formally discontinue or change a department can be initiated only by the department, the appropriate faculty committee, the Dean, the Regis University Academic Council, or the Provost. Such proposals must be accompanied by supporting evidence based on the regular review of the department (including the unit's own self-review) and other documented market factors.

A recommended decision to make reductions in library services is made by the Regis University Academic Council. The Provost makes the final decision in these areas after consultation with the Dean and the members of the affected department.

A recommended decision to discontinue a department is made by the Regis University Academic Council after consultation with the Dean and the members of the affected. The recommended decision is subject to the approval of the Provost and the President. The power of final decision is lodged in the Board of Trustees or delegated by it to the President.

In either case, such decisions are based upon educational considerations that reflect the long-range judgment that the educational mission of the University will be enhanced by the change(s) and are not based upon cyclical or temporary variations in enrollment. Additionally, when the final decision to change or reduce library services differs from the recommendation made by the Regis University Academic Council, the reasons for the action are communicated to the appropriate faculty.

### 14.3.2 Financial Exigency

The Board of Trustees must officially declare that financial exigency exists. Financial exigency is defined as the critical, pressing or urgent need on the part of the University to reorder its monetary expenditures in such a way as to remedy and relieve the state of urgency within the University created by its inability to meet its annual monetary expenditures with sufficient revenue to prevent a sustained loss of funds. In considering how to deal with the financial situation, the retention of viable academic programs is the primary goal.

The Provost will make decisions regarding necessary program or services reductions after consultation with the Regis University Academic Council and with the library faculty and the Dean of the Library. These decisions will be based on advice from the faculty and library faculty as a whole as well as from the members of the concerned departments on the short and long-term viability of the proposed program reductions. Such decisions will be reviewed by the President. Final approval rests with the Board of Trustees.

The Provost, upon consultation with the Regis University Academic Council, the library faculty and the Dean also will determine particular personnel reductions. When such reductions are considered, tenure rights will be protected insofar as possible. A tenured member will not be laid off in favor of a non-tenured member except in extraordinary circumstances where a serious distortion of library services would otherwise result. If it is necessary to lay off tenured members, those without the appropriate terminal degree will be considered for layoff first, then those with



the appropriate terminal degree and the least number of years of service at Regis University; but in all instances, there will be due consideration of the essential needs of each department or program and the equal opportunity goals of the University. Efforts will be made to sustain these goals even though seniority may suffer in the resulting reductions. In situations where tenured members have the appropriate terminal degree and the same length of service, the University, through the Dean and Provost, and the librarians, through the appropriate faculty committee, will reach agreement upon the means of arriving at selection decisions. If agreement cannot be reached, the means of arriving at selection decisions will be determined by the Board of Trustees.

### 14.3.3 Procedures and Recall Provisions under Layoff

Due notice of layoff for changes in library services or for financial exigency shall be given to tenured members as early as feasible but not later than one year in advance of the effective date of layoff, except in the case of an extraordinary financial exigency. If a state of extraordinary financial exigency exists and one-year notice is not possible, shorter notice may be given.

When financial exigency or changes in library services necessitate the layoff of tenured members, extensive effort will be made to assist them to readapt within the institution, to continue their work elsewhere, or to reduce the impact in every appropriate way, such as providing for mid-career redirection (see [Chapter 14.8](#)), gradual retirement (see [Chapter 14.7](#)), or changing the status from full-time to part-time, if the member affected is agreeable to any of these arrangements.

If a tenured member is laid off for reasons of financial exigency (as specified in [Chapter 14.3.2](#)), the vacant position will not be filled by a replacement within a period of two years, unless the released member has been offered reappointment with tenure at the rank held at the time of layoff and has been given at least one month's proper notice within which to accept or decline the reappointment.

## 14.4 Dismissal

Dismissal is a severance action by which the University severs its professional relationship with a tenured person for adequate cause. Dismissal is also the means by which the University removes from service for adequate cause a probationary/promotion track member or a member on a term appointment before the end of the term appointment.

Adequate cause for dismissal must be directly and substantially related to the fitness of a member to continue in their professional capacity. Dismissal proceedings may be instituted only for one or more of the following reasons:

- a. professional incompetence;
- b. continued neglect of and/or failure to perform academic and/or professional duties in spite of written warnings, including patterns of behavior that, in the aggregate, are equivalent to neglect of and/or failure to perform said duties in spite of written warnings;
- c. serious personal or professional misconduct;
- d. deliberate and serious violation of the rights and freedoms of fellow librarians or faculty members, University staff, administrators, or students;
- e. conviction of a crime directly related to the person's fitness to practice their profession; or
- f. falsification of credentials or experience.

The procedures involved in dismissal are contained in [Chapter 15.3.3](#) of this Handbook.

## 14.5 Temporary Suspension from Duties

If the Provost judges that immediate harm to a faculty member or to others is threatened by the member's continuance or the member's conduct is interfering with the educational mission and processes and it is

necessary to remove a member from active duty pending a decision on the continuing employment status of the member, the Provost may remove the member provided the person receives full salary and benefits and is not otherwise prejudiced in their continuing rights as a member of faculty. Except in cases requiring immediate action, the removal of a member from duty under the provisions of this section shall be preceded by consultations by the Provost with the affected member and with the Review Committee (see [15.3.3](#)). The affected member and the Review Committee shall be advised by the Provost of the findings and intended course of action of the University no later than one month after the removal is effected (except as not required by [section 15.3.3](#)).

## 14.6 Retirement

A member who voluntarily terminates their employment with the University and whose years of age added to their years of consecutive benefit-eligible service is equal to or greater than 70 is considered retired from University service. The University requests that employees who plan to retire provide reasonable notice as mutually determined by the employee and their supervisor.

