PROCEDURES FOR APPOINTMENT, PROMOTION, ADVANCEMENT, AND CAREER STATUS ACTIONS FOR REPRESENTED ACADEMIC APPOINTEES, LIBRARIAN SERIES, UCSC (PAPAREP/LS)

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APPENDICES HAVE BEEN REVISED, AND THE FORMS FOR REVIEW CONSOLIDATED. ALL FORMS AND OTHER APPENDICES USED IN THE REVIEW PROCESS ARE LINKED TO NEW APPENDIX XV SO INDIVIDUALS CAN FIND THE DOCUMENTS PERTAINING TO REVIEW EASIER.

APPENDIX I -Note: References to sections of the Academic Personnel Manual include references to the same sections incorporated in the current Memorandum of Understanding for University of California Librarians (Will be revised 09-10 with CAPA recommendation).

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The following old appendices are now part of new appendix XV

- Recommendation Form (pink) *Old Appendix XIV*
- Academic Review Record Contents Form (blue) *Old Appendix XV*
- Checklist to Assure Fairness (green) *Old Appendix XI*
- Content and Format of Written Reviews (white) *Old Appendix XII*
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**PROCEDURES FOR APPOINTMENT, PROMOTION, ADVANCEMENT, AND CAREER STATUS ACTIONS FOR REPRESENTED ACADEMIC APPOINTEES, LIBRARIAN SERIES, UCSC**

Academic appointees who provide professional services in University of California libraries in support of the institution's educational, research, and public service functions hold titles in the librarian series. Policies and procedures pertaining to the employment relationship between academic appointees in the librarian series who are represented and the University are contained in the Memorandum of Understanding, University of California and University Council-American Federation of Teachers, Professional Librarians Unit (UC-AFT) and remaining applicable sections of the University of

In order to assure adequate consideration of all proposals for personnel actions in this series, each Chancellor, in consultation with the University Librarian or comparable administrative officer and after opportunity for receiving recommendations from appropriate representatives of the campus division of LAUC [the Librarians Association of the University of California], shall establish review procedures which:

1. meet the requirements of MOU Article 4.a.;

2. utilize appropriately the criteria mentioned in MOU, New Article ___: Criteria for Appointment, Merit Increase, Promotion, and Career Status Actions;

3. are consistent with the procedures and provisions of MOU, Article 4.C.1-20;

4. insure that all recommendations and decisions are based solely upon the material in the academic review record, MOU, Article 4.C.14; and

5. are appropriate to the needs and functions of the campus.

In accordance with this directive, following are "Procedures for Appointment, Promotion, Advancement, and Career Status Actions for Represented Academic Appointees, Librarian Series, UCSC" (PAPAREP/LS). Included in the procedures are delegations of authority and responsibilities of individuals and committees.

AUTHORITY AND RESPONSIBILITIES FOR APPOINTMENTS, MERIT INCREASES, PROMOTIONS, AND CAREER STATUS ACTIONS

1.1 Executive Vice Chancellor

The Chancellor has delegated to the Executive Vice Chancellor, for those in the librarian series who report directly to the University Librarian:

1. Authority to approve promotions, merit increases, and career status actions, after appropriate review; and

2. Responsibility for appointing ad hoc review committees, following recommendation for their appointment by the LAUC/SC Committee on Appointment, Promotion, and Advancement, who shall nominate members.

1.2 University Librarian

1. The Chancellor has delegated to the University Librarian authority to approve appointments at within-scale salaries, after appropriate review, for those in the librarian series.

2. The Chancellor has delegated to the University Librarian, for those in the librarian series who do not report directly to the University Librarian:

   a. Authority to approve promotions, merit increases, and career status actions, after appropriate...
review; and

b. Responsibility for appointing ad hoc review committees, following recommendation for their appointment by the LAUC/SC Committee on Appointment, Promotion, and Advancement, who shall nominate members.

1.3 Assistant/Associate University Librarian, Administrative Services

The University Librarian has delegated to the Assistant/Associate University Librarian, Administrative Services (AUL/AS) the following responsibilities:

1. Coordinating a recruiting program and monitoring its effectiveness with respect to equal opportunity/affirmative action programs;

2. Gathering documentation relevant to potential appointments;

3. Soliciting and processing merit increase, promotion, and career status recommendations;

4. Advising, without prejudice, in the preparation of documentation by librarians who wish to present responses or remarks concerning their reviews; and

5. Serving as liaison between the University Librarian and the Chair of the Committee on Appointment, Promotion, and Advancement of the Librarians Association of the University of California, Santa Cruz.

1.4 Assistant Vice Chancellor Academic Personnel

The Executive Vice Chancellor has delegated to the Assistant Vice Chancellor Academic Personnel or designee, for those in the librarian series who report directly to the University Librarian, the following responsibilities.

1. Processing merit increase, promotion, and career status recommendations; and

2. Serving as liaison between the Executive Vice Chancellor and the Chair of the Committee on Appointment, Promotion, and Advancement of the Librarians Association of the University of California, Santa Cruz.

