

Travis Zachary Gutierrez

From: Cherysa P Cortez
Sent: Wednesday, March 02, 2016 4:20 PM
To: Leondra Michelle Jacobs; Genie Mulari; Veronica Quesada; Genie Mulari; Eilene Montoya; 'Akula Venkatram'; Gabrielle Brewer; Jason D Weems; Alice Zuyen Chavez; Sarjeet S Gill; Janet Harshman; Jan B Blacher; Alaxis B Timothy; Iryna Ethell; Ana Kafie; Peter Chung; David A Biggs; Jasmine Mejia
Cc: Cherysa P Cortez; Travis Zachary Gutierrez
Subject: For Systemwide Senate Review): Second Systemwide Review: Proposed Revisions to APM - 360, Librarian Series and APM - 210-4, Instructions to Review Committees
Attachments: 3-1-16 Systemwide Review Cvr Ltr APM - 360.pdf; draft-360-2sysw-rev-clean-copy.pdf; draft-360-2sysw-rev-redline-copy.pdf; draft-210-4-2sysw-rev-clean-copy.pdf; draft-210-4-2sysw-rev-redline-copy.pdf; Model Communication 3-1-16.docx

Follow Up Flag: Follow up
Flag Status: Flagged

For Review by CAP, CODEO, FW, LIT, R&J, and the College and School Executive Committees

On behalf of Senate Division Chair Jose Wudka, I am forwarding for review proposed revisions to APM 360 (Librarian Series) and 210-4 (Instructions to Review Committees) sent to the Systemwide Senate by UC Vice Provost Susan Carlson*. Attached is an explanation of the proposed revisions along with clean and redline versions of the draft policies as proposed to be revised.

Please submit comments to senate@ucr.edu by **Monday, April 25** to allow us time to compile and summarize comments. As always, any committee that considers these matters outside its jurisdiction or charge may decline to comment.

Note that this is the second systemwide review of these revisions. The results of the first systemwide Senate review and Council's June 2015 letter can be found here:

http://senate.universityofcalifornia.edu/reports/documents/MG2Carlson_APM360_210.pdf

*From: Susan Carlson <Susan.Carlson@ucop.edu>

Date: 03/01/2016 4:47 PM (GMT-08:00)

Subject: For Second Systemwide Review: Proposed Revisions to APM - 360, Librarian Series and APM - 210-4, Instructions to Review Committees

To: Council of Vice Chancellors
Laboratory Director Witherell
Academic Council Chair Hare
ANR Vice President Humiston

From: Vice Provost Carlson

Re: Second Systemwide Review of Proposed Revised Academic Personnel Manual (APM) Section 360, Librarian Series; and Section 210-4, Instructions to Review Committees which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series

Attached is a letter forwarding for a second Systemwide Review proposed revisions to Sections 360, Librarian Series (APM - 360), and 210-4, Instructions to Review Committees (APM - 210-4). Revisions to these policies have been considered during two previous consultation periods: Management Consultation, from September to November 2014, and the first Systemwide Review, from March to June 2015. Proposed revisions update the definition of librarian, criteria for

appointment, terms of service, merit increases, promotion, advancement to career status, personnel review procedures, and the new point-based salary scale.

Systemwide Review is a public review distributed to the Executive Vice Chancellors, the Director, Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, affected employees and union membership about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review.

Employees should be afforded the opportunity to review and comment on the draft policy, available online at:

<http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>.

Attached is a Model Communication which may be used to inform non-exclusively represented employees affected by these proposals.

Many thanks,

Cherysa Cortez

Executive Director

Academic Senate

221 University Office Building

University of California - Riverside, 92521

951.827.6154

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OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL AND PROGRAMS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

March 1, 2016

COUNCIL OF VICE CHANCELLORS
LABORATORY DIRECTOR WITHERELL
ACADEMIC COUNCIL CHAIR HARE
ANR VICE PRESIDENT HUMISTON

**Re: Systemwide Review of Proposed Revised Academic Personnel Manual (APM)
Section 360, Librarian Series; and Section 210-4, Instructions to Review Committees which
Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members
of Librarian Series**

Dear Colleagues:

Enclosed for a second Systemwide Review are proposed revisions to Sections 360, Librarian Series (APM - 360), and 210-4, Instructions to Review Committees (APM - 210-4). These proposed changes to two separate APM sections result from the substantive matters discussed below.

Revisions to these policies have been considered during two previous consultation periods: Management Consultation, from September to November 2014, and the first Systemwide Review, from March to June 2015.

The Council of University Librarians (CoUL), in consultation with CoUL's Administrative Services Advisory Group (ASAG), and the Librarians Association of the University of California (LAUC) propose that APM - 360, Librarian Series and APM - 210-4, Instructions to Review Committees be revised to include a new definition for the librarian series. In addition, proposed policy revisions cover the criteria for appointment, terms of service, merit increases, promotion, advancement to career status, and personnel review procedures. Key points in the revised policy language include the following: 1) An updated definition of the librarian series to reflect the changing nature of their responsibilities in an evolving information environment. 2) The Chancellor may grant, under exceptional circumstances, career status upon hire. 3) A written remediation plan and process must be engaged if a review of a career status appointee results in an unsatisfactory review. 4) Candidates for review must be allowed a reasonable period of time to review and respond to the review file and the candidate may submit for inclusion in the record a written statement commenting on material in the file.

A new section describes how the new point-based salary scale will be fully implemented by June 30, 2016. For more information on the scale, see http://ucop.edu/academic-personnel-programs/_files/1213/provost-cover-letter-revised-represented-Librarians-salary-scales.pdf, http://ucop.edu/academic-personnel-programs/_files/1213/table26-b-phase1.pdf, and http://ucop.edu/academic-personnel-programs/_files/1213/table26-b-phase2.pdf.

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Summarized below are some of the recommendations received during the 2015 Systemwide Review and incorporated in the attached 2016 Systemwide Review drafts:

- References to the salary scale are updated from “steps” to “salary points” to reflect the new point-based salary scale.
- The Chancellor may withhold or postpone a merit-based increase for an appointee when a corrective action has been taken.
- Reference to “abbreviated reviews” is deleted for the Associate Librarian and Librarian ranks at the highest salary points; reviews for these appointees will be conducted using the normal review process in their normal review cycles.
- Consistent with other academic personnel policy, and in accordance with APM - 100-6-d, authority for implementing APM - 360 and APM - 210-4, may be redelegated by the Chancellor unless otherwise restricted.

Systemwide Review

Systemwide Review is a public review distributed to the Executive Vice Chancellors/Provosts, the Director, Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, affected employees, and union membership about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review. Employees should be afforded the opportunity to review and comment on the draft policy, available online at <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees about these proposals.

We would appreciate receiving your comments by **May 31, 2016**. Please submit your comments to ADV-VPCARLSON-SA@ucop.edu. If you have any questions, please contact Janet Lockwood at Janet.Lockwood@ucop.edu or (510) 987-9499.

Sincerely,



Susan Carlson
Vice Provost
Academic Personnel and Programs

Enclosures: Proposed revised APM - 360 (redline and clean copy)
Proposed revised APM - 210-4 (redline and clean copy)
Model Communication

cc: President Napolitano
Chancellors
Provost and Executive Vice President for Academic Affairs Dorr
Executive Vice President Brostrom
Executive Vice President Nava
Senior Vice President Vacca
Senior Vice President J. Henderson

March 1, 2016

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Chief of Staff Grossman
Council of University Librarians (CoUL)
LAUC President Mizrachi
Interim Vice President Tucker
Vice Provosts/Vice Chancellor of Academic Personnel/Academic Affairs
Academic Personnel Directors
ASAG Chair Grosenheider
Deputy General Counsel Woodall
Labor and Employment Counsel Mastro
Deputy/UCOP Compliance Officer Lane
Executive Director Baxter
Executive Director Tanaka
Director Chester
Director D. Henderson
Director Lockwood
Manager Donnelly
Manager Smith
Academic HR Manager Jordan
Human Resources Policy Analyst Bello

210-4 **Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series**

- a. The committees here referred to, either standing or *ad hoc* or both, are designated as review committees in what follows. Authorization for their appointment is described in APM - 360-6-b and -c.

- b. The quality of the librarian series at the University of California is maintained primarily through objective and thorough review by peers and administrators of each candidate for appointment, merit increase, promotion, and career status action. Responsibility for this review falls, in part, upon the review committee(s). For purposes of appointments, it is the duty of these committees to assess the present qualifications of the candidates and their potential as productive members of the library staffs. For purposes of merit increases, promotions, and career status actions, it is the duty of these committees to assess an individual's performance during a given review period to determine if a merit, promotion, or career status action should be recommended. Review committees should refer to APM - 360 for information concerning appointment, merit increase, promotion, and career status actions.

In conducting its review and arriving at its judgment concerning a candidate, each review committee shall be guided by the criteria as mentioned in APM - 360-10 and described in APM - 210-4-e.

c. Maintenance of the Committees' Effectiveness

- (1) The deliberations and recommendations of the review committees are to be strictly confidential. The membership and report of each *ad hoc* review committee are confidential. The chair of each committee shall remind members of the confidential nature of the assignment. This requirement must be kept in mind when arrangements are made through the Chancellor for written or oral communications. When recommendations with supporting documents have been forwarded to the Chancellor, all copies or preliminary drafts shall be destroyed. Under the provisions of APM - 360-80-1, the candidate is entitled to receive from the Chancellor a redacted copy of the confidential documents in the academic review record (without disclosure of the identities of members of the *ad hoc* review committee and without separate identification of the evaluation and recommendation made by the *ad hoc* review committee).
- (2) The entire system of review by such committees depends for its effectiveness upon each committee's prompt attention to its assignment

and its conduct of the review with all possible dispatch, consistent with
judicious and thorough consideration of the case.

- (3) The chair of the review committee has the responsibility for making sure that each member of the committee has read and understands these instructions.

d. **Procedures**

- (1) **General** - Recommendations for appointments, merit increases, promotions, and career status actions normally originate with the department or unit head, herein called the review initiator (see APM - 360-80-e). The letter of recommendation shall provide a comprehensive assessment of the candidate's qualifications, together with detailed evidence to support the evaluation. The letter should also present a report of consultation with appropriate members of the professional library staff and others in a position to evaluate performance and should include any dissenting opinions.

In the case of an appointment, opinions from colleagues in other institutions where the candidate has served and from other qualified

persons having firsthand knowledge of the candidate's attainments are to be included, if feasible.

In the review of a proposed merit increase, promotion, or career status action (the general procedure for all shall normally be the same, subject to any special campus procedures), extramural evidence, when it can be obtained, is highly desirable although not required.