### 14.6.1 Status and Privileges of Retired Members

Regis University is committed to promoting close ties between itself and those who have retired or made mid-career changes. To these ends, the following assistance and privileges are available:

- a. the University will provide meeting facilities for retired members who may wish to meet as a group;
- b. after retirement a member may exchange the Employee Identification Card for an Emeritus/Emerita or employee card and this card will provide (subject to the current policies, restrictions and fees applicable to full-time faculty) access to Regis University's recreational and athletic facilities, library, bookstore, campus parking permits, and its cultural, athletic, and educational events;
- c. a member who retires and who keeps a current address on file with the University will receive notices of major campus activities;
- d. an Emeritus/Emerita member may attend the meetings and other activities of their department. However, only those who have active faculty status by current appointment may vote in these meetings; and
- e. members who have retired may participate in the University's commencement exercises with appropriate academic dress.
- f. a retired faculty member may take any course(s) at Regis University tuition-free. Further, if at the time of retirement, the member's spouse is receiving tuition benefits under the ETB, such benefits will continue until the spouse has completed the program of study, or for three years, whichever occurs first. If, at the time of retirement, the member's dependent child(ren) is/are receiving tuition benefits, such benefits will continue until the dependent child has reached the time limit under the benefit policy or until s/he completes the program of study, whichever occurs first; and
- g. a tenured member who has retired may continue to be employed part time on a year-to-year basis at the initiative of the affected department and with the approval of the Dean, the Provost and the President. If such an initiative is approved, discussion with the tenured member regarding the possibility of continuing employment will take place as early as possible in the year before retirement. If employed, such a member shall have no obligation to perform the usual institutional services, other than those associated with the tasks that are contracted for (e.g., library services in a specific department).

## 14.7 Gradual Retirement Program

The Gradual Retirement Program is available for those full-time ranked faculty members who have obtained the rank of Associate Professor, and who:

- a. have been serving as library faculty full- time in postsecondary education for 15 or more years (at least 8 years of which have been at Regis University); and
- b. wish to gradually reduce their workload obligation at Regis University over a five-year period.

A qualified member, as specified above, who decides to apply for entrance into the program, must give the immediate academic supervisor and the Dean at least four months' notice, in writing, of the decision. Entry into the program must be approved by the immediate academic supervisor and the Dean and may be deferred based on the needs of the department and/or library. After entry into the program, if the librarian wishes to retire completely s/he may do so after the first year of the program, with four months written notice, to the immediate academic supervisor and the Dean.

After entry into the program, the librarian's work schedule will be gradually reduced and the individual's salary will be prorated accordingly. The librarian will otherwise be expected to maintain normal responsibilities and duties. However, as soon as the librarian's workload and salary are reduced to the equivalent of 0.5 FTE, the librarian will be relieved of all extra duties and responsibilities. This does not preclude the individual from doing committee work voluntarily. If the librarian applying for gradual retirement currently holds appointment as a department head, s/he will relinquish those department head responsibilities and any commensurate compensation, or if it meets the needs of the department, a reduction in responsibilities and compensation may be agreed upon with the Dean. Any arrangement will be periodically reviewed to make sure the needs of the department are being met.

At any time while in this program, and before full retirement, the librarian may choose to halt the progressive reduction of load at whatever stage it has reached. Unless the individual chooses to reinstate this progressive reduction, s/he will retain that stage until full retirement, which must be achieved within 5 years of entering the program. However, at no time will the individual be able to return to a previous stage (i.e., to increase workload back to a previous level) unless so agreed in writing by the librarian, the affected department, the Dean, and the University.

While in the gradual retirement program, librarians will continue to be evaluated in conformity with the provisions in [Chapter 8.3](#).

While in this program, a librarian will have all the privileges and benefits of a full-time librarian except as affected by the following considerations:

- a. if at the time of entry into this program, the member or the member's spouse is receiving tuition benefits under the ETB, such benefits will continue until the member or spouse has completed the program of study, or for three years after the member has fully retired, whichever occurs first. If, at the time of entry into this program the member's dependent child(ren) is/are receiving tuition benefits, such benefits will continue until the dependent child has reached the time limit under the benefit policy or until s/he completes the program of study, whichever occurs first;
- b. the University's contributions to Empower will be reduced proportionately as the member's salary is reduced; however, there will be no change in the amount that a member may invest in Empower;
- c. the University's retirement plan can be activated at any time the member desires; also, a supplemental retirement annuity plan may be obtained by the member through Empower;
- d. the University shall provide medical and dental coverage and life insurance in the same manner and to the same extent provided to librarians with associate level rank until the member becomes eligible for alternate medical coverage, including Medicare. In case of death, medical insurance for surviving family members will terminate on the last day of the month following the member's death, except that surviving dependents, previously covered, may elect to continue group medical insurance in accordance with statutory requirements then in effect.

## 14.8 Mid-Career Redirection Program

This program provides financial support to those tenured faculty members at the rank of Associate or above who have been at Regis full-time for ten or more years and who wish assistance in choosing a career outside postsecondary education (e.g., in a governmental position, a research center, business, industry, consulting, etc.). The program is entirely voluntary and can be initiated only by the member. Formal entry into the program is preceded by the individual's:

- a. decision to pursue a new career outside postsecondary education;
- b. determination that financial support would aid this transition;
- c. willingness to yield all rights of tenure upon entrance into the program;
- d. agreement that s/he will not be employed as a librarian in a postsecondary institution for at least three years; and
- e. understanding that s/he will not be reemployed at Regis University full-time, except under extraordinary circumstances to be determined by the University.

A qualified member as specified above, who wishes to enter the program will notify the appropriate Dean and the immediate academic supervisor (and the appropriate chairperson or director if necessary) at least one full year prior to the proposed exit from the University and will meet with the appropriate Dean to develop a mid-career transition plan acceptable to both parties. This transition plan will encourage the member to have appropriate consultation with a career counselor before making a final decision to enter the program. The final decision to enter the program must be made at least three months prior to the agreed upon exit date unless otherwise agreed by the member, the appropriate supervisor and the Dean.

The member will provide a signed copy of the mid-career transition plan to the appropriate Dean and the immediate academic supervisor. The member's decision and plan will be honored by the University if the plan has been approved by the appropriate Dean.