1.5 Review Initiators and Secondary Supervisors

The University Librarian has delegated to review initiators the following responsibilities:

1. Reviewing applications and recommending candidates for appointment;

2. Meeting annually with librarians to formulate goals and objectives for the next review period and if appropriate update the librarian’s Statement of Duties and Responsibilities;

3. Providing and reviewing the Statement of Duties and Responsibilities to new librarians within thirty (30) days of his/her date of hire. If significant permanent or interim duties are added to a librarian’s position during a review period, the description of the new duties will be added to the librarian’s...
Statement of Duties and Responsibilities and placed in the librarian’s personnel file in a timely way. The librarian will meet with the Review Initiator, discuss the contents of the Statement of Duties and Responsibilities and the librarian shall indicate his/her receipt of its contents by signing the document. (see MOU, Article 6);

4. Evaluating librarians for merit increases, career status, promotions, and recommendation for terminations; and

5. Gathering appropriate documentation in support of their recommendations.

The University Librarian has delegated to the Secondary Supervisor(s) the following responsibilities:

1. Working with assigned librarians in their area to define the secondary assignment;

2. Meeting annually with assigned librarians to formulate goals and objectives for the next review year and if appropriate, update the librarian’s Statement of Duties and Responsibilities and;

3. Providing an open, non-confidential letter to the file describing the librarian’s contribution over the review period.

1.6 Assistant / Associate University Librarians

The University Librarian has delegated to the line AULs who are not supervisors/review initiators in the candidate’s appointment and review process, the following responsibilities:

1. When recruiting for librarians within their departments, participating in the design of the recruitment documents, participate in meeting as required when there are disagreements, screening applicants, participating in the interviewing of candidates, providing feedback to the hiring supervisor, and reviewing and discussing recommendations from their hiring supervisor for appointments.

2. When librarians within their departments come up for review and the AUL is not the review initiator, reviews the complete file before it goes to CAPA and then the Deciding Officer for a decision. The line AUL meets with their review initiators, and reviews their recommendations for merit increases, career status, promotions, no actions, and terminations, and provides a written recommendation to the University Librarian when they disagree with the review initiator’s recommendation.

When line AUL is used in this document it refers to an AUL who is not the hiring supervisor, or review initiator in the processes.

1.7 Committee on Appointment, Promotion, and Advancement

The Committee on Appointment, Promotion, and Advancement (CAPA) is a standing committee of the Librarians Association of the University of California, Santa Cruz (LAUC/SC). Its membership and composition are described in LAUC/SC Bylaws.

1. The Executive Vice Chancellor and the University Librarian have designated CAPA as the committee to (a) review recommendations affecting appointments and any change in rank, salary,
career status, or termination based on performance for those in the librarian series; (b) recommend appointment of ad hoc review committees and nominate members for appointment to such committees; and (c) nominate members for appointment to ad hoc selection committees.

2. The University Librarian has designated CAPA to fulfill the following responsibilities:

a. As appropriate, advise the University Librarian on the administration of academic personnel policy as it applies to the librarian series;

b. As appropriate, evaluate personnel procedures for the librarian series and recommend any appropriate changes to the University Librarian; and

c. Serve as liaison body between the University Library administration and librarians of the University Library at UCSC on matters within their scope which pertain to academic library personnel.

APPOINTMENTS

2.1 Definition

An appointment occurs when a person is employed in one of three ranks of the librarian series whose immediately previous status was:

1. Not in the employ of the University; or

2. In the employ of the University, but not with a title in the librarian series; or

3. In the employ of the University in the librarian series, but at another campus, in which case provisions of an intercampus transfer apply (see MOU, Article 6, and New Article __ Definitions, Criteria and Terms of Service for Appointment and Promotion).

2.2 Criteria for appointment are set forth in MOU, New Article __ Definitions, Criteria and Terms of Service for Appointment and Promotion and LAUC Position Paper No. 1, "Criteria for Appointment or Promotion to the Ranks of Associate Librarian and Librarian and Advancement to Librarian Step V" (PAPAREP/LS, Appendix III).

2.3 Policy

Consistent with the provisions of applicable State and Federal law, it is the policy of the University not to discriminate against or harass any person employed by or seeking employment with the University because of race, color, national origin, religion, sex, physical or mental disability, medical condition (cancer-related, ancestry, martial status or age. The University also prohibits unlawful discrimination on the basis of sexual orientation, status as a Vietnam-era veteran or special disabled veteran, or on the basis of citizenship. (MOU, Article 2.A) The policies of the "UCSC Library Affirmative Action Program" shall be followed (included in LAUC/SC Handbook: Campus). Recruitments shall fully reflect University of California policy as articulated in -Appendix E.1.A. and conform to "Santa Cruz Campus Academic Recruitment Procedures," (100.500), and policy "Employment of Near Relatives" (106.520) included in LAUC/SC Handbook: Campus.
2.4 Procedure (see also PAPAREP/LS Appendix III, "Appointment Chronology")

Temporary appointments may be excluded from this procedure if all affirmative action guidelines and recruiting criteria are met. See Section H, Waiver of Recruitment, "Santa Cruz Campus Academic Recruitment Procedures," 100.500 included in LAUC/SC Handbook: Campus. See also "Temporary Appointments" (PAPAREP/LS, Appendix IV).

