

**CODE GOVERNING
LIBRARIANS IN SERVICE
ON THE STAFF OF THE
GEORGE WASHINGTON
UNIVERSITY LIBRARY**



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To: Rupert C. Woodward
University Librarian

Subject: Code for Librarians

The Code Governing Librarians in Service on the Staff of the George Washington University Library, with revisions as recommended by the Council of Librarians at its meeting on September 28, 1977, is approved, with its provisions to become effective immediately.

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CODE Governing Librarians in Service
on the Staff of the
George Washington University Library
(Revised September, 1977)

I. Introduction

This Code applies only to those members of the University Library staff who hold appointments as librarians.⁽¹⁾ At George Washington University librarians are exempt from the University's classification and pay plan, although certain provisions of that plan are appropriate for, and when specified, do apply to librarians. When there are conflicts between this Code and the University's Manual of Personnel Directives, this Code takes precedence.

Librarians are also exempt from the faculty Code and Ordinances since they are not accorded recognition as members of the academic staff except in instances where the faculties of individual schools or departments may extend faculty status to specific librarians.

The principal purpose of this Code, therefore, is to define for librarians in the University Library the requirements and procedures for appointment, re-appointment, promotion, performance review, and termination, as well as the benefits, responsibilities and general conditions of work.

Librarians are often referred to as "professional"⁽²⁾ librarians to differentiate those members

1. The provisions of Section IV do not apply to the University Librarian whose appointment and tenure are governed by the Provost, the President, and the Board of Trustees of the University. Other exclusions are detailed in Section VIII (Administrative Appointments). This Code does not apply to librarians of other University libraries except as each may adopt codes incorporating specific provisions.
2. "...a classification of employees engaged in work (i) predominantly intellectual and varied in character as opposed to routine mental, manual, mechanical, or physical work; (ii) involving the consistent exercise of discretion and judgment in its performance; (iii) of such a character that the output produced or the result accomplished cannot be standardized in relation to a given period of time; and (iv) requiring knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study in an institution of higher learning ... as distinguished from a general academic education or from an apprenticeship or from training in the performance of routine mental, manual or physical processes ..." (Los Angeles Co., Calif. Board of Supervisors. The Employee Relations Ordinance of the County of Los Angeles [October 4, 1968, unpagged. Ordinance no. 9646, Section 3, Definition Q]).

of the staff who hold graduate degrees in library science from those who do not. While the standard preparation for appointment as a librarian is the master's degree in library science, the George Washington University Library recognizes that the essential consideration is the individual's knowledge and ability to function at a professional level, and will accept a graduate degree in another subject area as a substitute for graduate library training when bibliographic expertise and knowledge of an academic discipline or professional field are the most important qualifications for a specific position.

It is also a principal intent of this Code to point out that in the University Library there are opportunities for professional advancement in addition to the traditional advancement through the administrative hierarchy. Librarians at the lowest rank may hold administrative appointment, while those at the highest rank may hold none. Likewise, a change of position title has no direct relationship to rank as a librarian, nor does it alter the requirements for promotion in rank as set forth in this Code. Thus, professional rank is assigned to an individual, not to a position.

II. Council of Librarians of the University Library

The Council of Librarians is composed of all full-time, active-duty librarians on the staff of the University Library who hold the rank of Librarian II or above. In addition, the University Librarian is a member *ex officio*, although he is exempt from the jurisdiction of the Council.

The Council recommends to the University Librarian appointments of librarians to full-time, active status⁽³⁾; makes the determination of their initial professional rank; recommends their reappointment, promotion, and termination, and reviews their performance in professional rank. Should the University Librarian not accept the recommendations, he must so inform the Council and indicate the reasons therefor. The University Librarian will then consult with the Council until a decision acceptable to both is reached.

The University Librarian, or in his absence the Associate University Librarian or ranking Assistant University Librarian, in that order, serves as chairman of this body, but votes only in case of a tie. Each member exercises one vote. The appropriate method of balloting will be determined in each case by the Council, except that all personnel actions require a secret ballot. The Council is authorized to establish rules of procedure and organization for carrying out its purposes.

A member whose promotion or termination is being considered by the Council is excluded both from the discussion and the vote on his own case, except that in making performance evaluations the body may, by

3. Except those being appointed to administrative positions. See Section VIII (Administrative Appointments).

unanimous vote, invite the librarian being evaluated to be present for the discussion but not the vote. Any librarian whose promotion or termination is under consideration may request in writing, to the Chairman, an interview with the Council before the discussion and vote on his case. In all cases, the results of the evaluation are confirmed and made known to the librarian reviewed by written communication from the Chairman.