Two options are available:

### Mid-Career Redirection Program, Option A:

Upon written notification from the member of a decision to formally enter the program, the Dean will arrange for relief from all formal duties at the University at the end of the member's current appointment year and the member will leave formal employment with the University at that time.

What would have been the next appointment year will be treated by the University as fully paid leave time: the individual will receive the salary that would have been received in what would have been the next appointment year. The individual may choose to receive this salary either in a lump sum on October 1 or in twelve (12) normal pay periods in the year. All benefits also will remain in effect until the ending date of the appointment year. However, the individual will have no duties at Regis during this year so as to be free to pursue a course of action to establish a new career. All salary and benefits will cease at the end of the first year of this program. On the following October 1, the University will give the former faculty member a career redirection grant of \$4,000; or

### Mid-Career Redirection Program, Option B:

Upon written notification from the member of a decision to formally enter the program, the Dean will arrange for relief from all formal duties at the University at the end of the member's current appointment year. The individual will leave formal employment with the University at this time and will be free to obtain employment elsewhere, outside higher education. For the next three years, upon receipt of monthly verification of income from the former member's new employer, the University will pay the former member the difference, if lower, between the new salary or equivalent (providing the new salary or equivalent is

\$20,000 or more per year) and the salary which would have been received each year at the University. All University benefits will cease at the end of the member's current appointment year.

A member who chooses to enter this program will have the honorary rank and benefits of Professor Alumnus/Alumna as specified in [Chapter 7.1.3](#).

## **Chapter 15**    **Review and Grievance Procedures**

### **15.1 Intent**

The University recognizes and endorses the importance of mediating and adjudicating grievances properly without fear of prejudice or reprisal in accordance with academic due process. Accordingly, informal and prompt settlement of grievances is a desired goal. The orderly processes hereinafter set forth are designed to protect academic freedom and tenure. It is the intent of the University that these processes are the sole method for the resolution of grievances, including those relating to academic freedom and tenure.

### **15.2 The Review Committee**

The procedure for handling grievances (see [15.3.2](#)) involves the work of the Review Committee. This committee consists of five members: two chosen by the President or Provost of the University, one by the library faculty, one by the Regis College faculty, and one chosen by the first four. No member of the Review Committee may simultaneously be a member of any LCRP. A chairperson is chosen by the committee members from among themselves. All committee members normally serve for three-year terms. If a vacancy occurs, the individual or group who made the original appointment selects the replacement. Names of the members of the Review Committee may be obtained from the President, Provost or Dean.

### **15.3 Grievances**

#### **15.3.1 Definitions**

A grievant is any faculty member or group of faculty members.

A respondent is any member, group of members, or the University against whom a grievance has been filed. If the respondent is the University, the grievance must be directed to the President or Provost who may designate a member of the administration to respond on their behalf.

In order for a matter to be the subject of a grievance there must have been a material (i) breach, misinterpretation or misapplication of the terms of this Handbook; (ii) violation of University policy or procedure as set forth or incorporated by reference or description in this Handbook; or (iii) infringement of any of the rights of a member as set forth in this Handbook.

#### **15.3.2 General Provisions Governing Grievances**

The filing or pendency of any grievance under the provisions of this Chapter shall not prevent the University from taking the action complained of, subject, however, to the final decision on the grievance.

Failure at any step of this procedure to communicate the decision on the grievance within the specified time limits, or such additional period as shall be mutually agreed upon in writing, shall permit the grievant to proceed to the next step.

Failure at any step of this procedure to appeal a grievance to the next step within the specified time limits, or such additional period as may be mutually agreed to in writing, shall be deemed to be acceptance of the decision rendered at that step.

Extensions of time will normally be granted for good and sufficient reasons (e.g., illness) by the Review Committee.

### 15.3.3 Dismissal, Suspension, or Reassignment

Prior to the dismissal of any faculty member, the President or Provost of the University or designee will give the member involved a written statement of intent to take this action, with reasons framed with reasonable particularity. Because of the nature of dismissal, no fixed time can be specified for notice. However, such action is usually not taken without prior discussions with and written warnings to the member.

Whenever the University gives written notification of dismissal to a member, the member may file a grievance with the Review Committee. The Committee, the grievant and the University will then follow the procedures for handling grievances, as specified in 15.3.4 below.

Pending the opinion or recommendation of the Review Committee or mediators, the member may be suspended or assigned to other duties. If reassignment is deemed necessary by the University while an ultimate determination of a member's status is being made, the President or Provost of the University or designee will present the reasons for such action to the Review Committee. If suspension is deemed necessary by the University while an ultimate determination of the member's status is being made, the President or Provost of the University or designee will consult with the Chairperson of the Review Committee prior to the action. Unless legal requirements forbid, any such suspension will be with pay. (See also [Chapter 14.5.](#))

### 15.3.4 Procedure for Handling Grievances

The Review Committee will consider written grievances from any grievant. The written grievance should set forth in detail the alleged wrong, against whom it is directed, the relief and/or remedy sought, and any other information that the grievant deems pertinent. It is the grievant's responsibility to establish the specific nature of the grievance. This requires 1) specific reference to the contract chapter and section, University policy, or member right being violated; and 2) a specific description of the nature of the violation. Written grievances must be received by a member of the Review Committee within forty-five (45) calendar days after the grievant knew or through reasonable diligence should have known of the occurrence of the event(s) upon which the grievance is based.

#### 15.3.4.1 Step 1

Upon receipt of a grievance, the Review Committee will first determine whether or not the grievance is a) timely according to the provisions outlined in section 15.3.4 above, and b) conforms to the definition of a grievance according to the provisions outlined in 15.3.1 above. If it is not timely, or if the Review Committee determines that the matter does not constitute a grievance as described in 15.3.4, the matter will be dismissed, and the Committee will so notify the grievant in writing within five (5) working days of receipt of the grievance. If it is timely and meets the definition of a grievance, within five (5) working days of receipt of the grievance the Committee will send a copy of the grievance to all named respondents and will send a written request to both the grievant(s) and respondent(s) to select a faculty member or an employee of the University willing to serve as their representative in mediation of the grievance. The grievant and respondent must provide the names of their respective representatives to the Committee within five (5) working days of receipt of the Committee's request. The Committee shall have the right



to reject for good reason any named representative. The Committee will send, within ten (10) working days, the names of the mediators or a request to resubmit name(s) of representative(s) to the parties to the grievance. At this time, the Committee will also notify the mediators of their selection, of the purpose of mediation, and of the Committee's availability to assist the mediators in a non-adjudicatory manner. Should the Committee reject the initial representative(s), the process of representative selection may be repeated once. Should acceptable representatives not be found, the grievance will proceed to Step 2.