1. Selection Review Committees

a. A Selection Review Committee, referred to as the selection committee hence forward, shall be created for each appointment to the series.

b. Objective

Selection committees are formed to advise supervisors and the University Librarian (UL) in recommending appointments in furtherance of the policy described in MOU, Article 4.A. They provide a means whereby views of a representative group of librarians will be available during the decision-making process.

c. Membership

   i. Any librarian, regardless of rank, may serve on a selection committee, but a committee considering an appointment to the rank of Librarian will normally contain at least one member with the rank of Librarian.

   ii. Units within the Library that often interact with a person in the position to be filled should be represented on the committee when possible. Normally the hiring unit shall not be represented on the committee.

   iii. Membership of the selection committee is not confidential, but its deliberations and recommendation are confidential.

d. Appointment of the Selection Committee

   i. When a vacancy occurs and authorization for recruitment has been approved by the UL in consultation with the Library Management Group, the Assistant/Associate University Librarian, Administrative Services (AUL/AS) shall send CAPA a draft of the position description, a list of librarians eligible to serve on the selection committee, and a request to provide a slate of five names from which the UL, in consultation with the hiring supervisor of the position, shall appoint a selection committee of at least three librarians, designating one chair.

   ii. Selection committee members and the hiring supervisor share in the responsibility to ensure fair application of PAPAREP/LS throughout the process of recruitment. At any point in the recruitment, a member of the selection committee or the hiring supervisor may meet with the AUL/AS or the Chair of CAPA to express concern over the application of procedure. Once reported, serious problems shall be resolved before the recruitment proceeds further.
iii. The selection committee shall remain in existence until an appointment has been made or the search terminated.

2.) Selecting the Interviewees
   a. The AUL/AS, the hiring supervisor and the chair of CAPA shall meet with the selection committee to review and discuss the position description and qualifications being sought, recruitment sources, the hiring process, affirmative action guidelines, and the timetable.

   b. All applications are reviewed by the AUL/AS, the hiring supervisor, the line AUL, the selection committee, and others, as appropriate. The hiring supervisor informs the selection committee of those candidates for whom letters of reference are being obtained, after consultation with their respective line AUL. If the selection committee believes that letters should be obtained for additional candidates, it advises the hiring supervisor of this.

   c. When letters of reference are solicited, the writers shall be asked to comment on a candidate's professional background of competence, knowledge, and experience to assure suitability for appointment. The specific questions raised in this request should reflect the requirements of the position expressed in the job description.

   d. Reference checks are normally done by letter. Occasionally reference checks by telephone may be made by the AUL/AS, the hiring supervisor, or other appropriate persons designated by the supervisor or AUL/AS. Guidelines in PAPAREP/LS 2.c must be followed. The caller must also inform the person giving the reference that the questions and comments will be documented and will become part of the candidate's file.

   e. After letters of reference have been received, the selection committee, in writing and in a document signed by all members, advises the hiring supervisor on an interview list. The hiring supervisor notifies the selection committee in writing of the names of those serious candidates who have been selected for interviewing after consultation with the line AUL. The selection committee shall be consulted in case of any additions or changes to the interview list.

   f. If the hiring supervisor and the selection committee do not agree on interviewing an individual candidate, the UL and AUL/AS will meet with the hiring supervisor, the line AUL, and the selection committee to discuss the matter. The final decision on which candidates are to be interviewed is normally made by the hiring supervisor in accordance with standard policies and procedures.

3.) Interviews
   a. For each candidate invited to campus, the AUL/AS and the hiring supervisor shall arrange a schedule of interviews. The hiring supervisor is responsible for the formulation of the presentation topic and may use the selection committee's feedback in designing the presentation topic. The hiring supervisor shall arrange for unit members to meet the candidate, and solicit feedback after the interviews are completed.

   b. If the hiring supervisor wishes to consult with the selection committee after an interview, the entire committee shall, if possible, be present for the discussion.
4. Recommendation
   a. After the last scheduled interview, the hiring supervisor shall meet with their line AUL to discuss the pool of interviewees.

   b. The hiring supervisor should meet with the selection committee for discussion. At this meeting, they shall determine the adequacy of the pool of interviewees. If the pool is deemed inadequate, additional candidates may be interviewed, the search may be aborted, or the recruitment may be reopened.

   c. If the pool is considered adequate, the selection committee shall present its tentative recommendations, rankings and views. The hiring supervisor shall report any relevant information received from other participants in the interview process.

   d. If the candidate being recommended by the hiring supervisor is one whose appointment the selection committee does support, the committee shall write a recommendation on that candidate. The recommendation shall be sent to the hiring supervisor and shall be signed by all agreeing members. Any committee member may submit a separate report. The AUL/AS will forward the documents listed in PAPA REP/LS 2.5. to CAPA for review.

   e. If the hiring supervisor is intending to recommend the appointment of a candidate to the selection committee that is unsupported by the committee, the supervisor shall notify the AUL/AS and the UL, who will meet with the hiring supervisor and the committee to discuss the matter. If there is no resolution, the committee will prepare a written assessment on the hiring supervisor's choice to be forwarded to CAPA along with the hiring supervisor's recommendation.

2.5 CAPA Review

The AUL/AS shall submit the following documentation to CAPA for its review. CAPA is to assure that the candidate recommended for appointment meets the criteria set forth in MOU, New Article Definitions, Criteria, and Terms of Service for Appointment and Promotion, and provisions for open recruitment as described in MOU, Article 2.B.1.

(1). Letter of recommendation from the hiring supervisor to the UL which provides a comprehensive assessment of the candidate's qualifications and which shows evidence of consultation with and evaluation by appropriate members of the staff, including the selection committee.

(2). Recommendation of the Selection Committee

(3). Biography Form.


(5). Publications or other evidence of creative work.

(6). Copy of position description.

CAPA shall write its recommendation to the UL and turn the packet back in to the AUL/AS.
2.6 Decision

If the UL concurs, the UL shall offer the position to the candidate and announce the decision to the line AUL, hiring supervisor, the selection committee, and CAPA.