- (2) **Assessment of Evidence** - The review committee shall assess the adequacy of the evidence submitted. If, in the committee's judgment, the evidence is incomplete or inadequate to enable it to reach a clear recommendation, the committee shall solicit additional information through the Chancellor and request amplification or new material. In every case, all obtainable evidence shall be carefully considered.

If, according to such evidence, the candidate fails to meet the criteria set forth in APM - 210-4-e, the committee should recommend against the proposed action.

If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse or propose a recommendation for higher rank or higher salary point within rank which would constitute an accelerated advancement of an appointee.

e. **Criteria**

- (1) **Appointments** - A candidate for appointment to this series shall have a professional background of competence, knowledge, and experience to assure suitability for appointment to this series. Such background will normally include a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

Selection of an individual to be appointed to the rank of Assistant Librarian is based upon the requirements of the position with due attention to the candidate's demonstrated competence, knowledge and experience. A person appointed as Assistant Librarian without previous professional library experience should normally be appointed at the first salary point. A person who has had previous experience relevant to the position may be appointed to one of the higher salary points in this rank, depending on the

candidate's aptitude, the extent of prior experience, and/or the requirements of the position.

A candidate with extensive previous relevant experience and superior qualifications may be appointed to one of the two higher ranks in the series. The criteria for the appointment to either of these levels will be the same as those for promotion as outlined below.

- (2) **Merit Increases and Promotions** - At the time of original appointment to a title in this series, each appointee shall be informed that continuation, advancement, or promotion is justified only by demonstrated superior professional skills and achievement. In addition, promotion shall be justified by growing competence and contribution to the candidate's position, and/or the assumption of increased responsibility. This is assessed through objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for advancement there is no obligation on the part of the University to continue or advance the appointee. Promotion may also be tied to position change. The assumption of administrative responsibilities is not a necessary condition for promotion.
- (3) In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of the criteria listed

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

(a) **Professional Competence and Quality of Service Within the**

Library - 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: obtaining, organizing, and providing access to information; curating and preserving collections of scholarly, scientific, cultural, or institutional significance; engaging with users to provide them with guidance and instruction on the discovery, evaluation, and use of information resources; carrying out research and creative activity in support of the foregoing and for the continual improvement of the profession; 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.

Evidence of professional competence and effective service may include, but is not limited to, 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.

- (b) **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.

- (c) **University and Public Service** - Evaluation of a candidate's University and public service should take into account University-oriented activities, including, but not limited to the following: serving as a member or chair of administrative committees appointed by the Chancellor, University Librarian, or other University administrative officers; serving as a member or chair of other University committees, including those of student organizations and of the departments and schools other than the library, such as serving on thesis or dissertation portfolio committees. Public service includes professional librarian services to the community, state, and nation.
- (d) **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 areas of expertise.

Note should be taken of continued and effective endeavor. This may include authoring, editing, reviewing or compiling books, articles, reports, handbooks, manuals, and/or similar products which are submitted or published during the period under review.

f. **The Report**

- (1) The report of the review committee(s) forms the basis for further administrative review and action by the Chancellor. Consequently, the report should include an assessment of all significant evidence, favorable and unfavorable. It should be specific and analytical, should include the review committee's evaluation of the candidate with respect to the qualifications specified, and should be adequately documented by reference to the supporting material.
- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members,

submitted with the main report and with the cognizance of the other
committee members.

210-4 **Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series**

- a. The committees here referred to, either standing or *ad hoc* or both, are designated as review committees in what follows. -Authorization for their appointment is described in APM - 360-6-b and -c.

- b. The quality of the librarian series at the University of California is maintained primarily through objective and thorough review by peers and administrators of each candidate for appointment, merit increase, promotion, and career status action. -Responsibility for this review falls, in part, upon the review committee(s). -For purposes of appointments, it is the duty of these committees to assess the present qualifications of the candidates and their potential as productive members of the library staffs. -For purposes of merit increases, promotions, and career status actions, it is the duty of these committees to assess an individual's performance during a given review period to determine if a merit, promotion, or career status action should be recommended. -Review committees should refer to APM - 360 for information concerning appointment, merit increase, promotion, and career status actions.

In conducting its review and arriving at its judgment concerning a candidate, each review committee shall be guided by the criteria as mentioned in APM - 360-10 and described in APM - 210-4-e.

c. Maintenance of the Committees' Effectiveness

- (1) The deliberations and recommendations of the review committees are to be strictly confidential. -The membership and report of each *ad hoc* review committee are confidential. -The chair of each committee shall remind members of the confidential nature of the assignment. -This requirement must be kept in mind when arrangements are made through the Chancellor ~~or designee~~ for written or oral communications. -When recommendations with supporting documents have been forwarded to the Chancellor ~~or designee~~, all copies or preliminary drafts shall be destroyed. -Under the provisions of APM - 360-80-1, the candidate is entitled to receive from the Chancellor ~~or designee~~ a redacted copy of the confidential documents in the academic review record (without disclosure of the identities of members of the *ad hoc* review committee and without separate identification of the evaluation and recommendation made by the *ad hoc* review committee).

- (2) The entire system of review by such committees depends for its effectiveness upon each committee's prompt attention to its assignment

and its conduct of the review with all possible dispatch, consistent with
judicious and thorough consideration of the case.

- (3) The chair of the review committee has the responsibility for making sure that each member of the committee has read and understands these instructions.

d. **Procedures**

- (1) **General** - Recommendations for appointments, merit increases, promotions, and career status actions normally originate with the department or unit head, herein called the review initiator. ~~(See APM - 360-80-e).~~ The letter of recommendation shall provide a comprehensive assessment of the candidate's qualifications, together with detailed evidence to support the evaluation, ~~including an up-to-date biography and bibliography.~~ The letter should also present a report of consultation with appropriate members of the professional library staff and others in a position to evaluate performance and should include any dissenting opinions.

In the case of an appointment, opinions from colleagues in other institutions where the candidate has served and from other qualified persons having firsthand knowledge of the candidate's attainments are to be included, if feasible.

In the review of a proposed merit increase, promotion, or career status action (the general procedure for all shall normally be the same, subject to any special campus procedures), extramural evidence, when it can be obtained, is highly desirable although not required.

- (2) **Assessment of Evidence** - The review committee shall assess the adequacy of the evidence submitted. If, in the committee's judgment, the evidence is incomplete or inadequate to enable it to reach a clear recommendation, the committee shall solicit additional information through the Chancellor ~~or designee~~ and request amplification or new material. In every case, all obtainable evidence shall be carefully considered.

If, according to such evidence, the candidate fails to meet the criteria set forth in APM - 210-4-e, the committee should recommend against the proposed action.

If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse or propose a recommendation for higher rank or higher ~~step~~salary point within rank which would constitute an accelerated advancement of an appointee.

e. **Criteria**

- (1) **Appointments** - A candidate for appointment to this series shall ~~normally be required to have~~have a professional background of competence, knowledge, and experience to assure suitability for appointment to this series. Such background will normally include a professional degree from a library school with a program accredited by the American Library Association. -However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

Selection of an individual to be appointed to the rank of Assistant Librarian is based upon the requirements of the position with due attention to the candidate's demonstrated competence, knowledge and experience. -A person appointed as Assistant Librarian without previous professional library experience should normally be appointed at ~~Step I~~the first salary

point. -A person who has had previous experience relevant to the position may be appointed to one of the higher salary ~~levels~~points in this rank, depending on the candidate's aptitude, the extent of prior experience, and/or the requirements of the position.

A candidate with extensive previous relevant experience and superior qualifications ~~who is being considered for a highly demanding and responsible position should~~may be appointed to one of the two higher ranks in the series. -The criteria for the appointment to either of these levels will be the same as those for promotion as outlined below.

(2) (+) Merit Increases and Promotions ~~—~~ At the time of original appointment to a title in this series, each appointee shall be informed that continuation, ~~or~~ advancement, or promotion is justified only by demonstrated ~~skills and achievement which will be determined after~~ superior professional skills and achievement. In addition, Promotion shall be justified by demonstrated superior professional skills and achievement and, in addition, demonstrated professional growth and accomplishment, growing competence and contribution to the candidate's position, and/or the assumption of increased responsibility. ~~-~~ This is assessed through objective and thorough review. -If, on the basis of a review, the individual does not meet the criteria for ~~continuation or~~ advancement, ~~or promotion,~~ there is no obligation on the part of the

University to continue, or advance, the appointee, 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.~~ promote. Promotion may also be tied to position change. -The assumption of administrative responsibilities is not a necessary condition for promotion.

(3) In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of the criteria listed below. -A candidate for merit increase or promotion in this series shall be ~~judged~~ evaluated on the basis of professional competence and quality of service rendered within the library and, to the extent that they are relevant, one or more of the following: professional activity outside the library; University and public service; and research and other creative activity.
~~(See APM 360-10.)~~

~~(3) 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.~~

(a) **Professional Competence and Quality of Service Within the**

Library - 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: ~~obtaining, organizing, and providing access to information; selection and development of resources; curating and preserving collections of scholarly, scientific, cultural, or institutional significance; bibliographic control of collections and their organization for use; engaging with users to provide them with guidance and instruction on the discovery, evaluation, and use of information resources; reference and advisory services; development and application of specialized information systems; and library administration and management, and research and creative activity where necessary or desirable in relation to~~ in support of the foregoing and for the continual improvement of the profession; 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.

Evidence of professional competence and effective service may include, but is not limited to, 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.

- (b) **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.

- (c) **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 Evaluation of a candidate's University and public service should take into account University-oriented activities, including, but not limited to the following: -serving as a member or chair of administrative committees appointed by the Chancellor, University Librarian, or other University administrative officers; serving as a member or chair of other University committees, including those of student organizations and of the departments and schools other than the library, such as serving on thesis or dissertation portfolio committees. -Public service includes professional librarian services to the community, state, and nation.

- (d) **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 ~~it~~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~~areas of expertise. -Note should be taken of continued and effective endeavor.

~~Reports~~This may include authoring, editing, reviewing or compiling books, articles, reports, handbooks, manuals, and similar documents may be considered and/or similar products which are submitted or published during the period under review.

~~—under this heading only if they present new ideas or incorporate research; otherwise, they should be regarded solely as evidence of professional service.~~

f. **The Report**

- (1) The report of the review committee(s) forms the basis for further administrative review and action by the Chancellor, ~~or designee~~. Consequently, the report should include an assessment of all significant evidence, favorable and unfavorable. -It should be specific and analytical, should include the review committee's evaluation of the candidate with respect to the qualifications specified, and should be adequately documented by reference to the supporting material.

- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not

represent that member's judgment. -If the committee cannot come to a unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

360-4 **Definition**

The librarian series is used for academic appointees who--in support of the University's educational, research, and public service missions--provide professional library services that facilitate the creation and transmission of knowledge. These services may include:

- a. obtaining, organizing, and providing access to information resources;
- b. curating and preserving collections of scholarly, scientific, cultural, or institutional significance;
- c. engaging with users to provide them with guidance and instruction on the discovery, evaluation, and use of information resources; and
- d. carrying out research and creative activity in support of the foregoing and for the continual improvement of the profession; and
- e. library administration and management.

360-6 **Responsibility**

- a. It is the responsibility of each Chancellor and of each University Librarian or administrative officer with comparable responsibility for the supervision of appointees to this series to provide for review of the qualifications of candidates for appointment, merit increase, promotion and career status.

- b. The Librarians Association of the University of California (LAUC) shall be responsible, through individual LAUC division procedures, for the selection of members of a personnel committee to advise the Chancellor on the appointments, merit increases, promotions, and career status actions for members of the librarian series. Appointees holding titles in the series shall compose the majority of this committee.

- c. When the Chancellor determines the need for an *ad hoc* review committee, the Librarians Association of the University of California (LAUC) shall be responsible, through individual LAUC division procedures, for the nomination of members of *ad hoc* review committees to advise in the academic review of members of this series. The Chancellor may request nominations additional to those submitted by LAUC. The Chancellor shall appoint members to *ad hoc* committees.

360-8 **Types**

- a. There are three ranks in the librarian series with titles as follows:
 - (1) Assistant Librarian
 - (2) Associate Librarian
 - (3) Librarian

- b. An *appointment* occurs when an individual is employed in one of the three ranks above and when the individual's 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 this series.

- c. A *promotion* is advancement to the next higher rank within this series, i.e., Assistant Librarian to Associate Librarian and Associate Librarian to Librarian. A change from a title in another series to a title in this series (possibly involving an increase in salary) is not defined as a promotion or merit increase, but as an appointment as described above.

- d. A *merit increase* is advancement in salary point without a change in rank following a positive review.

- e. “*No action*” is:
 - (1) A neutral, non-prejudicial action for those at the top salary point of the Associate Librarian or Librarian ranks; or,

 - (2) An action intended to address performance issues and actions required for improvement for those at any salary point.

- f. Career status is normally achieved upon successful completion of a suitable trial period in potential career status (see APM - 360-17-a-b).

- g. An *intercampus transfer* is treated as an appointment by the new campus, although it may involve a merit increase or a promotion. A librarian making an intercampus transfer retains career status, seniority for purposes of merits, promotions and layoff, accrued sick leave, vacation, and retirement credits.

360-9 **Recruitment**

- a. It is the policy of the University to recruit and appoint the most qualified individuals to fill librarian series positions.
- b. Recruitment shall proceed in accordance with campus procedures developed in consultation with the Librarians Association of the University of California (LAUC).
- c. All positions shall be open for outside recruitment unless the University determines that recruitment shall be limited to University employees at a campus. Members of the librarian series currently employed by the University who apply for positions shall be considered with all other applicants in accordance with campus recruitment procedures.

360-10 **Criteria**

- a. A candidate for appointment shall have a professional background of competence, knowledge, and experience to assure suitability for appointment

to this series. Such background will normally include a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

b. A candidate for merit increase or promotion in this series shall be evaluated on the basis of the first of the following criteria, and, to the extent they are relevant to the candidate's career path, on one or more of the last three:

- (1) professional competence and quality of service within the library;
- (2) professional activity outside the library;
- (3) University and public service; and
- (4) research and other creative activity.

In the consideration of individual candidates, reasonable flexibility shall be exercised in weighing the comparative relevance of these criteria.

- c. Promotion shall be justified by demonstrated superior professional skills and achievement and, in addition, growing competence and contribution to the candidate's position, and/or the assumption of increased responsibility. This is assessed through objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for advancement, there is no obligation on the part of the University to continue or to advance the candidate. The assumption of administrative responsibility is not a necessary condition for promotion.

- d. The criteria are set forth in APM - 210-4, Review and Appraisal Committees, Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of the Librarian Series.

360-16 **Restrictions**

- a. Appointments to and retention in positions in this series which are supported by State or other permanent funds administered by The Regents are subject to budgetary limitations established on the respective campuses, both as to funds and numbers of positions.

- b. Promotions and merit increases may be approved only within the limits of available funds.

360-17 **Terms of Service**

- a. An appointment in this series may be an explicitly temporary appointment, a potential career appointment, or a career appointment, depending on the circumstances as described below. Normally, an initial appointment to a title at any rank in this series is a temporary appointment or a potential career appointment. However, the Chancellor may grant career status upon hire in exceptional circumstances, for example, when appointing individuals who have already achieved career status or the equivalent.

A potential career appointment is distinguished from an explicitly temporary appointment by the fact that no definite date of termination of the appointment is specified and by the fact that the appointee is regarded as one who may qualify, after a suitable trial period and careful review, for a continuing career appointment. Potential career appointees in the librarian series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian.

Temporary appointees are eligible for merit increases on the same basis as potential career and career status appointees and evaluated on the major areas of librarianship as outlined in APM 360-10. Temporary appointees whose next successful review would move them to another rank must provide a review file prepared in accordance with library and campus guidelines and procedures.

Temporary appointees are not eligible for career status.

The status of career appointment is normally achieved after a trial period in potential career status. The process by which one achieves career status is described in APM - 360-17-b(1), (2), (3), (4).

- (1) A temporary appointment:
 - (a) shall have a specified date of termination;
 - (b) shall be for a period of two years or fewer, unless the appointment is supported by external funds, e.g., from a University funding source but not from the Library's general funds. Externally funded positions may be continued for one additional year. Positions funded by extramural funds, e.g., grants and certain restricted gifts, may be continued for the duration of the fund.

- (c) shall be reviewed following the same procedures and review cycles set forth for review of potential career or career appointees, when the length of the appointment permits;
- (d) is automatically self-terminating, and notice of intention not to reappoint is not required; and
- (e) is subject to the conditions relating to notice of termination in

APM - 360-20-c and -d.

(2) A potential career appointment or career appointment:

- (a) shall have no specified date of termination; and
- (b) is subject to the conditions set forth in APM - 360-17-b and to the conditions relating to notice of termination in APM - 360-20-b, -c, and -d.

- b. The following principles and procedures shall be applied to appointments, promotions, and terminations of potential career or career appointees:

- (1) An individual holding the rank of Assistant Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for the period of the appointment in this rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and potential for further professional growth. Individuals with six years of service at the Assistant Librarian rank are eligible for a promotional review even if they have not achieved a salary that overlaps with the Associate Librarian rank. If, after such reviews, the appointee is promoted from the rank of Assistant Librarian to a higher rank in this series, the individual is thereby moved to career status. On the other hand, an Assistant Librarian is subject to termination after due notice if, after thorough review and a reasonable trial period (not more than six years), he or she is not deemed worthy of further advancement.

- (2) An individual whose initial appointment in this series is to the rank of Associate Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for a trial period of not more than four years and not less than two years in the rank, unless promoted sooner to the rank of Librarian. During potential career status, the individual shall be subject to periodic review of performance, professional competence, achievement, and potential for further professional growth.

The trial period will be brought to a close with one of three decisions made after appropriate review as specified in APM - 210-4: 1) place the appointee in career status with the rank of Associate Librarian, 2) promote to the rank of Librarian with career status, or 3) terminate the appointment after due notice.

- (3) An individual who is promoted from career status as an Associate Librarian to the rank of Librarian is thereby continued in career status. However, there is no obligation on the part of the University to promote an Associate Librarian to the rank of Librarian solely on the basis of years of service.

- (4) An individual whose initial appointment in this series is to the rank of Librarian and whose appointment is not explicitly temporary is considered to be a potential career appointee for a trial period of not more than three years and not less than two years in rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and potential for further professional growth. The trial period will be brought to a close with one of two decisions made after appropriate review as specified in

APM - 360-80 and APM - 210-4: 1) place the appointee in career status with the rank of Librarian, or 2) terminate the appointment after due notice.

- (5) An appointee in career status either as an Associate Librarian or as a Librarian, having successfully passed the trial period of service in either one of the ranks or having been promoted to one of these ranks from a lower rank, is expected to continue to perform the duties of the position at a satisfactorily high standard.
- (6) In the event of an intercampus transfer, the following provisions shall apply to the status of potential career and career appointees: the normal period of potential career status shall not be lengthened as a result of an intercampus transfer; career status acquired on one campus shall be continued upon transfer to another campus; and promotion in rank at the time of an intercampus transfer shall confer career status.
- (7) Reviews of career status appointees will be conducted at regular intervals to determine if a merit increase or promotion is indicated. If, in connection with that review, there is reason to doubt that the career appointee is performing satisfactorily, the appointee will be provided with a written remediation plan to address the perceived deficiency. After a reasonable remediation period, a review of the appointee to coincide with a regularly

scheduled review will be conducted. If a review results in an unfavorable evaluation, the appointee may be subject to termination after due notice. Otherwise the appointment will be continued. If such a review does not coincide with a regularly scheduled review, an off-cycle review will be conducted in accordance with established campus review procedures (see APM - 360- 80-a(1)). The appeals procedures in APM -140, Non-Senate Academic Appointees/Grievances are available as a protection against arbitrary, capricious, or unreasonable termination.

- c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17, Appointment and Promotion, General. The effective date of merit increases and promotions as a result of the review process will normally be July 1, although exceptions may be approved as provided in APM - 360-24-b.

- d. The following rules of computation will be observed for determining periods of service at ranks and salary points in this series. These rules of computation do not apply to the University of California Retirement Plan benefit calculation.
 - (1) A period of service is calculated from the beginning of the first complete calendar month of service.

- (2) A fiscal-year appointee with an effective date of appointment in the period of July 1 through January 1 will be credited with one year of service for that year at rank and or salary point toward their next advancement as provided in APM - 200-19-c.
- (3) A fiscal-year appointee with an effective date of appointment in the period January 2 through June 30 will not be credited with service for that year toward their next advancement.
- (4) Completed years of service will be counted regardless of the percentage of time of appointment.
- (5) Service on any campus of the University of California is included, although for statistical purposes an intercampus transfer is considered an appointment at the new campus (see APM - 360-8-f).
- (6) Any approved leave without salary or any break in service because of layoff or resignation does not invalidate service prior to the interruption.
- (7) Any leave with salary is included as service, but leave without salary is not included for purposes of determining completed years of service.

- (8) For purposes of review, an appointee must have worked at least six (6) months of the period under review. A period under review may be a calendar year or other 12-month period or multiple thereof, in accordance with the review cycles defined in APM - 360-80-a(1). For example, an appointee with an effective date of appointment in the period January 2 to June 30 and a period of review based on the calendar year could be reviewed at the next review period, depending on the rank and salary point of appointment.
- (9) A temporary appointee whose appointment continues into a new fiscal year will be reviewed according to the review cycles defined in APM - 360-80-a and the guidelines established in APM - 360-17-d(8).