The mediators will collect all documents and information deemed pertinent and will conduct discussions with and/or between the concerned parties, at all times preserving the confidentiality of their proceedings.

The objective of this step is mediation. The mediators will not make a judgment on the merits of the case. Rather, they will engage in impartial and friendly intervention to attempt to settle the differences between the parties to the grievance.

When a grievance is resolved at this step, the mediators shall put the resolution in writing and shall forward it to the Review Committee, the grievant, and the respondent. Such resolutions shall not constitute a binding precedent in the disposition of similar grievances. No offer of settlement of a grievance by either party or a suggested resolution by the mediators that does not become part of an agreed and binding resolution shall be admissible as evidence in further grievance or further legal proceedings.

Acceptance of the proposed mediated grievance resolution by all parties to the grievance brings the process to an end. If, sixty (60) calendar days after the grievance has been filed, no resolution has been reached, the grievance proceeds to Step 2. If, prior to the expiration of this sixty (60) day time period, the mediators and the parties to the grievance agree that the grievance cannot be settled through mediation, the grievance may proceed to Step 2.

#### 15.3.4.2 Step 2

If the matter is not resolved at Step 1, the Review Committee will conduct a hearing on the grievance. The Review Committee will endeavor to obtain reliable evidence. A recommended decision at this step shall be based upon fact finding and the Committee's judgment on the merits of the grievance in accordance with the terms of this Handbook and shall set forth findings of fact and conclusion. All parties to the grievance will have the right to submit evidence and names of witnesses to the Committee. If the grievant is an individual member or group of members, the grievant has the right to representation by a member of the faculty or may be self-represented.

In any case of dismissal or suspension, the burden of proof that adequate cause exists for the action shall be on the University, which proof shall be by a preponderance of evidence. In all other cases, the burden of proof shall be on the grievant.

If a member alleges that a decision regarding non-reappointment, denial of promotion, or placement of the member within the appropriate salary schedule was based on inadequate consideration, the Review Committee will determine whether the decision was the result of adequate consideration in terms of the relevant standards set forth in this Handbook. However, the Review Committee cannot change a decision. If the Review Committee believes that adequate consideration was not given it may request reconsideration by the deciding person or persons, indicating the respects in which it believes the consideration may have been inadequate.



The validity of a change or changes in an educational program or library services cannot be the grounds for a grievance if such change or changes was/were recommended to the Provost by an appropriate faculty body, nor can the existence of financial exigency be the grounds for a grievance if the existence of a financial exigency was confirmed by the Board of Trustees.

In cases involving layoff, a determination in conformity with the provisions of this Handbook that a program or a department is to be discontinued, or a determination by the Board of Trustees that a state of financial exigency exists, will be considered *prima facie* valid.

The Review Committee, through its chairperson, will present a recommended decision regarding the grievance in writing to the parties to the grievance within forty-five (45) calendar days after the mediators have notified the Review Committee that resolution at Step 1 is impossible or the time period for resolution has expired, whichever occurs first. This recommendation can either be accepted by both parties or rejected by either party. Acceptance or rejection by each party will be communicated to the Chairperson of the Review Committee in writing within seven (7) calendar days after receipt of the recommendation. Failure to respond in writing within seven (7) calendar days will be construed as acceptance of the recommended resolution. Acceptance by both parties brings the process to an end.

If the Committee's recommended decision is rejected by either party to the grievance, either party may appeal to the President. A party wishing to appeal must notify the President of the appeal within seven calendar days of the date of the written decision of the Chair of the Review Committee. The President will review relevant information and will issue a decision within thirty calendar days. The President may appoint a designee may appoint a designee to conduct the review. This decision is final.

## Appendices

### Appendix A. Calendar

Dates and Deadlines for the Library Committee on Rank and Promotion, Library Faculty Handbook Committee, Library Faculty Status Assembly and Dean.

DATE	LCRP / LFHC / LFSA / LFC	DEAN / PROVOST
June 15	Chairperson, <b>LCRP</b> , send each ranked faculty member a copy of the self-evaluation form	
June 15  Late June	Deadline for Chairperson, <b>LCRP</b> , to send each faculty member eligible for promotion a copy of the application The <b>LCRP</b> shall hold an open meeting to answer questions about general expectation for performance levels required for rank and promotion	
In Fall Semester (between handbook review years)	The <b>LFSA</b> meets each semester (in between review years).	
In Fall Semester (every 3 years)	The <b>LFHC</b> reviews the entire Library Faculty Handbook (every 3 years), soliciting feedback from the faculty.	
Early September	The <b>LCRP</b> and <b>Dean</b> discuss specific candidates for promotion in rank	
October 7		<b>Dean</b> notifies LCRP of any materials in a faculty member's personnel file that are appropriate and/or necessary for deliberations for review and promotion
October 14	Deadline for <b>LCRP</b> to send lists of applicants for promotion in rank to Dean	
December 1	Deadline for <b>LCRP</b> to submit recommendations on all second-year faculty to Provost and Dean	
December 1		Deadline for <b>Dean</b> to prepare a separate evaluation and recommendation on each second-year faculty member and forward a copy of it in its entirety to the faculty member, the immediate supervisor, the LCRP, and the Provost
December 1	Deadline for <b>LCRP</b> to evaluate each faculty member in the third through sixth	