2.7 Evaluation of the Recruitment

The AUL/AS and CAPA Chair shall meet with the hiring supervisor and the selection committee once the recruitment is finished to discuss the completed process and explore suggestions for improvement. If the previous CAPA Chair was actively involved in the recruitment, participation by the previous or both chairs is acceptable.

MERIT INCREASES, PROMOTIONS, AND CAREER STATUS ACTIONS FOR REPRESENTED LIBRARIANS

3.1 Definitions

1. A merit increase is advancement in salary within rank in the librarian series

2. A promotion is advancement to a higher rank within the librarian series.

3. Career status is achieved upon successful completion of a suitable trial period in potential career status. Career status may be recommended as a separate action not tied to another review action, such as a merit increase or promotion.

4. An accelerated review is a review that is conducted prior to the candidate serving the normal period of service at rank and step.

5. An accelerated advancement is a two step advancement within rank awarded only when achievement has been exceptional, recommended at either a regular or an accelerated review.

6. An accelerated promotion is a two step advancement in conjunction with promotion, awarded only when achievement has been exceptional, recommended at either a regular or an accelerated review.

7. A no action decision is a denial of advancement resulting from a merit or promotion review, which may occur in any of the following situations:

   a. A no action decision occurs when a candidate is eligible for promotion or merit increase, but the review file does not justify advancement. This does not necessarily mean that the candidate's performance is unsatisfactory. However, a no advancement decision can also occur when performance is judged to need improvement. In particular, demonstrated ability and achievement, along with requisite development, is judged not to be outstanding in the first criterion, Professional Competence and Quality of Service Within the Library.

   b. A no action decision is the normal decision for the mandatory review of a candidate being reviewed at an indefinite step (e.g., Associate Librarian VII, Librarian Step V, or Librarian Step VI)
c. A no action decision occurs when the candidate is a Librarian VII, since there are no higher ranks or steps available. This is a mandatory review, every three years.

8. A deferred review is the omission of an academic review during a year when a review would normally take place. It is a neutral action which can only be initiated with the written agreement of the reviewee.

a. A review may be deferred if prolonged absence or other unusual circumstances have resulted in insufficient evidence to evaluate performance. Reasons for review deferral must be in writing and all proposed deferrals must be submitted for written recommendations to the University Librarian. The University's decisions concerning review deferrals shall not be subject to grievance and arbitration. (see PAPAREP/LS Appendix VIII for deferral procedures).

b. When a deferral takes place, the review is deferred for one year whether a person's review cycle is 2 or 3 years. Hence deferral for an additional, consecutive year should be regarded as a new request and thus subject to the same procedure. After the completion of a review which has been deferred, the review cycle will resume anew at the 2 or 3 year interval.

9. A termination may occur when the review indicates that the candidate has failed to achieve or maintain a satisfactory level of performance. This action triggers the preliminary assessment process. (See MOU, Article 4.C.18., 19., and 20.)

Actions that may result from reviews may be found in the MOU, Article 4.B, C.2, 20 and in PAPAREP/LS, Appendix VI.

3.2 Normal Intervals and Periods of Service for Reviews in the Librarian Series

1. Normal intervals for reviews of librarians are as follows:
   a. Assistant Librarians, Steps I-III: every two years
   b. Associate Librarian, Steps I-VI: every two years
   c. Associate Librarian, Step VII: every three years
   d. Librarian I-VII: every three years

2. Normal periods of service at ranks and steps are as follows:

   a. Assistant Librarian
   The period of service at each Assistant Librarian step is normally two years.

   b. Associate Librarian
   (1) The normal period of service at Associate Librarian Steps I through VI is two years.
   (2) Service at Step VII may be three years or of indefinite duration.

   c. Librarian
   (1) The normal period of service at Librarian Steps I through IV is three years.
   (2) The normal period of service at Step V is one of indefinite duration.
   (3) Advancement to Step VI will normally not be considered with less than three years of service at Step V.
Advancement from Step V to Step VI is reserved for Librarians with a distinguished career history who have demonstrated significant achievement since attaining Step V.

The normal period of service at Librarian Steps VI and VII is one of indefinite duration.

3.3 Criteria

At the time of original appointment to a title in this series, each appointee shall be informed that continuation or advancement is justified only by demonstrated skills and achievement which will be determined after objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for continuation or advancement, there is no obligation on the part of the University to continue or to promote. On the other hand, accelerated promotion is possible if achievement has been exceptional. An appointee will be eligible for promotion only if there are demonstrated superior professional skills and achievement. For some, promotion may involve a position change; for others, promotion may not necessarily involve position change but will depend upon increased responsibility as well as growing competence and contribution in the same position. The assumption of administrative responsibilities is not a necessary condition for promotion.

A candidate for merit increase or promotion in this series shall be judged on the basis of professional competence and quality of service rendered within the library and, to the extent they are relevant, one or more of the following: professional activity outside the library; University and public service; and research and other creative activity.

The criteria as set forth in detail below are intended to serve as general guidelines and do not preclude consideration of other unique service to the University. In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of these criteria.

Professional Competence and Quality of Service Within the Library

1) Although contribution in each of the following areas will vary considerably from person to person depending on each person's primary functions as a librarian, performance and potential shall be reviewed and evaluated in any or all of the five major areas of librarianship: selection and development of resources; bibliographic control of collections and their organization for use; reference and advisory service; development and application of specialized information systems; and library administration and management. Additionally, librarians should be judged on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.