It is the responsibility of the Chairman to send written notification of meetings to each member at least two weeks in advance. Such notices should include an agenda of matters to be discussed and decisions to be reached at the next meeting. Minutes of meetings are filed in the Office of the University Librarian, but are available to members of the Council upon request.

In all its deliberations and actions, the Council is governed by the provisions of this Code, and by current University regulations and policies regarding equal opportunity and affirmative action. The results of Council actions are also subject to grievance procedures as established by the University.

III. Professional Responsibilities

A librarian shall perform his duties efficiently, conscientiously, and with due consideration for the needs of library users and of his colleagues; shall strive for professional development; and shall apply his talents to the service of his profession, the University, and the community. He should strive for the advancement of knowledge in his field of learning by individual research and by participation in the activities of professional societies. A librarian on full-time service has the primary responsibility of devoting his time, thought, and energies to the service of the University. No librarian shall accept regular additional employment without notifying the University Librarian, nor employment which in any way interferes with his primary commitment to the University.

IV. Appointment, Reappointment, Promotion, Termination, and Performance Review

The following principles, standards, and procedures are in force in regard to appointment, reappointment, promotion, termination, and performance review.

A. APPOINTMENTS

All appointments are made for the fiscal year, or for the unexpired portion of the fiscal year in which initial appointment is made, and are subject to renewal. Every new appointment shall be in writing, shall be probationary, and shall be made in accordance with and subject to the provisions of this Code which shall be made available to the proposed appointee

before consummation of the appointment. An appointment shall be deemed to have been consummated upon the receipt of a letter of appointment or commitment from the University, receipt by the University of a written communication of acceptance, receipt by the University of an officially certified transcript from the institution granting the highest degree held by the candidate, indicating completion of requirements and award of the degree, and acknowledgement by the appointee of receipt of a copy of this Code.

B. REAPPOINTMENT AND PROMOTION

All reappointments are made for the fiscal year subject to renewal. Notice of reappointment or promotion, with salary and other terms of such appointment, shall be given not later than one month prior to the effective date of the change.

Promotion in rank is dependent upon intellectual growth and development in professional competence, and is effective only at the beginning of a fiscal year. Growth and development are measured by increased ability as a librarian, productive scholarship, service to the University, participation and leadership in professional societies, public service, and additional formal education as evidenced by the conferment of earned academic degrees. Effectiveness in librarianship shall be a primary criterion for promotion to all advanced librarian ranks. In general, a promotion in rank shall not be made unless the accompanying salary corresponds at least to the minimum for the rank, except in dire financial emergencies. When a financial emergency has ended, the increase in salary commensurate with rank will have priority over other salary adjustments. In these cases, salary adjustments can be made at any time.

C. TERMINATIONS

1. Probationary Appointments

All initial appointments remain probationary for one year. During this period, a librarian may be terminated at any time upon the recommendation of the immediate supervisor and with the concurrence of the University Librarian.

2. Promotion from the rank of Librarian I is dependent upon demonstrated competence as a librarian and a record of excellent performance. Since these are matters which cannot be judged fully during the initial probationary period, the Council of Librarians meets seven months prior to the end of each fiscal year to evaluate a Librarian I and to formulate its appraisal, which must be submitted in writing to the librarian. Where deficiencies are noted, they are intended to serve as guidance for the librarian in seeking improvement. A Librarian I may be recommended for promotion to Librarian II effective at the end of the fiscal year marking completion of at least 24 months of service. If not promoted at that time, the librarian receives a final appraisal se-

ven months prior to the end of the fiscal year marking completion of 36 but not more than 48 months of full-time active service. In the latter case, the Council makes a general evaluation of the librarian, and determines whether he or she will be promoted to the rank of Librarian II, or be terminated at the end of the fiscal year for failure to correct deficiencies of record from previous appraisals. The decision, including the grounds in the case of a termination, is communicated to the librarian not later than six months prior to the end of the fiscal year.⁽⁴⁾

3. Dismissal for Cause

Termination of any librarian for cause is based upon the grounds stated and in accord with the procedures outlined in the University's Manual of Personnel Directives.