360-18 Salary

- a. Authorized salary scales for this series are issued by the Office of the President.
- b. Members of the librarian series at a given rank and salary point shall be paid in accordance with the published salary scales for the librarian series, except for payment of administrative stipends pursuant to APM - 633, Administrative Stipends, Academic Appointees.

- c. A positive review shall result in an increase of at least two salary points on the applicable scale for Assistant and Associate Librarian ranks, and at least three salary points on the applicable scale at the Librarian rank. The University is not precluded from granting merit increases of a greater number of points.
- d. In exceptional circumstances, a librarian who receives no action may be awarded one point salary advancement at the Assistant and Associate Librarian ranks and one or two point advancement at the Librarian rank.
- e. An Assistant or Associate Librarian may be advanced less than two salary points and a Librarian less than three salary points in cases where fewer points remain on the scale for the respective rank.
- f. A librarian who has achieved a salary point in a rank that overlaps the next rank may request a promotional review in accordance with the review process described in APM - 210-4, APM - 360-80, and local procedures. A positive review results in promotion to the next rank.
- g. A librarian who is promoted will receive an increase of at least two salary points above his or her previous salary at the Assistant Librarian rank and at least three salary points above his or her previous salary at the Associate Librarian rank.

- h. The Chancellor may withhold or postpone a merit-based increase for an appointee who is the subject of corrective action.

360-20 Conditions of Employment

- a. The following conditions apply to individuals holding temporary appointments. Temporary appointees:
 - (1) shall have a specified date of termination, and notice of intention not to reappoint is not required (see also APM - 360-20-c; and 360-20-d);
 - (2) are expected to perform their duties with the same proficiency as Potential Career or Career appointees;
 - (3) shall be given the same opportunity as Potential Career or Career appointees to participate in activities which fulfill the second, third and fourth criteria listed in APM - 210-4-e or 360-10-b;
 - (4) shall be reviewed following the same procedures and review cycles set forth for reviews of Potential Career or Career Appointees when the length of appointment permits (see APM - 360-80-a);

- (5) shall be subject to all provisions of the APM that apply to other members of the librarian series unless otherwise stated;
 - (6) may hold a given temporary appointment for no more than two (2) years, unless the appointment is funded by external funds, in which case the appointment may be renewed for one additional year, or by extramural funds, in which case the appointment may be continued for the duration of the funding;
 - (7) if appointed to a permanent position, will be given consideration for time spent in temporary status when determining assignment to rank and salary point.
- b. When an appointment other than a temporary one with a title in this series is not to be continued, written notice shall be given to the individual in accordance with the following schedule:
- (1) With less than one year of University service by intended date of termination: not less than a four-month notice.
 - (2) With one year or more of University service by intended date of termination: not less than a six-month notice.

c. **Layoff**

- (1) When an appointment with a title in this series is to be terminated in the event of lack of work, lack of funds, or programmatic change, a written notice of not less than 60 days shall be given to the individual whenever feasible. Opportunity for appeal shall be provided in accordance with the terms of APM - 140, Non-Senate Academic Appointees/Grievances.
 - (2) In the event of termination of an appointment in this series because of lack of work, lack of funds, or programmatic change, the provisions of APM - 145, Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time, shall apply.
 - (3) When there is no substantial difference in the degree of special skills, knowledge, or ability essential to the department or unit, the order of layoff among members of the librarian series shall be in inverse order of seniority within the following types of appointments: temporary positions; (other than those on extramural funds), potential career, career status.
- d. If a member of this series conducts themselves or performs, or fails to perform, their duties, in a manner which would justify immediate dismissal,

the appointee shall be entitled to appropriate shorter notice as determined by the University; nonetheless, in any such contingency, opportunity for appeal shall be provided in accordance with the terms of APM - 140, Non-Senate Academic Appointees/Grievances.

e. **Reassignment**

- (1) When there is a significant change in duties and responsibilities, which may result in a change in working title or department, the change is deemed a reassignment. Reassignment is a change which does not involve a move to a new campus. It does not constitute discipline and does not affect the rank or salary point and/or career status of the librarian in this series.
- (2) A written description of the new assignment, including its duration, if not indefinite, shall be provided to the librarian in this series before the start of the new assignment.
- (3) When such a change is anticipated, the University shall meet with the librarian in this series to discuss the proposed change.

- f. An appointee to this series accrues sick leave credit and vacation credit in accordance with the provisions of APM - 710, Leaves of Absence/Sick Leave/Medical Leave and APM - 730, Leaves of Absence/Vacation, respectively. When a librarian is not able to use accumulated vacation because of programmatic needs of the campus and the librarian's accumulation reaches the forty-eight (48) working day maximum, a one-time exception will be granted to allow the librarian to accumulate six (6) additional vacation days.
- g. For eligibility for reimbursement of certain removal expenses, see APM - 560, Removal Expenses/General.
- h. A leave of absence with full or partial salary may be granted to an appointee with a title in this series when the leave is relevant to the appointee's duties and professional development, when the project is of direct relevance to the functioning of the library as well as in the best interests of the University, and when funding is available from the fund source(s) from which the appointee's salary is paid. Leaves of absence are subject to the provisions in APM - 750, Leaves of Absence/Leave for Service to Governmental Agencies, APM - 752, Leaves of Absence/Leave to Attend Professional Meeting, and APM - 758, Leaves of Absence/Other Leaves with Pay.

- i. The provisions of APM - 140, Non-Senate Academic Appointees/Grievances, shall be applicable to appointees in this series.

360-24 **Authority**

- a. Each Chancellor is authorized to approve appointments, promotions, career status actions, and merit increases consistent with the published salary scales after appropriate review, subject to the provisions of APM - 360-24-c.
- b. Each Chancellor may approve, as exceptions, promotions, career status actions, and merit increases having effective dates other than July 1.
- c. Each Chancellor may approve, as exceptions, appointments, promotions, and merit increases retroactively (that is, with the beginning date of service prior to the actual date of approval).

360-35 **Records**

- a. A member of the librarian series shall have access to his or her academic personnel records in accordance with policies found in APM - 160, Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request

Amendment of, specifically in APM - 160-20-b(1)(a), APM - 160-20-b(1)(c) and APM - 160-20-c.

- b. The campus shall designate an office which will have overall responsibility for academic personnel records for members of the librarian series. See APM - 160-20 for policies concerning access to records.
- c. The confidential academic review record is that portion of the academic personnel records pertaining to an individual maintained by the University for the purpose of consideration of personnel actions under the criteria set forth in APM - 360-10. An individual's confidential academic review record shall contain only material relevant to consideration of personnel actions under these criteria. In addition to the confidential academic review record, academic personnel records pertaining to an individual as an employee of the University may include materials such as miscellaneous correspondence, leave records, and documents related to employment history, benefits, payroll, etc.

Such materials shall not be referred to or considered in connection with a recommendation or decision in a personnel action unless they are placed in the individual's review file by an appropriate administrative officer. See APM - 160-20-b for definition of records and information maintained by the University about academic employees.

- d. Under normal circumstances, within ten working days of a written request, a member of the librarian series shall be given one complete copy of requested “personal” information and a list of the types of confidential academic review material in the record. Requests for additional copies may require payment based on local copying rates. If a written request for a redacted copy of confidential material is received by the University, the request shall be fulfilled within thirty working days, under normal circumstances.
- e. A member of the librarian series may request corrections or deletions of material in his or her record in accordance with APM - 160-30.
- f. Access to an academic personnel record, other than a confidential academic review record, by other than the individual member of the librarian series to which it pertains shall be governed by the provisions of APM - 160-20-d(1), (3), (4), and -e.
- g. For further policies regarding records, see the following APM sections:
APM - 158, Rights of Academic Appointees; APM - 160, Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of; APM - 160, Appendix A, Supplemental Information Regarding Academic

Policy; APM - 160, Appendix B, Additional Academic Personnel Policies
Pertaining to Academic Personnel Records; APM - 200-30, Academic
Personnel Actions - Personnel Review Files; APM – 210-4, Review and
Appraisal Committees.

360-80 **Procedures**

a. In order to assure fair and equitable treatment for appointees to this series, the following provisions shall apply:

(1) The performance of each appointee shall be reviewed periodically and the review shall include participation by an advisory review committee (see APM - 360-6-b and -c).

(2) **Types of reviews**

(a) A standard review is one that takes place every two years in the Assistant and Associate ranks and every three years in the Librarian rank. Service at the highest salary points of the Associate Librarian and Librarian ranks may be of indefinite duration. However, a review will be conducted for Librarians, per their review cycle, at the highest

salary point of the Associate rank (every two years) and of the Librarian rank (every three years).

- (b) An exception action may warrant an off-cycle review, which is one that takes place earlier than the standard review schedule (two or three years, depending on rank). The review file will be prepared in accordance with campus guidelines and procedures.

- (c) 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 individual scheduled to be reviewed.

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 designated University official. All documentation and recommendations must be forwarded to the designated University official for a decision. A review, if deferred, is deferred for a period of one year.

A deferral is defined as a deferred action for one 12-month period whether a person's review cycle is two or three years. Hence, deferral for an additional, consecutive year should be regarded as a new request subject to the same procedure. After the completion of a review which has been deferred, the review cycle will resume anew at the two- or three-year interval. Work conducted during the extended review period shall be reviewed as though it were completed in the normal period.

- b. 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, shall establish review procedures which (1) meet the requirements of APM - 360-6 and the provisions of APM - 360-17; (2) utilize appropriately the criteria mentioned in APM - 360-10 and described in APM - 210-4; (3) are consistent with the provisions of APM - 360-80-c; (4) insure that all recommendations and decisions are based solely upon the material in the academic review record; and (5) are appropriate to the needs and functions of the campus.

- c. The call for merit increases, promotions, reviews, and career status actions and the calendar of due dates for the review process shall be issued and distributed each year to every member of the librarian series. The calendar shall establish deadlines that are designed to ensure that all reviews will be completed and salary actions can be processed to take effect at the start of the next fiscal year. The calendar shall be adhered to by all parties. Deadlines may be extended upon the mutual agreement of the parties.

- d. All members of the librarian series will be informed in writing, on a yearly basis, of their eligibility for review. A member of the librarian series who is not normally eligible for a review during a particular review cycle may request an off-cycle review during that cycle.