2) Evidence of effective service may include the opinions of professional colleagues, particularly those who work closely or continuously with the appointee; the opinions of faculty members, students, or other members of the University community as to the quality of a collection developed, for example, or the technical or public service provided by the candidate; the opinions of librarians outside the University who function in the same specialty as the candidate; the effectiveness of the techniques applied or procedures developed by the candidate; and relevant additional educational achievement, including programs of advanced study or courses taken toward improvement of language or subject knowledge.
Professional Activity Outside the Library

A candidate's professional commitment and contribution to the library profession should be evaluated by taking account of such activities as the following: membership and activity in professional and scholarly organizations; participation in library and other professional meetings and conferences; consulting or similar service; outstanding achievement or promise as evidenced by awards, fellowships, grants; teaching and lecturing; and editorial activity.

University and Public Service

Recognition should be given to those who participate effectively and imaginatively in library-wide and University service (including serving on campus or University-wide administrative or academic committees, and in professional librarian services to the community, the state, and the nation.

Research and Other Creative Activity

Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. It is therefore appropriate to take research into account in measuring a librarian's professional development. The evaluation of such research or other creative activity should be qualitative and not merely quantitative and should be made in comparison with the activity and quality appropriate to the candidate's specialty. Note should be taken of continued and effective endeavor. Reports, handbooks, manuals, and similar documents may be considered under this heading only if they present new ideas or incorporate research; otherwise, they should be regarded solely as evidence of professional service.

Criteria are set forth in PAPAREP/LS, Appendix VI, PAPAREP/LS, Appendix I, "Definitions of Steps for Advancement" (PAPAREP/LS, Appendix VI), and LAUC Position Paper No. 1, "Criteria for Appointment or Promotion to the Ranks of Associate Librarian and Librarian and Advancement to Librarian Step V" (PAPAREP/LS, Appendix II).

3.4 Review Procedure

Initiation of the Review, and Exceptions to Normal Review Eligibility or Procedures

General

A calendar of due dates for the review process and a letter informing each librarian of his or her eligibility for review shall be issued and distributed each year to every member of the librarian series no later than 30 days prior to the first action of the review process (MOU, Article 4.C.3). Each librarian should also receive the supervisor and secondary supervisor list, and indicate back to the AUL/AS any changes. In addition, each librarian shall meet annually, between the date of the CALL through the last day of the prior review year, with their review initiator and if appropriate, secondary supervisor(s), to formulate the librarian's goals and objectives for the next review year and if it is the beginning of a new review period for the librarian, reaffirm that their Statement of Duties and Responsibilities is accurate or make changes as appropriate (MOU, Article 6). If there are changes to the Statement of Responsibilities, the revision should be forwarded to the Library Office for retention in the librarian's personnel file. The goals and objectives document(s) are retained by both
the supervisor, secondary supervisor (if appropriate), and librarian to use throughout the review year for reference, and re-negotiation, as needed.

If the librarian is up for review, shortly after being informed of an impending review, the review initiator and the candidate shall meet to discuss the entire review process and the criteria specified in PAPAREP/LS 3.3. The candidate shall be given the opportunity to ask questions and to supply pertinent information and evidence to be used in the review. See MOU, Article 4.C.1. for normal intervals for academic reviews of those in the librarian series. See also "Librarian Series: Normal Periods of Service" (PAPAREP/LS, Appendix VII and PAPAREP/LS 3.2.1). For deferred review procedures, see PAPAREP/LS, Appendix VIII.

b. Exceptions to normal review eligibility and procedures

1. No action - denial of advancement: If, during the period under review where the librarian would normally be eligible for merit increase or promotion there is not sufficient reason to recommend advancement of the librarian the recommendation results in a no action.  If a review for normal merit increase or promotion results in denial of advancement (no action), the librarian will not be up for review again until another interval of the standard years at step has been served. Should candidates choose to put themselves forward for the same review (i.e. normal merit or promotion), before this interval has passed, that action in and of itself would not constitute an acceleration since the normal time at step has already been served and the material submitted in the prior review was not previously rewarded with any type of advancement. In either event, the subsequent review period would commence with the last positive advancement in rank, step or salary.

2. Retention action: When a librarian receives an offer from another institution, the University Librarian may decide to make a counter offer consisting of a step or rank advancement after consultation with appropriate managers. The University Librarian has the final decision on whether to use the counter offer process or not after reviewing the offer letter or other written evidence of the outside offer. If the librarian receiving an outside offer of employment has time constraints set by the other institution that would preclude the standard academic personnel review for step or rank advancement, an abridged review file may be put forward for the purpose of retaining the librarian. The abridged file must include the following:

a. Review Initiator letter of recommendation;

b. An updated bio-bibliography, or updated resume, CV;

c. The Deciding Officer’s decision letter from the most recent review;

d. A signed Checklist to Assure Fairness form;

e. A recommendation from CAPA. However, to expedite the packet, CAPA waives providing a recommendation in the abridged retention packet, if the
candidate received a review decision within the last review period

Once the packet has been assembled, the AUL/AS passes it on to the line AUL, if they are not the direct manager/supervisor. The line AUL reviews the packet and writes a recommendation to the UL. The University Librarian has the authority to approve this type of merit increase for retention purposes. A subsequent review cycle will begin once the decision has been finalized except for the following rank and step actions:

For those librarians in the following ranks and steps where an abridged review takes place as a result of a counter offer:

Assistant II, or III (whose resulting action could/would be promotion and career status to the Associate rank);

Associate VI or VII (whose resulting action could/would be promotion to the Librarian rank);

Librarian V (whose next action would be the distinguished step);

For those in the Assistant rank whose retention move puts them in the Associate rank, at the next call after the retention action, a full review file with letters will be prepared for the review, even though the anticipated action may only be an one step advancement or no action. For those in the Associate rank whose retention move grants them promotion to the Librarian rank, and for those whose retention move grants them the distinguished step; at the next call after the retention action, a full review file that reflects on the career of the librarian and includes letters will be prepared, even though the anticipated action may only be a one step advancement or no action.