4. Termination because of Extraordinary Financial Emergency

Termination of an appointment because of extraordinary financial emergency will be considered only as a last resort, after every effort has been made to meet the need in other ways or to find a satisfactory substitute assignment for the librarian in the University. If an appointment is terminated because of such an emergency, the released librarian's position will not be filled by a replacement within a period of two years, unless the released librarian has been offered and has declined reappointment.

5. Ill Health

Termination because of ill health is made in accordance with the procedures described in the University's Manual of Personnel Directives.

6. Notice of Resignation

Librarians shall, except for reasons beyond their control, provide notice of intent to resign at least one month, exclusive of annual leave, in advance of the effective date, and those staff members holding an administrative appointment, a proportionately longer period, preferably three months in advance of the effective date. This is to allow adequate time for recruitment of a replacement in accordance with the Equal Employment Opportunity and Affirmative Action Plan requirements of the University.

4. See Section VIII (Administrative Appointments) for exceptions.

D. PERFORMANCE REVIEW

Normally review of a librarian's performance will be made as described in Section IV.C.2, and in Section XIII. However, a librarian who wishes may request in writing and receive a formal review at any time.

All formal reviews will be recorded in writing, with copy to the librarian reviewed and to his official file.

V. Part time and Limited Appointment

Appointments of librarians to part-time assignments, assignments of limited duration, or to a specific project shall be for periods not to exceed one fiscal year. Such appointments may be renewed. These appointments carry an appropriate title, such as "Visiting Librarian", or "Consulting Librarian", but do not include membership in the Council of Librarians.

VI. Working Hours

Librarians perform their regular duties during working hours established to serve the needs of the library and the University community. Such schedules may include some evening and weekend hours. Independent research, investigation, and writing are performed outside established working hours except by pre-arrangement in special cases.

VII. Change in Work Assignments

The University Librarian has the option of reassigning librarians at a commensurate professional level to other duties in the same department or other departments when this is necessary to maintain adequate service or work flow, or when budgetary limitations make such action necessary.

VIII. Administrative Appointments

Administrative appointments include, but are not limited to, Associate University Librarian, Assistant University Librarian, Curator of Special Collections, and heads of departments. These appointments are made by the University Librarian who also determines tenure in such positions. Librarians with such responsibilities, in addition to their basic salary based on professional rank and development, receive salary supplementation for their administrative responsibilities. Letters of appointment and reappointment specify professional rank, salary based on that rank, and the amount of salary supplementation for administrative duties. Should a librarian receiving such supplementation later relinquish his or her administrative duties, either by choice or by request of the University Librarian, the salary is reduced to a level corresponding to his or her professional rank, with due regard to professional development and experience in that rank.

When the University Librarian makes an administrative appointment, the prerogatives of the Council of Librarians are assumed by him with regard to appointment, promotion, and termination, except that professional rank beyond that of Librarian II is determined by the Council both in the case of initial appointment or later review for promotion.

IX. Salary Increases

Salary ranges are established for each rank, but there are no fixed steps within the ranges. Annual salary increases are not automatic, but are granted on the basis of performance as evidenced by the recommendation of the supervisor or department head, in amounts determined by the University Librarian, and generally in accord with University policy for comparable positions at the time increases are determined.

After a librarian has reached the maximum of the salary range for his rank, further salary increases may occur only when University-wide upward adjustments are made, or when promotion to a higher rank becomes effective.

X. Leave

Librarians receive an allowance of 21 working days of annual leave to be used at the mutual convenience of the library and of the employee. (5) Annual leave may not be used until earned, and must be arranged in advance, except in cases of emergency for which other types of leave are not provided. More than 33 days of annual leave may not be accumulated.

A librarian desiring to attend a professional meeting, institute, or workshop, or to make a field trip to another library or libraries to investigate problems or procedures related to his library duties, may submit a written request through his supervisor and/or department head to the University Librarian, outlining the request, the time desired, and the funds required. Approval or disapproval must be made in writing. Leave so granted shall normally not be charged to annual leave. Upon return from the meeting or other activity, the librarian shall submit a written report, and shall be available to make an oral report or presentation at a staff meeting or other appropriate occasion, if requested.

Librarians desiring leave for other purposes of benefit to the library or to librarianship in general may apply for additional professional leave with pay. Such requests should be accompanied by a full written justification, and should be made

5. Full time staff employed prior to July 1, 1968, accrue leave at the rate of 1-3/4 days per full calendar month of employment, plus one additional day of annual leave credited on the last day of the fiscal year (June 30), in accordance with the University's Manual of Personnel Directives.

with the realization that they are subject to the availability of funds, and to the approval not only of the University Librarian, but of the Director of the Budget and the Provost of the University.