- e. Formal consideration of appointments, merit increases, promotions, and career status actions are normally initiated by the department or unit head herein called the review initiator. Early in the course of an academic review, the review initiator shall notify the candidate of the impending review and in one or more conferences with the candidate make certain that the candidate is adequately informed about the entire review process, including the criteria mentioned in APM - 360-10 and described in APM - 210-4. The candidate shall be given the

opportunity to ask questions and to supply pertinent information and evidence to be used in the review. In accordance with established campus policy applicable to the personnel action under consideration, the review initiator shall solicit letters evaluating the candidate from qualified persons, including a reasonable number of persons whose names have been provided by the candidate. All such letters used in the review, even if unsolicited, shall be included in the file.

When soliciting letters of evaluation or following the receipt of an unsolicited letter, the review initiator should include, attach, or send a statement regarding confidentiality of such letters.

- f. The candidate may provide in writing to the review initiator or other appropriate person, as provided in campus procedures, names of persons who in the view of the candidate, for reasons set forth, might not objectively evaluate in a letter or on a committee, the candidate's qualifications or performance. Any such statement provided by the candidate shall be included in the academic review record.

- g. An academic review record shall be prepared for each candidate who is being considered for a merit increase, promotion, or career status action. The review initiator is responsible for preparing the candidate's review record, which consists of the review initiator's letter of recommendation together with necessary additional letters and documents, including those letters solicited

from individuals selected from a list provided by the candidate. The review initiator's letter, without disclosing the identities of sources of confidential documents, shall discuss the proposed personnel action in light of the criteria cited in APM - 360-10 and described in APM - 210-4 and shall be substantiated by supporting evidence.

Before forwarding the academic review record to the University Librarian or other administrative officer with comparable responsibility, the review initiator shall provide the candidate the opportunity to inspect all documents to be included in the review record other than confidential academic review records. (Only those documents specified in APM - 160-20-b(1)(a) and (c) are defined as confidential academic review records for members of the librarian series.) The review initiator shall provide a copy of the letter of recommendation to the candidate. In addition, campus procedures may provide that any statements added to the review file by those acting in a supervisory capacity above this initiating level shall be made available to the candidate upon request.

The candidate shall be allowed a reasonable period of time, no less than seven consecutive calendar days, to review and respond to the file. This period of time may be extended by mutual agreement of the parties. The candidate may submit for inclusion in the record a written statement responding to or commenting on material in the file.

A redacted copy of the confidential documents included in the record shall be provided to the candidate without disclosing the identities of persons who were the sources of these documents. The candidate may submit for inclusion in the record a written statement in response to or commenting on material in the record.

- h. Upon completion of the procedures described in APM - 360-80-d and -e, a statement shall be signed by the candidate certifying that the prescribed procedures have been followed. A documentation checklist listing the contents of the review record shall also be signed by the candidate. The certification statement and the documentation checklist shall be included in the review record.
- i. The review record, in accordance with established campus procedures, will be referred to the personnel committee (see APM - 360-6-b). On the basis of all available evidence including the report from the *ad hoc* committee, if any, the personnel committee will submit a comprehensive report and recommendation for action to the Chancellor.
- j. If, during subsequent committee review or administrative review of a recommendation, the review record is found to be incomplete or inadequate,

additional information shall be solicited through the Chancellor who will inform the review initiator and the candidate that such new material is being added to the review record. The candidate shall have access to all non-confidential material added to the record and a redacted copy of the confidential documents shall be provided to the candidate. The candidate shall also be provided the opportunity to submit a written statement in response to the additions to the review record. The review shall then be based upon the personnel review record as augmented.

No documentation other than the recommendation(s) of the review committee(s) may be added to the review record without annotation of the certification statement and the documentation checklist.

- k. In cases of promotion, conferral of career status, or recommendation for termination of appointment, if the preliminary assessment of the Vice Provost/Vice Chancellor of Academic Affairs/Academic Personnel or designee is contrary to the recommendations of the personnel committee appointed under the provisions of APM - 360-6-b, the Vice Provost/Vice Chancellor of Academic Affairs/Academic Personnel or designee shall notify that committee of the assessment. The personnel committee shall be given the opportunity for further comment before the final decision is made.

In a case of conferral of career status, if the Vice Provost/Vice Chancellor for Academic Affairs/Academic Personnel or designee's preliminary assessment is not to confer career status, the candidate shall be notified of the opportunity to request access to records in the personnel review record. The candidate and review initiator shall then have the opportunity to respond in writing and to provide additional information and documentation.

1. The Chancellor 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, and upon request a redacted copy of the confidential documents in the academic review record shall be provided. Such a statement shall not disclose the identities of persons who were sources of confidential documents, and shall not identify separately the evaluations and recommendations of the review committees or administrative officers. Upon request, a candidate receiving a favorable review may receive from the Chancellor a written statement of the reasons for his/her decision and, if requested, a redacted copy of the confidential documents in the academic review record.

Professional Academic Issues

Procedures and Principles

Librarian Series

- A. Potential Career appointees in the Librarian Series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian.

- B. A librarian need not assume administrative responsibilities in order to reach the highest rank.

- C. Temporary appointees in the Librarian Series are expected to perform their duties with the same proficiency as the Career Status and Potential Career Status appointees in accordance with the terms of their appointment letters.

Academic Personnel Manual

Those sections of the current Academic Personnel Manual (APM) which apply to librarians will continue in full force and effect unless modified by these revisions of the APM.

Librarians Association of the University of California

- A. The Librarians Association of the University of California (LAUC) shall continue to advise the University, the campus, and the library administration on the operations and policies of the libraries. One copy of each report filed by the LAUC President with the University will be forwarded by the University to the University Council-American Federation of Teachers (UC-AFT).

- B. LAUC will not advise the University, the campus, and the library administration with respect to matters which are covered by the memorandum of understanding between the University and the UC-AFT.

Program, Service, and Technological Changes

The Librarians Association of the University of California shall advise the University, the campus, and the library administration in the planning, evaluation, and implementation of any major program, services, or technological changes in the libraries of the University of California.

Recruitment

The University, in accordance with campus procedures developed in consultation with the Librarians Association of the University of California, shall continue to recruit the most qualified librarians to fill professional positions on its staff. Open recruitment, which is essential to the selection of qualified librarians, shall occur for Career Status and Potential Career Status positions whenever the University determines that such positions are open for outside recruitment. Librarians currently employed by the University who apply for a vacancy shall be considered with all other applicants in keeping with the recruitment process as developed by the campus where the vacancy exists. Review Committee(s) will continue to participate in the appointment process.

Peer Review

- A. Criteria for Promotion and Merit shall be those found in the APM - 360-10-b, -c, -d, and 210-4-e.

- B. Campus review procedures should ensure that all decisions and recommendations shall be based solely upon material within the review packet.

- C. The University shall invite LAUC to study the peer review process at the campus and University level and make recommendations, where appropriate, for improvement and refinement.

Professional Activities and Development

- A. The University of California recognizes professional development of librarians as beneficial to the individual, the libraries, and the University. Professional development opportunities contribute to the professional growth of the librarian, enabling greater effectiveness as academic appointees and thus enhancing her/his service to the University.
- B. The Librarians Association of the University of California shall recommend procedures for the allocation of funds for research and creative activity, and procedures for the allocation of funds for attendance at professional meetings, conferences, seminars, and workshops.

Presidential Statement on the Status of the Librarians

Association of the University of California

The Librarians Association of the University of California shall serve for the purposes of and subject to the conditions herein described and set forth more fully in the Bylaws of the Association.

1. The Librarians Association of the University of California (LAUC) is recognized as an official unit of the University. LAUC is authorized to serve in an advisory capacity to the University on professional and governance matters of concern to all librarians.
2. Membership in the Librarians Association of the University of California (LAUC) shall consist of all persons holding appointment half-time or more in the librarian series, or in any one of the following titles: Assistant University Librarian, Associate University Librarian, Assistant Law Librarian, Associate Law Librarian, Law Librarian and each University Librarian or the same in an acting capacity.
3. The Librarians Association of the University of California (LAUC) shall advise the Office of the President, campus administration, and library administration on the

operations and policies of the libraries; on professional standards, rights, privileges and obligations of members of the librarian series of the University of California; and on the planning, evaluation, and implementation of programs, services or technological changes in the libraries of the University.

4. The Librarians Association of the University of California (LAUC) shall not advise the Office of the President, the campus administration, and the library administration with respect to matters which are covered by a Memorandum of Understanding or are otherwise subject to negotiation with an exclusive bargaining unit.

Supersedes Presidential Statement on the Status of the Librarians Association of the University of California, January 27, 1975, issued on February 20, 1975 by then President Hitch.

360-4 **Definition**

The librarian series is used for academic appointees who ~~in support of the University's educational, research, and public service missions~~ provide professional library services that facilitate the creation and transmission of knowledge in the University libraries in support of the University's educational, research, and public service functions. These services may include:

- a. obtaining, organizing, and providing access to information selection and development of resources;
- b. curating and preserving collections of scholarly, scientific, cultural, or institutional significance;
- c. engaging with users to provide them with guidance and instruction on the discovery, evaluation, and use of information resources; and bibliographic control of collections and their organization for use;
- d. carrying out research and creative activity in support of the foregoing and for the continual improvement of the profession; and reference and advisory services;

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- d. ~~development and application of specialized information systems;~~
- e. library administration and management ~~;~~ ~~and~~
- f. ~~research where necessary or desirable in relation to the foregoing.~~

360-6 **Responsibility**

- a. It is the responsibility of each Chancellor and of each University Librarian or administrative officer with comparable responsibility for the supervision of appointees to this series to provide for review of the qualifications of candidates for appointment, merit increase, promotion and career status.
- b. The Librarians Association of the University of California (LAUC) shall be responsible, through individual LAUC division procedures, for the selection of members of a personnel committee to advise the Chancellor ~~or designee~~ on the appointments, merit increases, promotions, and career status actions for members of the librarian series. ~~-~~Appointees holding titles in the series shall compose the majority of this committee.
- c. When the Chancellor ~~or designee~~ determines the need for an *ad hoc* review committee, the Librarians Association of the University of California (LAUC)

shall be responsible, through individual LAUC division procedures, for the nomination of members of *ad hoc* review committees to advise in the academic review of members of this series. ~~-The Chancellor may request nominations additional to those submitted by LAUC. -~~The Chancellor or ~~designee~~ shall appoint members to *ad hoc* committees.