3.5. Review Roles: The Candidate

a. As part of the academic review file when the candidate is up for review or requests an accelerated review, receives from the AUL/AS a copy of "Candidate's Instructions for Completing Review Documentation", and the following documents, which the candidate updates and submits to the review initiator for inclusion in the academic review record:

i. Biography Form.

ii. Most recent Biography Supplement.

b. May submit to the review initiator for inclusion in the academic review record the following optional documents or information:

i. A self-evaluation of performance since the last review (or since employment at the University of California, Santa Cruz if this is the first review) in terms of the criteria specified in PAPAREP/LS, 3.3. See "Guidelines for Self-Evaluations".

ii. Names of persons who are familiar with the candidate's performance, indicating area(s) of performance about which the person might be particularly knowledgeable. See "Persons Recommended by Candidate for Letters of
iii. Names, in writing, of persons who, in the view of the candidate, for reasons set forth, might not objectively evaluate the candidate's qualifications or performance. Any such statement provided by the candidate shall be included in the review file.

iv. Letters of comment about the candidate's performance which have been received during the period under review.

c. Meets with the review initiator and discusses the documents in the preliminary stages of the process and the evaluation in the later stages.

d. During the review process shall receive a redacted copy of confidential documents in the academic review record. See MOU, Article 4.C.11

e. May submit for inclusion in the academic review record a written statement in response to or commenting upon non-confidential and confidential material in the record. (MOU, Article 4.C.12.)

f. In any case where the candidate wishes to respond to the evaluation or recommendation, the AUL/AS, if requested, shall, without prejudice, advise the candidate in the preparation of documentation.

g. Signs "Checklist to Assure Fairness".

h. If during subsequent committee review of a recommendation additional documentation and/or clarification of existing documentation is solicited from the review initiator through the AUL/AS or Vice Chancellor of Academic Personnel (for those who report directly to the University Librarian), he or she shall provide the candidate a copy of the request for additional information and a redacted copy of any confidential material. The candidate shall initial all additional material supplied by the review initiator. The candidate has 5 working days to submit for inclusion in the review record a written statement in response to the additions to the record. See PAPAREP/LS 3.8.1.C.

i. If responding to an additional request for information, signs the "Checklist to Assure Fairness for Submission of Additional Information."

3.6 Review Roles: The Review Initiator:

a. Meets with the candidate and discusses all of the non-confidential documents in the academic review. MOU, Article 4.C.10.

b. Solicits confidential letters from qualified persons, including a reasonable number from those whose names have been provided by the candidate, in the following cases:

1. The candidate is eligible for promotion; or career status; or advancement
from Librarian IV to Librarian V; or advancement from Librarian V to Librarian VI;

2. The candidate requests an accelerated review;

3. The candidate requests consideration for an accelerated advancement or the review initiator finds that the dossier merits a recommendation for accelerated advancement;

4. The review initiator finds that the dossier merits a recommendation of no action, or when the previous review resulted in no action;

5. CAPA finds that the dossier merits a recommendation of no action or accelerated advancement.

6. At the candidate's request during a mandatory review, the review initiator will not solicit letters for a candidate at Associate Librarian Step VII, Librarian Step V, or Librarian Step VI whose previous review resulted in no action. Letters shall not be solicited for a candidate at Librarian Step VII.

c. Solicits an open, non-confidential letter from each secondary supervisor concerning the candidate's secondary assignments.

d. Provides the candidate a redacted copy of confidential documents in the academic review record

e. Submits the draft evaluation to the AUL/AS to insure that it is fair, comprehensive and persuasive

f. Meets with the line AUL to review the file before it is presented to the candidate. The line AUL signs the Checklist to Assure Fairness that they have seen the file and met with the review initiator. If the line AUL disagrees with the review initiator recommendation, the line AUL includes a letter stating the reasons they support an alternate recommendation referring to the criteria in PAPAREP/LS 3.3. This letter is included in the file presented to the candidate, the candidate provides evidence of seeing the line AUL recommendation by signing the bottom of the AUL recommendation. As with any other documentation in the file, once the evaluation and recommendations have been made, the candidate has 5 working days from receipt of the evaluation(s), recommendation(s) in which to respond. Candidate's written statement, if any, must be included in the academic review record.

g. Presents the candidate a written evaluation, a recommendation, and the justification for the recommendation (based on the evaluation), using all documentation available and following the criteria referred to in PAPAREP/LS 3.3, and "Content and Format of Written Reviews" See also "Recommendation Form" PAPAREP/LS, and "Academic Review Records Contents Form".

h. If during subsequent committee review of a recommendation the academic review record is found to be incomplete or inadequate, the committee(s) through the AUL/AS (or through the Assistant Vice Chancellor Academic Personnel, for those who report directly to the University
Librarian) may ask the review initiator for additional documentation and/or clarification of existing documentation. A copy of the request is sent through the AUL/AS (or Assistant Vice Chancellor Academic Personnel) to the review initiator who forwards a copy to the candidate. All provisions for obtaining additional material will apply. See PAPAREP/LS 3.8.1.c.