	years of service on progress toward promotion and communicate its findings to the Dean	
December 15		Deadline for written notice of non-reappointment to probationary/promotion track faculty (2 <sup>nd</sup> year of appointment)
December 15	Pending absence of legal review, <b>LCRP</b> forwards a copy of the review in its entirety to the probationary/promotion track faculty member (2 <sup>nd</sup> year of appointment), the immediate academic supervisor, the Dean, and the Provost	
Mid-December	President or designee and <b>LCRP</b> discuss probable recommendations regarding faculty applying for promotion in rank	
In Spring Semester (in between handbook review years)	The <b>LFSA</b> meets each semester (in between review years).	
January 15		<b>Dean</b> informs in writing the approval/disapproval of applications for sabbatical
January 31	<b>LCRP</b> forwards fall student evaluations (if applicable) to faculty members	
January 31	<b>LCRP</b> submits faculty review recommendations and evaluations of probationary/promotion track faculty to Provost and Dean	
January 31	Deadline for <b>LCRP</b> to evaluate progress towards promotion of each faculty member in the 3 <sup>rd</sup> through 6 <sup>th</sup> years of service and communicate its findings to the Dean	
January 31	Deadline for <b>LCRP</b> to forward recommendations for promotion to President, Provost, and Dean	
February 1		Notice of non-reappointment for Librarians (6 months prior to expiration of 2 <sup>nd</sup> year of appointment)
February 15		<b>Provost</b> and <b>Dean</b> forward independent recommendation on promotion to President, applicant, and applicant's supervisor
February 15	Pending absence of legal review, <b>LCRP</b> delivers letters to probationary/promotion track faculty member and their	

	immediate academic supervisor; LCRP adds a copy of the Rank & Promotion letter to the folder of the probationary/promotion track faculty member	
February 28	<b>LCRP</b> submits faculty review recommendations and evaluations for post-promotion to Provost and Dean	
February 28	No later than February 28 <sup>th</sup> , the <b>LFHC</b> announces proposed revision of the Library Faculty Handbook to the LFSA	
March 1		Deadline for written notice of non-reappointment for probationary/promotion track faculty in initial year of appointment (twelve months' notice after two or more years of service)
April 7	<b>LCRP</b> notifies Dean and Department Heads of status of each faculty member with respect to rank and promotion	
April 15	<b>No later than April 15<sup>th</sup>, the LFHC submits proposed revisions to Chief Legal Officer for review.</b>	
April 15		Deadline for written notice of non-reappointment to probationary librarians (twelve months' notice after two or more years of service)
April 30	Deadline for Chairperson, <b>LCRP</b> , to send each faculty member eligible for promotion a copy of "Application for Promotion"	
May 1	Deadline for letters of appointment to librarians within 10 days after Spring Board meeting or by May 1 (whichever comes later), the <b>Provost</b> informs in writing the applicant, Department Head, the Dean and the LCRP of the Board of Trustees action on applications for promotion in rank; <b>LCRP</b> delivers letters to the post-tenure/post-associate track faculty member and their immediate academic supervisor; <b>LCRP</b> adds a copy of the Rank & Promotion letter to the folder of the post-tenure/post-associate track faculty member.	
May 1	Deadline for voting by mail on any proposed revision to the Library Faculty Handbook conducted by the <b>LFHC</b>	
After May 1 (or after vote on any proposed revision to the Library Faculty Handbook concludes)	The <b>LFHC</b> will seek joint approval of the Provost and the chair of the Library Faculty Council	
In May	Elections for the LFHC, the LCRP, and Review Committee, and all library committee and liaison	

	positions assigned by the <b>LFC</b> shall occur at the LFC's May meeting	
In May	LCRP terms begin the day after the LFC's May meeting	

### Dates and Deadlines for Faculty Members and Supervisors

<b>DATE</b>	<b>FACULTY MEMBERS</b>	<b>SUPERVISORS</b>
July 31	Appointment year ends for librarians	
August 1	Appointment year begins for librarians	
In August	Faculty members inform the Dean in writing, on a form provided by the Dean, of any anticipated employment outside the Library, business interests and consulting activities	
September 21	Deadline for completion and return of self-evaluation form for probationary/promotions track faculty to immediate academic supervisor	
September 21	Deadline for submission of Application for Promotion in Rank to immediate academic supervisor	
September 21	Deadline for faculty seeking to apply for the rank of Professor to notify supervisor in writing, one year in advance of the anticipated application for Promotion	
October 1	Deadline for submission of complete sabbatical application materials to the Dean (year prior to academic year for which application is made)	
October 21	Deadline for discussion between probationary faculty member and supervisor regarding supervisor's evaluation of faculty  Deadline for discussion between faculty seeking promotion and their supervisor regarding the application for promotion	
October 21	At the time of the discussion, the faculty member signs evaluation form to confirm that they has had an opportunity to review the evaluation	
October 21		Supervisor forwards written evaluation of probationary/promotion track faculty with self-evaluation to Chairperson, LCRP