360-8 **Types**

a. There are three ranks in the librarian series with titles as follows:

(1) Assistant Librarian

(2) Associate Librarian

(3) Librarian

b. An *appointment* occurs when an individual is employed in one of the three
~~—~~ ranks above and when the individual's 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 this series.

c. A *promotion* is advancement to at the next higher rank within this series, ~~usually the next higher rank as listed above. i.e., Assistant Librarian to Associate Librarian and Associate Librarian to Librarian.~~ A change from a title in another series to a title in this series (possibly involving an increase in salary) is not defined as a promotion or merit increase, but as an appointment as described above.

d. ~~d.~~—A *merit increase* is advancement in step/salary ~~within rank in this series~~ point without a change in rank following a positive review.

e. “No action” is:

(1) A neutral, non-prejudicial action for those at the ~~Associate Librarian 7 or Librarian 5–7 steps, or the~~ top salary point of the Associate Librarian or Librarian ranks; or,

(2) An action intended to address performance issues and actions required ~~to for improvement that performance~~ for those at any ~~step/salary point.~~

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ef. Career status is normally achieved upon successful completion of a suitable trial period in potential career status. (See APM - 360-17-a-b.)

fg. An *intercampus transfer* is treated as an appointment by the new campus, although it may involve a merit increase or a promotion. -A librarian making an intercampus transfer retains career status, seniority for purposes of merits, promotions and layoff, accrued sick leave, vacation, and retirement credits.

~~(For policy concerning intercampus transfers, see APM—510.)~~

360-9 **Recruitment**

- a. It is the policy of the University to recruit and appoint the most qualified individuals to fill librarian series positions.
- b. Recruitment shall proceed in accordance with campus procedures developed in consultation with the Librarians Association of the University of California (LAUC).
- c. All positions shall be open for outside recruitment unless the University determines that recruitment shall be limited to University employees at a campus. -Members of the librarian series currently employed by the University

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who apply for positions shall be considered with all other applicants in accordance with campus recruitment procedures.

360-10 **Criteria**

- a. A candidate for appointment shall have a professional background of competence, knowledge, and experience to assure suitability for appointment to this series. ~~Such background will normally include a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.~~

- b. A candidate for merit increase or promotion in this series shall be ~~judged~~evaluated on the basis of the first of the following criteria, and, to the extent they are relevant to the candidate's career path, on one or more of the last three:
 - (1) professional competence and quality of service within the library;

 - (2) professional activity outside the library;

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(3) University and public service; and

(4) research and other creative activity.

In the consideration of individual candidates, reasonable flexibility shall be exercised in weighing the comparative relevance of these criteria.

- c. Promotion shall be justified by demonstrated superior professional skills and achievement and, in addition, ~~demonstrated professional growth and accomplishment,~~ growing competence and contribution to the candidate's position, and/or the assumption of increased responsibility. ~~-This is assessed through objective and thorough review. -If, on the basis of a review, the individual does not meet the criteria for advancement, there is no obligation on the part of the University to continue or to advance the candidate. -The~~ assumption of administrative responsibility is not a necessary condition for promotion.
- d. ~~An explanation of these~~ The criteria ~~are~~ is set forth in APM - 210-4.4, Review and Appraisal Committees, Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of the Librarian Series.

360-16 **Restrictions**

- a. Appointments to and retention in positions in this series which are supported by State or other permanent funds administered by The Regents are subject to budgetary limitations established ~~for~~on the respective campuses, both as to funds and numbers of positions.
- b. Promotions and merit increases may be approved only within the limits of available funds.

360-17 **Terms of Service**

- a. An appointment in this series may be an explicitly temporary appointment, a potential career appointment, or a career appointment, depending on the circumstances as described below. ~~However~~Normally, an initial appointment to a title at any rank in this series is a temporary appointment or a potential career appointment. ~~However, the Chancellor may grant career status upon hire in exceptional circumstances, for example, when appointing individuals who have already achieved career status or the equivalent.~~

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~~at any rank in this series may only be a temporary appointment or a potential career appointment.~~

A potential career appointment is distinguished from an explicitly temporary appointment by the fact that no definite date of termination of the appointment is specified and by the fact that the appointee is regarded as one who may qualify, after a suitable trial period and careful review, for a continuing career appointment. -Potential career appointees in the librarian series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian.

Temporary appointees are eligible for merit increases on the same ~~bases~~basis as potential career and career status appointees ~~and evaluated~~judged on the major areas of librarianship as outlined in APM 360-10. -Temporary appointees whose next successful review would move them to another rank must provide a review file prepared in accordance with library and campus guidelines and procedures. -Temporary appointees are not eligible for career status.

The status of career appointment is normally achieved~~only~~ after a trial period in potential career status. -The process by which one achieves career status is described ~~subsequently.~~ ~~(See~~in APM - 360-17-b(1), (2), (3), (4).)

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(1) A temporary appointment:

(a) shall have a specified date of termination;

(b) shall ~~ordinarily~~ be for a period of ~~one year or less, but shall not be~~
~~— for a period of more than~~ two years or fewerless, unless the
appointment is supported by ~~extramural funds in which case, if the~~
~~funding permits, the appointment may be renewed for up to 2 more~~
~~years~~ external funds, e.g., from a University funding source but not
from the Library's general funds. -Externally funded positions may
be continued for one additional year. -Positions funded by extramural
funds, e.g., grants and certain restricted gifts, may be continued for the
duration of the fund.

(c) shall be reviewed following the same procedures and review cycles
set forth for review of potential career or career appointees, when the
length of the appointment permits;

(~~e~~) is automatically self-terminating, and notice of intention not to
reappoint is not required; and

(~~e~~) is subject to the conditions relating to notice of termination in

APM - 360-20-c and -d.

(2) A potential career appointment or career appointment:

(a) shall have no specified date of termination; and

(b) is subject to the conditions set forth in ~~the appropriate part of~~ APM - 360-17-b and to the conditions relating to notice of termination in APM - 360-20-b, -c, and -d.

b. The following principles and procedures shall be applied to appointments, promotions, and terminations of potential career or career appointees:

~~(1) An individual holding the rank of Assistant Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for the period of the appointment in this rank. During potential career status, the individual shall be subject to periodic reviews~~

(1) An individual holding the rank of Assistant Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for the period of the appointment in this rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and ~~promise~~ potential

for further professional growth. Individuals with six years of service at the Assistant Librarian rank are eligible for a promotional review even if they have not achieved a salary that overlaps with the Associate Librarian rank.

If, after such reviews, the appointee is promoted from the rank of Assistant Librarian to a higher rank in this series, the individual is thereby moved to career status. -On the other hand, an Assistant Librarian is subject to termination after due notice if, after thorough review and a reasonable trial period (not more than six years), he or she is not deemed worthy of further advancement.

- (2) An individual whose initial appointment in this series is to the rank of Associate Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for a trial period of not more than four years and not less than two years in the rank, unless promoted sooner to the rank of Librarian. -During potential career status, the individual shall be subject to periodic review of performance, professional competence, achievement, and ~~promise~~potential for further professional growth. -The trial period will be brought to a close with one of three decisions made after appropriate review as specified in APM - 210-4:
- 1) place the appointee in career status with the rank of Associate Librarian;
 - 2) promote to the rank of Librarian with career status; or
 - 3) terminate the appointment after due notice.

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- (3) An individual who is promoted from career status as an Associate

Librarian to the rank of Librarian is thereby continued in career status.

However, there is no obligation on the part of the University to promote an Associate Librarian to the rank of Librarian solely on the basis of years of service.

- (4) An individual whose initial appointment in this series is to the rank

of Librarian and whose appointment is not explicitly temporary is

considered to be a potential career appointee for a trial period of not

more than three years and not less than two years in rank. -During potential

career status, the individual shall be subject to periodic reviews of

performance, professional competence, achievement, and ~~promise~~potential

for further professional growth. -The trial period will be brought to a close

with one of two decisions made after appropriate review as specified in

APM - 360-80 and APM - 210-4: -1) place the appointee in career status

with the rank of Librarian; or 2) terminate the appointment after due notice.

- (5) An appointee in career status either as an Associate Librarian or as a

Librarian, having successfully passed the trial period of service in either

one of the ranks or having been promoted to one of these ranks from a

lower rank, is expected to continue to perform the duties of the position at a satisfactorily high standard. ~~Reviews of the appointee will be conducted at regular intervals to determine if a merit increase or promotion is indicated. If there is reason to doubt that the career appointee is performing satisfactorily, a review of the appointee to coincide with a regularly scheduled review will be conducted. If such a review does not coincide with a regularly scheduled review, a review not at a regular interval or an off-cycle review will be conducted in accordance with established campus review procedures (see APM 360-80 a(1); and if this review results in an unfavorable evaluation, the appointee may be subject to termination after due notice. Otherwise, the appointment will be continued. The appeals procedures in APM 140 are available as a protection against arbitrary, capricious, or unreasonable termination.~~

- (6) In the event of an intercampus transfer, the following provisions shall apply to the status of potential career and career appointees: ~~the normal period of potential career status shall not be lengthened as a result of an intercampus transfer; career status acquired on one campus shall be continued upon transfer to another campus; and promotion in rank at the time of an intercampus transfer shall confer career status.~~

(7) Reviews of career status appointees will be conducted at regular intervals to determine if a merit increase or promotion is indicated. If, in connection with that ~~During that~~ review, if there is reason to doubt that the career appointee is performing satisfactorily, the appointee will be provided with a written remediation plan to address the perceived deficiency. -After a reasonable remediation period, a review of the appointee to coincide with a regularly scheduled review will be conducted. -If a review results in an unfavorable evaluation, the appointee may be subject to termination after due notice. Otherwise the appointment will be continued. -If such a review does not coincide with a regularly scheduled review, an off-cycle review will be conducted in accordance with established campus review procedures (see APM - 360- 80-a(1)).- The appeals procedures in APM -140, Non-Senate Academic Appointees/Grievances are available as a protection against arbitrary, capricious, or unreasonable termination.

- c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-~~17-~~17, Appointment and Promotion, General. The effective date of merit increases and promotions as a result of the review process will normally be July 1, although exceptions may be approved as provided in APM - 360-24-b.

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d. The following rules of computation will be observed for determining periods

of service at ranks and ~~steps~~salary/ points in this series. ~~-These rules of computation do not apply to the University of California Retirement Plan benefit calculation.~~

- (1) A period of service is calculated from the beginning of the first complete calendar month of service.
- (2) A fiscal-year appointee with an effective date of appointment in the period of July 1 through January 1 will ~~receive~~be credited with one year of service ~~credit~~ for that year at rank and ~~step~~salary point toward their next advancement as provided in APM - 200-19-c.
- (3) A fiscal-year appointee with an effective date of appointment in the period January 2 through June 30 will not ~~receive~~be credited with service-~~credit~~ for that year toward their next advancement.
- (4) Completed years of service will be counted regardless of the percentage of time of appointment.

(5) Service on any campus of the University of California is included, although for statistical purposes an intercampus transfer is considered an appointment at the new campus. (See APM - 360-8-f)

(6) Any approved leave without salary or any break in service because of ~~leave without salary~~, layoff, or —resignation does not invalidate service prior to the interruption.