### 3.7 Review Roles-Line AUL, if not the Review Initiator

- a. Meets with the review initiator to review the file before it is presented to the candidate. The line AUL signs the Checklist to Assure Fairness that they have seen the file and met with the review initiator.

b. If the AUL disagrees with the review initiator recommendation, the line AUL includes a letter stating the reasons they support an alternate recommendation referring to the criteria in PAPAREP/LS 3.3, PAPAREP/LS, Appendix I, "Definitions of Steps for Advancement" (PAPAREP/LS, Appendix VI), and LAUC Position Paper No. 1, "Criteria for Appointment, Promotion, and Advancement in the Librarian Series" (PAPAREP/LS, Appendix II) and uses this documentation to determine in each case whether, in their judgment, the review record justified a different action than recommended by the review initiator.

c. The line AUL letter (if any) is included in the file presented to the candidate, the candidate provides evidence of seeing the line AUL recommendation by signing the bottom of the AUL recommendation and initialing the Checklist to Assure Fairness. As with any other documentation in the file, once the evaluation and recommendations have been made, the candidate has 5 working days from receipt of the evaluation(s), recommendation(s) in which to respond. Candidate’s written statement, if any, must be included in the academic review record.

### 3.8 Review Roles: The Assistant/Associate University Librarian, Administrative Services

a. Provides training and support for supervisors in university-wide and local policy, procedure and practice.

b. Reviews the draft evaluation to insure that it is fair, comprehensive and persuasive.

c. Receives the academic review record from the review initiator.

d. Checks the documentation for completeness and accuracy, including: that all appropriate materials are enclosed and in order; that all forms are complete, signed and dated; that the evaluation addresses the action recommended on the cover sheet.

e. Forwards the academic review record to the Chair of CAPA (or appropriate CAPA member).

f. Receives the academic review record and CAPA’s written recommendation from the Chair of CAPA (or appropriate CAPA member).

g. Forwards the academic review record to the Deciding Officer for a decision.
h. The **AUL/AS** responds to queries from candidates, review initiators, and deciding officers about the status of files that are not completed by the date when candidates are scheduled to be informed of decisions.

i. After the decision has been received by the candidate and the review initiator, sends copies of the CAPA recommendation to the candidate and the review initiator.

### 3.9 Review **Roles**--Committee Review

1.) **Committee on Appointment, Promotion, and Advancement (CAPA):**

   a. Receives the academic review record from the **AUL/AS** or from the **Assistant Vice Chancellor of Academic Personnel** for those who report directly to the University Librarian.

   b. Bases its confidential deliberations on the criteria referred to in **PAPAREP/LS 3.3** and determines in each case whether, in its judgment, the **review file** supports the action recommended by the review initiator **and/or** the **line AUL**.

   c. Shall, through the **AUL/AS** (or through the **Assistant Vice Chancellor of Academic Personnel** for those who report directly to the University Librarian), solicit additional information if, in **CAPA**'s judgment, the written evidence is incomplete or inadequate to enable it to reach a clear recommendation (**MOU, Article 4.C.15**). If CAPA requests additional documentation and/or clarification of existing documentation, the **AUL/AS** (or **Assistant Vice Chancellor of Academic Personnel**, for those who report directly to the University Librarian) shall provide the review initiator a copy of the request for new material. The review initiator, after providing the candidate with a copy of the request, will provide additional information or solicit additional confidential letters if they have been requested, and will provide to the candidate a redacted copy of any confidential documents added to the record. The review initiator may comment on the new information. The candidate shall initial all additional non-confidential documents supplied by the review initiator. The candidate may respond to the new material within 5 working days of receipt of new material. The candidate will complete the "Checklist to Assure Fairness for Submission of Additional Information" within 5 working days of receipt of new material.

   d. Determines, for each personnel action, if a more extensive review is needed by an ad hoc review committee. The **University Librarian or Executive Vice Chancellor (for those who report directly to the University Librarian)** holds the authority for whether an ad hoc committee is warranted. See **PAPAREP/LS 3.8.2**.

   e. Reviews ad hoc committee reports and returns those that do not comply with the criteria set forth in **PAPAREP/LS 3.3, Appendix I, "Definitions of Steps for Advancement"** (**PAPAREP/LS, Appendix VI**, and **LAUC Position Paper No. 1, "Criteria for Appointment, Promotion, and Advancement in the Librarian Series"** (**PAPAREP/LS, Appendix II**).

   f. Submits to the deciding officer, through the **AUL/AS**, its signed report and recommendation as described in **MOU, Article 4.C.17**, which shall include:

      i. Agreement or disagreement with the review initiator's **and/or** line **AUL**
recommendation(s) and the ad hoc committee report, if there is one.

ii. In the case of disagreement, reasons for the disagreement, and its recommendation and justification.

g. In cases involving a split decision, separate reports shall be submitted.

h. For reviews to be decided by the Executive Vice Chancellor, when a decision has been made, the Academic Personnel Office submits a copy of the CAPA recommendation to the AUL/AS.

2.) Ad Hoc Review Committees:
   a. Membership and Composition

   i. A committee may be separately constituted for each personnel action determined by CAPA, and subject to approval by the University Librarian, to need more extensive review. The membership and deliberations are confidential. See MOU, Article 4.C.17.a-c. and "Memorandum to Ad Hoc Review Committee".

   ii. Ad hoc review committees shall consist of three members.

   (a) For recommended personnel action for candidates holding the rank of Librarian and for recommended promotions to this rank, the committee shall normally be composed of three career librarians with the rank of Librarian.