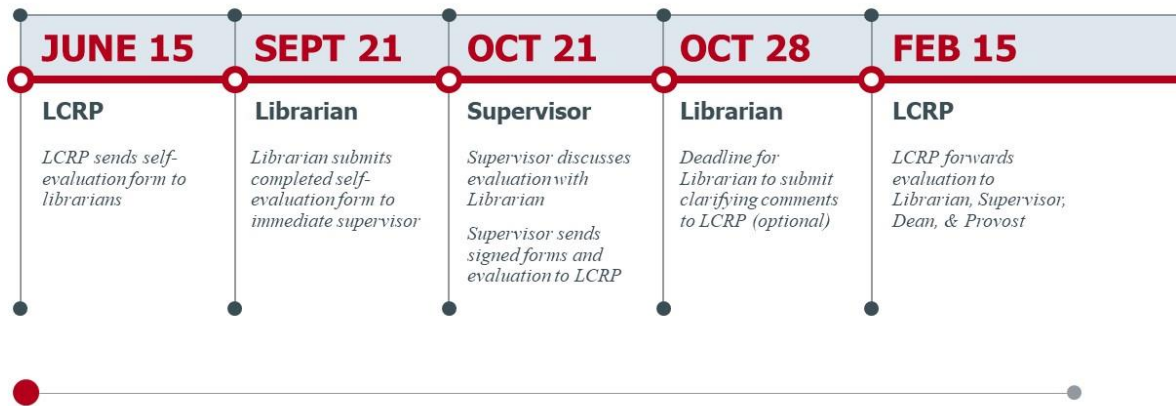
October 28	Deadline for probationary/promotion track faculty member to submit clarifying comments regarding evaluations for review and/or promotion to the LCRP, with copies to the academic supervisor or special academic evaluator	
October 28	Deadline for applicants and nominees for promotion to ranks of Associate Professor and Professor to meet with the Dean to develop a list of potential external reviewers for submission to the LCRP	
November 15	Faculty self-evaluation form for post-tenure/post associate faculty member must be completed and returned to immediate academic supervisor	
November 30	Deadline for discussion between post-tenure/post-associate faculty member must be completed and returned to immediate academic supervisor	
November 30	At the time of the discussion, the post-tenure/post-associate faculty member signs the form to confirm that they have had as opportunity to review the evaluation	
November 30		Supervisor forwards written evaluation of post-tenure/post-associate faculty along with self-evaluation to Chairperson, LCRP
December 1	Deadline for submitting proposed revision of the Library Faculty Handbook to the LFHC	
December 7	Deadline for post-tenure/post-associate faculty member to submit clarifying comments regarding supervisor's evaluation to the LCRP, with a copy to the supervisor or special academic evaluator	
December 15	Deadline to submit written requests for leave without pay to the Dean through the immediate academic supervisor (during year preceding the proposed leave)	
April 21		Deadline for supervisor's letter of nomination for promotion to Chairperson, LCRP
April 30	Faculty members applying for the rank of Professor should contact the LCRP to request the "Application for Promotion" form.	

May 15	Written notice from a librarian who decides not to accept a renewal of appointment due no later than May 15 <sup>th</sup> or 30 days after receiving notification of the terms of appointment (whichever occurs later). Failure to accept appointment within thirty (30) calendar days may be construed as a resignation	
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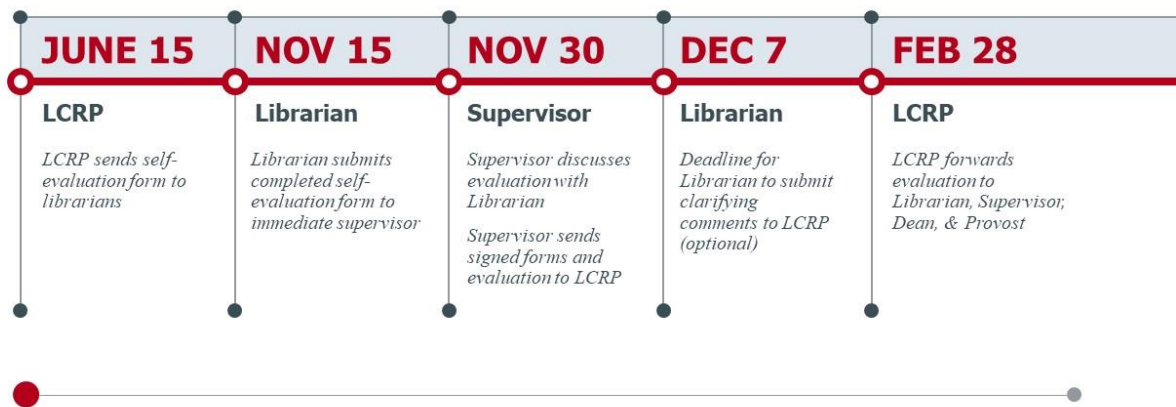
## Evaluation Timeline