~~(6) Service on any campus of the University of California is included, although for statistical purposes an intercampus transfer is considered an appointment at the new campus. (See APM - 360-8-f.)~~

(7) Any leave with salary is included as service, but leave without salary is not included for purposes of determining completed years of service.

(8) For purposes of review, an appointee must have worked at least six (6) months of the period under review. -A period under review may be a calendar year or other 12-month period or multiple thereof, in accordance with the review cycles defined in APM - 360-80-a(1). ~~fe.g.~~ For example, an appointee with an effective date of appointment in the period January 2 ~~to~~ June 30 and a period of review based on the calendar year could be

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reviewed at the next review period, depending on the rank and ~~step or~~
salary point of appointment.

- (9) A temporary appointee whose appointment continues into a new fiscal year will be reviewed according to the review cycles defined in APM - 360-80-a and the guidelines established in APM - 360-17-d(8).

360-18 **Salary**

a. Authorized salary scales for this series are issued by the Office of the President.

b. a-Members of the librarian series at a given rank and ~~step/~~salary point shall be paid in accordance with the published salary scales for the librarian series, except for payment of administrative stipends pursuant to APM - 633, Administrative Stipends ~~for~~ Academic Appointees.

c. A positive review shall result in an increase of at least two salary points on the applicable scale for Assistant and Associate Librarian ranks, and at least three salary points on the applicable scale at the Librarian rank. -The University is not precluded from granting merit increases of a greater number of points.

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~~d. A librarian who receives no action shall nonetheless move to the new scale and shall be placed on a salary point closest to, but not less than, their current salary.~~

In exceptional circumstances, a librarian who receives no action may be awarded one point salary advancement at the Assistant and Associate Librarian ranks and one or two point advancement at the Librarian rank.

e. An Assistant or Associate Librarian may be advanced less than two salary points and a Librarian less than three salary points in cases where fewer points remain on the scale for the respective rank.

~~f. An employee who is currently subject to discipline shall not be eligible for a merit based increase.~~

g.f. A librarian who has achieved a salary point in a rank that overlaps the next rank may request a promotional review in accordance with the review process described in APM - 210-4, APM - 360-80, and local procedures. -A positive review results in promotion to the next rank.

~~b. Authorized salary scales for this series are issued by the Office of the President.~~

g. A librarian who is promoted will receive an increase of at least two salary points above his or her previous salary at the Assistant Librarian rank and at least three salary points above his or her previous salary at the Associate Librarian rank.

h. The Chancellor may withhold or postpone a merit-based increase for an appointee who is the subject of corrective action.

360-20 **Conditions of Employment**

- a. The following conditions apply to individuals holding temporary appointments. Temporary appointees:
- (1) shall have a specified date of termination, and notice of intention not to reappoint is not required (see also APM - 360-20-c; and 360-20-d);
 - (2) are expected to perform their duties with the same proficiency as Potential Career or Career appointees;
 - (3) shall be given the same opportunity as Potential Career or Career appointees to participate in activities which fulfill the second, third and fourth criteria listed in APM - 210-4-e or 360-10-b;

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(4) ~~when the length of appointment permits,~~ shall be reviewed following the same procedures and review cycles set forth for reviews of Potential Career or Career Appointees when the length of appointment permits— (see APM - 360-80-a);

(5) shall be subject to all provisions of the APM that apply to other members of the librarian series unless otherwise stated;

(6) may hold a given temporary appointment for no more than two (2) years, unless the appointment is funded by ~~extramural~~external funds, in which case the appointment may be renewed for ~~an~~one additional ~~two years;~~ and year, or by extramural funds, in which case the appointment may be continued for the duration of the funding;

(7) if appointed to a permanent position, will be given consideration for time spent in temporary status when determining assignment to rank and ~~step~~salary point.

b. When an appointment other than a temporary one with a title in this series is not to be continued, written notice shall be given to the individual in accordance with the following schedule:

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- (1) With less than one year of University service by intended date of termination: not less than a four-month notice.

- (2) With one year or more of University service by intended date of termination: not less than a six-month notice.

c. **Layoff**

- (1) When an appointment with a title in this series is to be terminated in the event of lack of work, lack of funds, or programmatic change, a written notice of not less than 60 days shall be given to the individual whenever feasible. ~~Opportunity for appeal shall be provided in accordance with the terms of APM ~~140.~~~~ 140, Non-Senate Academic Appointees/Grievances.

- (2) In the event of termination of an appointment in this series because of lack of work, lack of funds, or programmatic change, the provisions of ~~the policy on Layoff: APM - 145, Non-Senate Academic Appointees, established by the University and as implemented by the campuses~~ Layoff and Involuntary Reduction in Time, shall apply. ~~(See APM 145.)~~

- (3) When there is no substantial difference in the degree of special skills, knowledge, or ability essential to the department or unit, the order of layoff

among members of the librarian series shall be in inverse order of seniority within the following types of appointments: ~~temporary positions;~~ (other than those on extramural funds), potential career, career status.

- d. If a member of this series conducts ~~themselves~~~~him or herself~~ or performs, or fails to perform, ~~his/her~~~~their~~ duties, in a manner which would justify immediate dismissal, the appointee shall be entitled to appropriate shorter notice as determined by the University; ~~but~~ nonetheless, in any such contingency, opportunity for appeal shall be provided in accordance with the terms of APM - ~~140.~~ 140, Non-Senate Academic Appointees/Grievances.

e. **Reassignment**

- (1) When there is a significant change in duties and responsibilities, which may result in a change in working title or department, the change is deemed a reassignment. ~~Reassignment is a change which does not involve a move to a new campus. It does not constitute discipline and does not affect the rank,~~ ~~step or /~~ salary point and/or career status of the librarian in this series.

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- (2) A written description of the new assignment, including its duration, if not indefinite, shall be provided to the librarian in this series before the start of the new assignment.
- (3) When such a change is anticipated, the University shall meet with the librarian in this series to discuss the proposed change.
- f. An appointee to this series accrues sick leave credit and vacation credit in accordance with the provisions of APM - ~~710 and~~ [710, Leaves of Absence/Sick Leave/Medical Leave and APM - 730, Leaves of Absence/Vacation,](#) respectively. -When a librarian is not able to use accumulated vacation because of programmatic needs of the campus and the librarian's accumulation reaches the forty-eight (48) working day maximum, a one-time exception will be granted to allow the librarian to accumulate six (6) additional vacation days.
- g. For eligibility for reimbursement of certain removal expenses, see APM - ~~560.~~ [560, Removal Expenses/General.](#)
- h. A leave of absence with full or partial salary may be granted to an appointee with a title in this series ~~(subject to the provision in APM—750, 752, and 758)~~ when the leave is relevant to the appointee's duties and professional development, when the project is of direct relevance to the functioning of the

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library as well as in the best interests of the University, and when funding is

available from the fund source(s) from which the appointee's salary is paid. =

Leaves of absence are subject to the provisions in APM - 750, Leaves of Absence/Leave for Service to Governmental Agencies, APM - 752, Leaves of Absence/Leave to Attend Professional Meeting, and APM - 758, Leaves of Absence/Other Leaves with Pay.

- i. The provisions of APM - 140, Non-Senate Academic Appointees/Grievances, shall be applicable to appointees in this series.

360-24 **Authority**

a. ~~a.~~—Each Chancellor is authorized to approve appointments, promotions, career status actions, and merit increases consistent with the published salary scales after appropriate review, subject to the provisions of APM - 360-24-c.

b. ~~b.~~—Each Chancellor may approve, as exceptions, promotions, career status actions, and merit increases having effective dates other than July 1.

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- c. Each Chancellor may approve, as exceptions, appointments, promotions, and merit increases retroactively (that is, with the beginning date of service prior to the actual date of approval), ~~to the actual date of approval~~.

360-35 **Records**

- a. ~~a.~~—A member of the librarian series shall have access to his or her academic personnel records in accordance with policies found in APM - 160, Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of, specifically in APM - 160-20-b(1)(a), APM - 160-20-b(1)(c) and APM - 160-20-c.
- b. The campus shall designate an office which will have overall responsibility for academic personnel records for members of the librarian series. -See APM - 160-20 for policies concerning access to records.
- c. The confidential academic review record is that portion of the academic personnel records pertaining to an individual maintained by the University for the purpose of consideration of personnel actions under the criteria set forth in APM - 360-10. -An individual's confidential academic review record shall contain only material relevant to consideration of personnel actions under these criteria. -In addition to the confidential academic review record,

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academic personnel records pertaining to an individual as an employee of the University may include materials such as miscellaneous correspondence, leave records, and documents related to employment history, benefits, payroll, etc.

Such materials shall not be referred to or considered in connection with a recommendation or decision in a personnel action unless they are placed in the individual's review file by an appropriate administrative officer. -(See APM - 160-20-b for definition of records and information maintained by the University about academic employees.)

d. Under normal circumstances, within ten working days of a written request, a member of the librarian series shall be given one complete copy of requested "personal" information and a list of the types of confidential academic review material in the record. -Requests for additional copies may require payment based on local copying rates. -If a written request for a redacted copy of confidential material is received by the University, the request shall be fulfilled within thirty working days, under normal circumstances. fulfilled within thirty working days, under normal circumstances.

e. A member of the librarian series may request corrections or deletions of material in his or her record in accordance with APM - 160-30.

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- f. Access to an academic personnel record, other than a confidential academic review record, by other than the individual member of the librarian series to which it pertains shall be governed by the provisions of APM - 160-20-d(1), (3), (4), and -e.
- g. For further policies regarding records, see the following APM sections:
APM - ~~158~~-158, Rights of Academic Appointees; APM - ~~160~~-160, Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of; APM - ~~160~~160, Appendix A:~~—~~—Supplemental Information Regarding Academic Policy; APM - ~~160~~160, Appendix B:~~—~~—Additional Academic Personnel Policies Pertaining to Academic Personnel Records; APM - 200-~~30~~-30, Academic Personnel Actions~~—~~—Personnel Review Files; APM - 210-~~4~~-4, Review and Appraisal Committees.

360-80 **Procedures**

- a. In order to assure fair and equitable treatment for appointees to this series, the following provisions shall apply:

(1) The performance of each appointee shall be reviewed periodically and the review shall include participation by an advisory review committee (see

APPOINTMENT AND PROMOTION
Librarian Series

APM - 360
DRAFT

APM - 360-6-b and -c). ~~The normal intervals for academic reviews of incumbents in the librarian series are as follows:~~

(2) Types of reviews

(a) A standard review is one that takes place every two years in the Assistant Librarian rank; ~~every two years in the first six steps of the~~ and Associate Librarian rank; ~~ranks and~~ every three years ~~beginning with Step VII of the Associate Librarian rank through Step VII of~~ in the Librarian rank. -Service at the highest salary points of the Associate Librarian ~~Step VII~~ and Librarian ~~Steps V, VI, and VII~~ ranks may be of indefinite duration. -However, ~~reviews must be conducted at least every three years at these steps unless an individual or review initiator requests an earlier review~~ an abbreviated review will ~~may be conducted for Librarians, per their review cycle, -at the highest salary point of the Associate rank (every two years) and of the Librarian rank (every three years), -per their review cycle of two or three years respectively.~~

(b) An exception action may warrant An off-cycle review, which is one that takes place earlier than the standard review schedule (two or three years, depending on rank). -The review file will be prepared in accordance with campus guidelines and procedures.