   (b) For recommended personnel action involving promotion or termination for Assistant Librarians or career status or termination for Associate Librarians, the committee shall be composed of three career librarians with the rank of Associate Librarian or Librarian.

   (c) For recommended personnel action involving a merit increase for an Assistant or an Associate Librarian, the committee shall be composed of three librarians, two of whom shall be career librarians with the rank of Associate Librarian or Librarian.

   iii. CAPA shall nominate a slate of names to the deciding officer, who shall appoint the members, designating one to set up the first meeting. When appropriate, CAPA will provide background material on the persons nominated.

b. Instructions
   i. Each ad hoc committee shall elect a chair from its number.

   ii. In order to expedite the review process and to insure confidentiality, the AUL/AS (or the Assistant Vice Chancellor Academic Personnel, for those who report directly to the University Librarian) and the chair of the ad hoc
committee shall carry out the following:

(a) The ad hoc committee shall convene as soon as possible after receiving notification of appointment.

(b) All personnel records, reports, and documents relating to a candidate's current academic review record shall be marked confidential and when not in use be kept in the Library Office (or the Academic Personnel Office, for candidates who report directly to the University Librarian).

iii. The ad hoc committee receives and reviews the evaluation and all supporting documentation.

iv. The ad hoc committee bases its deliberations on the criteria set forth in PAPAREP/LS 3.3, PAPAREP/LS, Appendix I, "Definitions of Steps for Advancement" (PAPAREP/LS, Appendix VI), and LAUC Position Paper No. 1, "Criteria for Appointment, Promotion, and Advancement in the Librarian Series" (PAPAREP/LS, Appendix II), and determines whether, in its judgment, there is sufficient written evidence to support the action recommended by the review initiator.

v. The ad hoc committee shall, through the AUL/AS (or through the Assistant Vice Chancellor Academic Personnel, for those who report directly to the University Librarian), solicit additional information if, in the ad hoc committee's judgment, the written evidence is incomplete or inadequate to enable it to reach a clear recommendation. (See MOU, Article 4.C.15) If the committee requests additional documentation and/or clarification of existing documentation, the AUL/AS (or Assistant Vice Chancellor Academic Personnel, for those who report directly to the University Librarian) shall provide the review initiator and the candidate a copy of the request for new material. The review initiator will solicit additional confidential letters if they have been requested, and will provide to the candidate a redacted copy of any confidential documents added to the record. The review initiator may comment on the new information. The candidate shall initial all additional non-confidential documentation supplied by the review initiator. The candidate may respond to new material within 5 working days. The candidate will complete "Checklist to Assure Fairness for Submission of Additional Information" within 5 working days of receipt of new material.

vi. The ad hoc committee submits for inclusion in the academic review record through CAPA its signed report and recommendation, as described in the MOU, Article 4.C.17, which shall include:

(a) Agreement or disagreement with the review initiator's
recommendation.

(b) In the case of disagreement, reasons for the disagreement, and its recommendation and justification.

vii. In cases involving a split decision, separate reports shall be submitted.

**4.0 Review Procedure--Deciding Officer**

**The Deciding Officer:**

1. Reviews the line AUL’s recommendation (if there is one), review initiator's recommendation, the ad hoc review committee recommendation (if there is one), the CAPA recommendation, and all supporting documentation in order to reach a decision. The Deciding Officer takes in consideration the criteria set forth in PAPAREP/LS 3.3, PAPAREP/LS, Appendix I, "Definitions of Steps for Advancement" (PAPAREP/LS, Appendix VI), and LAUC Position Paper No. 1, "Criteria for Appointment, Promotion, and Advancement in the Librarian Series" (PAPAREP/LS, Appendix II).

2. In cases of promotion, conferral of career status, or recommendation for termination of appointment, if the preliminary assessment (tentative decision) of the University’s deciding officer is contrary to the recommendations of the review committee, the University’s deciding officer shall notify that committee with respect to the assessment. The review committee shall be given the opportunity for further comment before the final decision is made. MOU, Article 4.C.18.

3. In a case of promotion, conferral of career status or recommendation for termination of appointment, if the University’s deciding officer’s preliminary assessment (tentative decision) is to terminate appointment or not to confer career status, the candidate shall be notified of the opportunity to request access to records in the academic review file, subject to Article 5, Personnel Files. The candidate and review initiator shall then have the opportunity to respond in writing and to provide additional information and documentation. MOU, Article 4.C.19. The candidate has 5 days in which to respond.

4. The designate University official shall inform the candidate in writing of the final administrative decision in a timely manner. In the event of an unfavorable decision, the written statement shall include the reasons for the decision. Upon request, a candidate shall receive, from the University’s deciding officer, a written statement of the reasons for his/her decision and, if requested, a redacted copy of the confidential documents in the academic review file. Such a statement shall not disclose the identities of persons who were sources of confidential documents. MOU, Article 4.C.20.

**4.1 Review Roles--University Librarian**

**The University Librarian:**

1. Meets with each review initiator to inform him or her of the decisions relative to members of his or her staff and provides an explanation if the final decisions differ from those recommended.
2. Informs each candidate in writing of the decision, or when appropriate, delivers decision letters from the Executive Vice Chancellor. Letters informing candidates of decisions different from the recommendation made by the review initiator shall include the reasons for the decision.

3. When the review cycle processes for that review year are complete, meets with CAPA for a general discussion of the review process.

4.2 Academic Review Record

The library's policies and procedures on "Access to Past Review Documentation" are recorded in PAPAREP/LS, Appendix X.

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