A librarian who is a candidate for an advanced degree may apply for leave without pay for a period of not more than 12 months.

Librarians are entitled to leave as compensation for overtime only in those cases where duty is performed at the request of the library. All other leave - sick, without pay, military, civil, temporary disability, extended leave of absence, bereavement, etc. - is granted in accordance with the regulations of the Office of Personnel Services.

XI. Educational Benefits

Librarians are entitled to educational benefits as specified by the Office of Personnel Services. Enrollment in a course held during the librarian's established working hours must be approved by the appropriate department head, division chief, and the University Librarian. Hours missed to attend classes shall be rescheduled at the convenience of the Library. Candidates for an advanced degree may apply for leave without pay for a period of not more than 12 months. Upon return, the librarian will be restored to a position of no less professional rank nor salary than held before.

XII. Retirement

A librarian shall retire at the end of that fiscal year in which he reaches the age of 65. In special circumstances, at the request of the librarian and upon the recommendation of the University Librarian, supported by a showing of program need, he may be reappointed for a maximum of one year in full-time service and one additional year in a half-time capacity.

During such extension beyond the age of 65, a librarian shall receive compensation at a rate no higher than his last full-time service salary.

The University has entered into a retirement program agreement with the Teachers Insurance and Annuity Association. This agreement is organized on a dual participation basis. All full-time librarians on regular appointment are eligible to participate.

XIII. Professional Ranks and Standards for Librarians

In addition to minimum experience and educational qualifications, appointment and promotion are dependent on professional growth and development, evidenced by increased contribution to the educational program of the University, active scholarship, participation in professional societies, appropriate public service, and membership on University committees. In order to be promoted to the next rank a librarian must have demonstrated the ability to meet the requirements of that rank.

It is recognized that professional growth, and extensive participation in each of the above mentioned

areas, represent an ideal that may not be satisfied fully by any one person. Quality librarianship and scholarly activity are given more weight than other criteria.(6)

LIBRARIAN I

Nature of Work: Moderately responsible and difficult work performed under close initial supervision until the library's policies and procedures are mastered, with difficult problems thereafter being solved in conference with a supervisor. Incumbents are expected after several months of experience to be able to perform specific jobs with considerable mastery of detail and technical competence; to contribute to policy discussions; to keep abreast of library developments through reading the principal journal literature of library science; to demonstrate interest in the University's overall educational program by direct participation in its activities where possible. Incumbents may supervise other employees or head departments.

Examples of Typical Duties: Answers reference questions requiring an advanced level of knowledge and training; interprets card catalog; checks lacks in library holdings and prepares lists of desiderata; prepares bibliographies for faculty members; does research necessary to satisfy requests for information; performs original and other cataloging; classifies books and serials; participates in the educative function of a librarian; keeps records and makes reports; supervises support personnel; consults with faculty regarding the development of the book and serial collection.

Educational Requirements: Master's degree.(7) Competent reading knowledge of one or more foreign languages, or competency in statistics, computer programming, or a related area.

Minimum Experience Requirements: None. If a candidate offers professional library experience at the time of his initial appointment, his initial salary may be beyond the minimum for the rank, provided funding is available.

Limit of Service: Four years. (See also Section IV.C.2.)

6. Those members of the staff already holding appointments as librarians but who do not possess a graduate degree are not eligible for promotion beyond the rank of Librarian II until all educational requirements are satisfied.
7. A 5th-year Bachelor's degree in Library Science will be accepted in lieu of a Master's degree.

LIBRARIAN II

Nature of Work: Responsible and difficult work performed under general supervision only; otherwise, the same as that of Librarian I, except that, in addition, incumbents show positive evidence of professional development through such activities as the following:

Participation in the work of library associations;

Contributions to library literature;

Pursuit of further formal education which will contribute to effectiveness as librarians;

Research which contributes either to the more effective operation of a particular library or of libraries in general.