*Instructor and Assistant Professor*



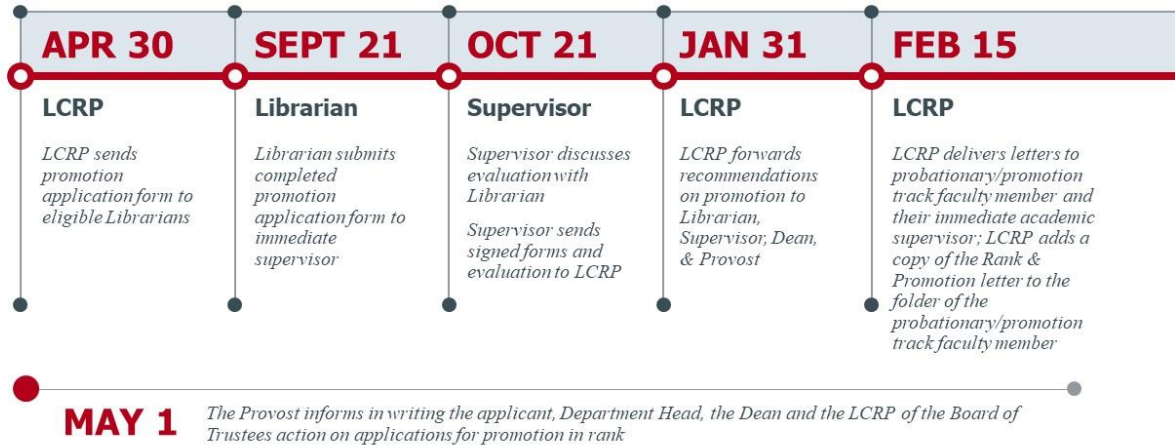
## Evaluation Timeline

*Associate Professor and Professor*



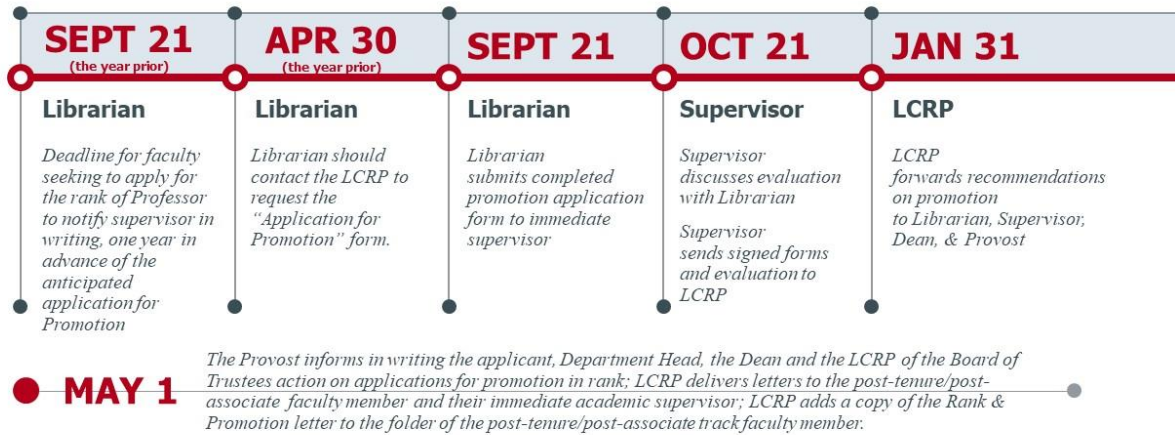
# Promotion Application Timeline

*to Assistant Professor and Associate Professor*



# Promotion Application Timeline

*to Professor*



## Appendix C. Understanding Timeframes

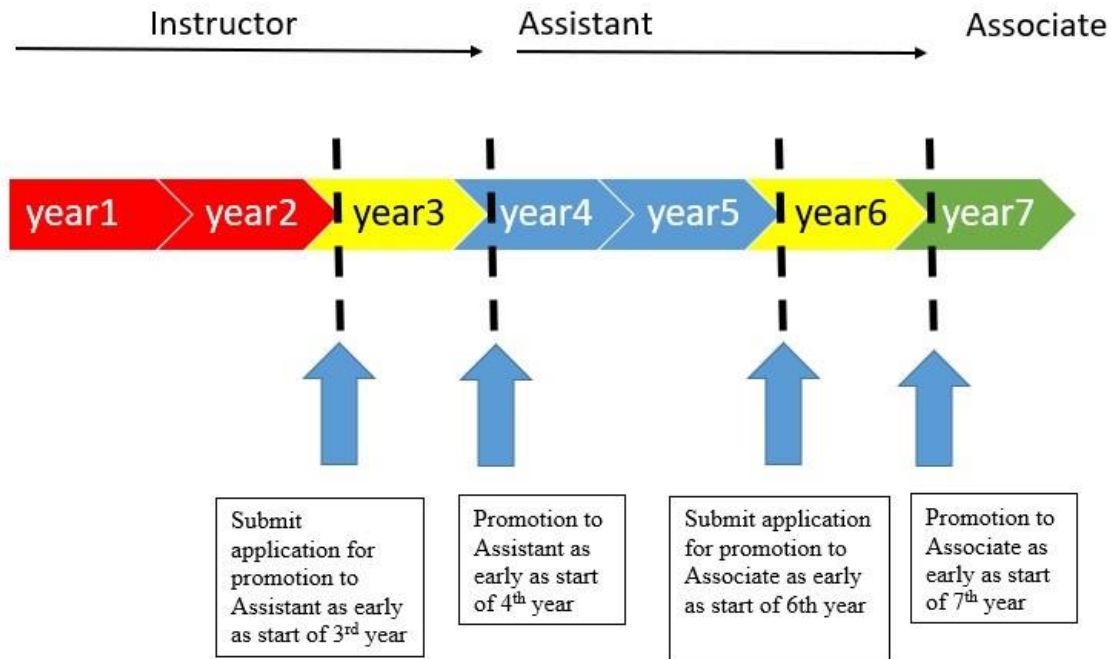
Promotion is a forward-looking process. Faculty are eligible to apply in advance of completion of the final year necessary for eligibility. So for example, to be eligible for the rank of Assistant you need to have completed 3 years of ranked librarianship at Regis at the Instructor level. At the start of the third appointment year at the rank of Instructor, the faculty member is **eligible to apply** for promotion in anticipation of completion of the requisite third appointment year. Since the review cycle spreads across almost a full appointment year, the idea is it is better to get the wheels in motion so once the third appointment year is completed, the faculty member has already submitted their application and been recognized as worthy of promotion in rank. Think of it this way: you apply to college during the fall semester of your senior year of high school. You don't wait until you have the diploma in hand. Instead, it is presumed you will graduate and have all the requisites completed to enroll in college the following year.

By contrast annual reviews are a backward-looking process. Reviews incorporate the work and accomplishments of the prior appointment year. Years completed toward rank and promotion equal the number of full appointment years completed at the specified rank.

### Promotion and Reviews – Examples

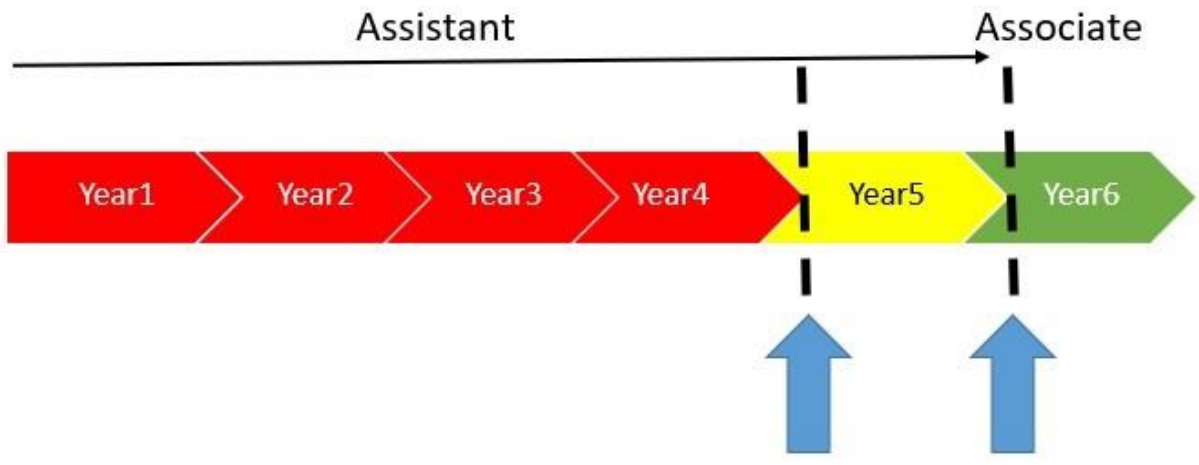
#### **Instructor to Associate (7.1.1.3.B minimum of 6 years of full time, ranked librarianship)**