Examples of Typical Duties: The same as those of Librarian I, plus such additional responsibilities as the following:

Original cataloging of difficult books in specialized subject-matter fields or for special collections;

In-depth reference work in a particular field or special topic;

Compilation and editing of complex statements of library policy and procedure;

Reconstruction of the bibliographic history of unusually complex serial publications;

Selection and evaluation of audio-visual materials;

Staff work related to gift collections, such as estimating utility, extent of duplication, cost of restoration, value of a collection as a whole, and the value of individual titles in a collection.

Educational Requirements: Same as for Librarian I.

Minimum Experience Requirements: Two years of full-time professional experience as a librarian.

Limit of Service: None. Once the librarian has held this rank for five years, and provided he meets the educational requirement for the next highest rank, he must be reviewed for promotion by the Council of Librarians. Each unsuccessful review for promotion must be followed by further reviews every three years, or more often at the option of the Council of Librarians.

LIBRARIAN III

Nature of Work: The same as that of Librarian II, and, in addition, a responsibility to put into successful practice the insights into library

problems which experience has provided, to participate at a high level of effectiveness in the development of policy and the solution of complex problems, to make significant contributions to librarianship or scholarship.

Examples of Duties: The same as those of Librarian II, plus tasks requiring substantial experience as a librarian and advanced training in other fields such as computer science, management, statistics, history or literature. Typical assignments might include one of the following:

Analysis of the work of a major department or function, flow charting of routines, decisions on the introduction and successful implementation of machine systems;

Analysis of bibliographic information needs, evaluation and selection of resources to fill those needs;

Development of a training program, through seminars, workshops, or a specially prepared syllabus, for an academic department needing orientation in library research resources;

Analysis of the financial records of the library and procedures for their creation, with a resultant simplification of procedures and increased accessibility of data needed for management and report purposes;

A study of the imprints of a geographical area held in the rare books collection of the library, and preparation for publication of a special catalog of these imprints. Work would involve considerable knowledge of the general and printing history of the area, textual comparison of the library's copies with copies in other repositories, study of the relationship of the publication of specific titles to historical events occurring in the area, and preparation of a narrative description of all relevant material regarding each title.

Educational Requirements: Same as for Librarian II, and in addition, possession of a second master's degree, a post-baccalaureate professional degree, or an earned doctorate.

Minimum Experience Requirements: Seven years of full-time professional experience.

Limit of Service: None. Once the librarian has held this rank for five years, and provided he meets the educational requirement for the next highest rank, he must

be reviewed for promotion by the Council of Librarians. Each unsuccessful review for promotion must be followed by further reviews every three years, or more often at the option of the Council of Librarians.

LIBRARIAN IV

Nature of Work: The same as that of Librarian III, plus effective participation in policy making and problem solving at the highest level of library service. Advanced training and extensive library experience are required.

Examples of Duties: The same as those of Librarian III, and additional assignments such as the following:

Analysis of a major aspect of the operation of the library - its resources, budget, staffing, management, physical plant, use, policies, or procedures; e.g., a study of users' information needs, the degree to which these needs are being met, and recommendations for changes to satisfy unmet needs.

Participation in a major research effort for the solution of library problems; for example, a foundation interested in the solution of library problems through recommendations which can be given a national application establishes a research team whose work will be funded over a period of five years. Its goal is to change the emphasis in academic library statistics reporting from gross holdings, staff and budget reflections to a measure of a library's effectiveness in meeting the needs of the institution it serves. The team will develop a statistical method of indicating an institution's library needs, and the extent to which the library's existing resources, staff, physical plant, and budget meet those needs. The team will establish a rating system for libraries, based on institutional needs, comparing cost effectiveness of libraries within the same category. The major result of the project will be the creation of a realistic basis for academic library standards. A librarian with advanced training in statistics and an established reputation in research might serve on such a research effort and would be granted leave for that part of the study requiring full-time attention.

Analysis of library support needed for a specific academic program; for example, the Consortium decides to establish a doctoral program for a geographic ethnic region outside the United States. An interdisciplinary approach is required. Graduate training related to a discipline involved in the region of the area studies program is to be allocated to the appropriate departments of specific Con-

sortium institutions. This library, having a librarian with a doctorate in the same field of study, is able to offer his services to analyze library support in the Consortium universities for each of the disciplines involved, to correlate this support with the assignment of institutional responsibility, to identify areas in which resources fail to support the program, and to determine the mutual transfer of holdings and adjustments of acquisitions programs required.

Educational Requirements: An earned doctorate degree or comparable professional degree.

Minimum Experience Requirements: Twelve years of full-time professional experience.

Limit of Service: None.