The pathway illustrated below assumes appointment at the rank of Instructor at the time of hire with no additional years granted toward promotion by the Dean of the Library. If years granted toward promotion are offered, adjustments to the years calculated toward eligibility will be necessary. The pathway below also assumes eligibility and promotion in rank at the earliest points in time as delineated in the LFH. However, faculty members are not compelled to apply for promotion from Instructor to Associate until their 4<sup>th</sup> appointment year at the rank of Instructor and promotion from Assistant to Associate in their 5<sup>th</sup> appointment year at the rank of Assistant (section 9.1). Theoretically, a faculty member on this pathway can choose not to seek promotion when initially eligible. The goal posts can shift a bit in this pathway, but deferral cannot be indefinite. Generally speaking, LCRP advises faculty members to apply for promotion as soon as they are eligible as illustrated below, assuming they have the support of their supervisor. Deferral is not common, but reasons may include insufficient documentation/evidence in the self-review and/or poor evaluations from the supervisor. These would be issues that would need to be discussed between the faculty member, their supervisor, and LCRP so they can hopefully be reconciled before the next review cycle.



**Assistant to Associate (7.1.1.3.B minimum 5 years of full time librarianship at the rank of Assistant professor)**

At the start of the fifth year at the rank of Assistant, a faculty member must apply for promotion per section 9.1. However, the particular pathway illustrated below is unique and relevant only to those faculty who are granted rank of Assistant at the time of hire. Due to the language in section 9.1, and the requirement of five appointment years of librarianship at the rank of Assistant, there is no deviation from this pathway when appointed at the rank of Assistant at the time of hire unless the Dean of the Library grants additional years toward promotion. Per 7.1.1.3.B, the faculty member hired in at Assistant has a 5 appointment year journey to Associate, while the more common pathway of Instructor-Assistant-Associate is a six year journey (3 instructor + 3 assistant = 6 years per section 7.1.1.3.B).



Submit application for promotion at start of 5<sup>th</sup> year

Promotion at start of 6<sup>th</sup> year.

## Appendix D. Definitions

For the purposes of this Handbook the following terms apply:

Academic Administrative Officers: shall mean persons holding those position titles identified in Section 6.3.1.

Accreditation: accreditation means that an institution is accredited by one of the six regional accrediting associations (e.g., Higher Learning Commission of North Central Association of Colleges and Secondary Schools).

Appointment Year: the appointment year for librarians begins August 1 and ends July 31.

Dean: generally the term “Dean” refers to the Dean of the Library. Other deans of the University will generally be referred to by their full titles. However, throughout this Handbook, the terms “dean” or “appropriate dean” refer to any dean of the University within the context of the term.

Faculty Service Positions: faculty service positions are defined as those held by individuals who are chosen or recommended by the faculty such as members of the LCRP, and members of the standing committees.

Faculty Status, for the ranked faculty, shall mean the following:

- a. salaries/wages and benefits
- b. leaves
- c. rank
- d. promotion
- e. working conditions
- f. workload
- g. dispute resolution concerning faculty status matters
- h. separation and discipline
- i. duties and responsibilities

Immediate Academic Supervisor: for library faculty who are department supervisors, it is the Dean of the Library; for all other library faculty, it is their department’s supervisor.

Library Faculty Status Assembly: a meeting called by the Library Faculty Handbook Committee (LFHC) and open to all ranked and unranked faculty to discuss changes to the Library Faculty Handbook and/or any matters governed by this Handbook.

Librarian: for the purposes of this Handbook, a librarian is a person with the appropriate terminal degree appointed by the University to perform the professional functions of a ranked faculty librarian, unless specifically modified by the term “unranked.” The term “library faculty” is used interchangeably with “librarians.”

Member: the term “member” refers to full-time and part-time library faculty unless the context of the material gives the term “member” a different meaning (e.g., member of the committee.)

Non-academic Administrative Officers: shall mean those persons whose primary position responsibilities are to perform administrative services, with the exception of library department heads.

Probationary Promotion Track Appointment: a probationary appointment is for a designated period and automatically terminates upon the expiration of that period. Employment under a probationary/promotion track appointment entitles an employee to notice in accordance with the provision of Chapter 16.1 if the University determines not to rehire the employee during the subsequent appointment year.

Provost: refers to the chief academic officer of the University.

Special Academic Evaluator: a tenured member selected to provide an independent evaluation for a tenured department chairperson under consideration for promotion or to provide annual reviews, including the promotion review, for a non-tenured department chairperson (see Chapter 12.1).

Tenure Appointment: a tenure appointment is for an appointment year and gives the member a contractual right to be re-employed for succeeding appointment years until s/he resigns, retires, is discharged for cause, is terminated pursuant to a reduction in force, or becomes disabled, subject to relevant terms and conditions contained herein.

Term Appointment: a term appointment is for a designated period and automatically terminates upon the expiration of that period. Notice in accordance with the provisions of Chapter 16.1 is not required. Re-employment of an employee after termination of a term appointment is solely within the discretion of Regis University.

Unranked Faculty: an unranked faculty member is usually a regular part-time librarian (less than .75 FTE), or a temporary full-time librarian under a fixed term appointment (See Chapter 7).

## Appendix E. Sabbatical Forms

Library Faculty Sabbatical Application

Library Faculty Sabbatical Report

## Appendix F. External Work Form

Library Faculty Outside Employment

## Appendix G. Organizational Chart

Organizational Chart