(c) ~~(2)~~-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~~individual scheduled to be reviewed.

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 ~~following:—reviewee, the review initiator, the appropriate administrative officer(s), and the divisional advisory review committee(s)~~designated University official. -All documentation and recommendations must be forwarded to the ~~deciding officer~~designated University official for a decision. -A review, if deferred, is deferred for a period of one year.

A deferral is defined as a deferred action for one 12-month period whether a person's review cycle is ~~2~~two or ~~3~~three 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~~two- or ~~3~~three-year interval. -Work conducted

during the extended review period shall be reviewed as though it were completed in the normal period.

- b. ~~b. — In order to~~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, ~~shall establish review procedures which (1) meet the requirements of APM—360-6 and the provisions of APM—360-17; (2) utilize appropriately the criteria mentioned in APM—360-10 and described in~~ LAUC, shall establish review procedures which (1) meet the requirements of APM - 360-6 and the provisions of APM - 360-17; (2) utilize appropriately the criteria mentioned in APM - 360-10 and described in APM - 210-4; (3) are consistent with the provisions of APM - 360-80-c ~~through 1 outlined below~~; (4) insure that all recommendations and decisions are based solely upon the material in the academic review record; and (5) are appropriate to the needs and functions of the campus.
- c. The call for merit increases, promotions, reviews, and career status actions and the calendar of due dates for the review process shall be issued and distributed each year to every member of the librarian series ~~no later than thirty (30) days prior to the first action of the review process required on each campus.~~ The

calendar shall establish deadlines that are designed to ensure that all reviews will be completed and salary actions can be processed to take effect at the start of the next fiscal year. ~~-The calendar shall be adhered to by all parties and the appointee shall be notified.~~ -Deadlines may be extended upon the mutual agreement of the parties.

~~—of the decision within six (6) months of the first required action.—Guidelines—
—for reasonable extension of the calendar shall be developed by campuses in—
—the event that an extension is requested.~~

d. All members of the librarian series will be informed in writing, on a yearly basis, of their eligibility for review. ~~-A member of the librarian series who is not normally eligible for a review during a particular review cycle may request an accelerated~~off-cycle review during that cycle.

e. Formal consideration of appointments, merit increases, promotions, and career ~~status actions are normally initiated by the department or unit head herein~~ status actions are normally initiated by the department or unit head herein called the review initiator. ~~-Early in the course of an academic review, the review initiator shall notify the candidate of the impending review and in one~~ ~~—or~~ more conferences with the candidate make certain that the candidate is adequately informed about the entire review process, including the criteria

mentioned in APM - 360-10 and described in APM - 210-4. -The candidate shall be given the opportunity to ask questions and to supply pertinent information and evidence to be used in the review. -In accordance with established campus policy applicable to the personnel action under consideration, the review initiator shall solicit letters evaluating the candidate from qualified persons, including a reasonable number of persons whose names have been provided by the candidate. -All such letters used in the review, even if unsolicited, shall be included in the file. -In When soliciting letters of evaluation or following the receipt of an unsolicited letter, the review initiator should include, attach, or send a statement regarding confidentiality of such letters. ~~The statements should follow the applicable guidelines issued by the Provost and Senior Vice President of Academic Affairs and Administration on letters of evaluation of academic candidates which are solicited or received by the University.~~

f. The candidate may provide in writing to the review initiator or other appropriate person, as provided in campus procedures, names of persons who in the view of the candidate, for reasons set forth, might not objectively evaluate in a letter or on a committee, the candidate's qualifications or performance. -Any such ~~statement provided by the candidate shall be included in the academic review record.~~ statement provided by the candidate shall be included in the academic review record.

g. An academic review record shall be prepared for each candidate who is being considered for a merit increase, promotion, or career status action. -The review initiator is responsible for preparing the candidate's review record, which consists of the review initiator's letter of recommendation together with necessary additional letters and documents, including those letters solicited from individuals selected from a list provided by the candidate. -The review initiator's letter, without disclosing the identities of sources of confidential documents, shall discuss the proposed personnel action in light of the criteria cited in APM - 360-10 and described in APM - 210-4 and shall be substantiated by supporting evidence.

Before forwarding the academic review record to the University Librarian or other administrative officer with comparable responsibility, the review initiator shall provide the candidate the opportunity to inspect all documents to be included in the review record other than confidential academic review records. (Only those documents specified in APM - 160-20-b(1)(a) and (c) are defined as confidential academic review records for members of the librarian series.) -The review initiator shall provide a copy of the letter of recommendation to the candidate. -In addition, campus procedures may provide that any statements added to the review file by those acting in a supervisory capacity above this initiating level shall be made available to the candidate upon request.

The ~~review initiator shall provide to the candidate, upon written request, a~~
candidate shall be allowed a reasonable period of time, no less than seven
consecutive calendar days, to review and respond to the file. -This period of
time may be extended by mutual agreement of the parties. -The candidate may
submit for inclusion in the record a written statement responding to or
commenting ~~upon~~ material in the file.

A redacted copy of the confidential documents included in the record shall be
provided to the candidate without disclosing the identities of persons who were
the sources of these documents. -The candidate may submit for inclusion in the
record a written statement in response to or commenting ~~upon~~ material in the
record.

- h. Upon completion of the procedures described in APM - 360-80-d and -e, a
statement shall be signed by the candidate certifying that the prescribed
procedures have been followed. -A documentation checklist listing the
contents of the review record shall also be signed by the candidate. -The
certification statement and the documentation checklist shall be included in
the review record.

~~h.i. i.~~—The review record, in accordance with established campus procedures, will
be referred to the personnel committee (see APM - 360-6-b). -On the basis of all

available evidence including the report from the *ad hoc* committee, if any, the ~~personnel committee will submit a comprehensive report and recommendation for action to the Chancellor or designee.~~ personnel committee will submit a comprehensive report and recommendation for action to the Chancellor.

~~i.~~ j. — If, during subsequent committee review or administrative review of a recommendation, the review record is found to be incomplete or inadequate, additional information shall be solicited through the Chancellor ~~or designee~~ who will inform the review initiator and the candidate that such new material is being added to the review record. ~~The~~ candidate shall have access to all non-confidential material added to the record and ~~upon request,~~ a redacted copy of the confidential documents shall be provided to the candidate. ~~The~~ candidate shall also be provided the opportunity to submit a written statement in response to the additions to the review record. ~~The~~ review shall then be based upon the personnel review record as augmented.

No documentation other than the recommendation(s) of the review committee(s) may be added to the review record without annotation of the certification statement and the documentation checklist.

~~k.~~ k. — In cases of promotion, conferral of career status, or recommendation for termination of appointment, if the preliminary assessment of the ~~Academic~~ Vice

Provost/Vice Chancellor of ~~Vice Chancellor~~Academic Affairs/Academic Personnel or designee is contrary to the recommendations of the personnel committee appointed under the provisions of APM - 360-6-b, the ~~Academic Vice Chancellor~~Vice Provost/Vice Chancellor of Academic Affairs/Academic Personnel or designee shall notify that committee, ~~indicating reasons and asking for any further information which might support a different decision~~ of the assessment. -The personnel committee shall be given the opportunity for further comment before the final decision is made. ~~-If the Academic Vice Chancellor's preliminary assessment is contrary to the recommendation of the University Librarian (with respect to cases in which the latter is not the deciding officer), the University Librarian shall likewise be notified and given opportunity for further comment.~~

In a case of conferral of career status, if the Vice Provost for Academic ~~Vice~~ ChancellorAffairs/Academic Personnel or designee's preliminary assessment is not to confer career status, the candidate shall be notified of the opportunity to request access to records in the personnel review record. -The candidate and review initiator shall then have the opportunity to respond in writing and to provide additional information and documentation.

1. ~~1.~~—The Chancellor 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, and upon request a redacted copy of the confidential documents in the academic review record shall be provided. ~~Such a statement shall not disclose the identities of persons who were sources of confidential documents, and shall not identify separately the evaluations and recommendations of the review committees or administrative officers.~~ not Upon request, a candidate receiving a favorable review may receive, from the Chancellor a written statement of the reasons for his/her decision and, if requested, a redacted copy of the confidential documents in the academic review record.

Professional Academic Issues

Procedures and Principles

Librarian Series

- A. Potential Career appointees in the Librarian Series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian.
- B. A librarian need not assume administrative responsibilities in order to reach the highest rank.
- C. Temporary appointees in the Librarian Series are expected to perform their duties with the same proficiency as the Career Status and Potential Career Status appointees in accordance with the terms of their appointment letters.

Academic Personnel Manual

Those sections of the current Academic Personnel Manual (APM) which apply to librarians will continue in full force and effect unless modified by these revisions of the APM.

Librarians Association of the University of California

- A. The Librarians Association of the University of California (LAUC) shall continue to advise the University, the campus, and the library administration on the operations and policies of the libraries. ~~One~~ One copy of each report filed by the LAUC President with the University will be forwarded by the University to the University Council-American Federation of Librarians (UFL) Teachers (UC-AFT).
- B. LAUC will not advise the University, the campus, and the library administration with respect to matters which are covered by the memorandum of understanding between the University and ~~UFL~~ the UC-AFT.

Program, Service, and Technological Changes

The Librarians Association of the University of California shall advise the University, the campus, and the library administration in the planning, evaluation, and implementation of any major program, services, or technological changes in the libraries of the University of California.

Recruitment

The University, in accordance with campus procedures developed in consultation with the Librarians Association of the University of California, shall continue to recruit the most qualified librarians to fill professional positions on its staff. -Open recruitment, which is essential to the selection of qualified librarians, shall occur for Career Status and Potential Career Status positions whenever the University determines that such positions are open for outside recruitment. Librarians currently employed by the University who apply for a vacancy shall be considered with all other applicants in keeping with the recruitment process as developed by the campus where the vacancy exists. -Review Committee(s) will continue to participate in the appointment process.

Peer Review

- A. Criteria for Promotion and Merit shall be those found in the APM - 360-10-b, -c, -d, and 210-4-e.
- B. Campus review procedures should ensure that all decisions and recommendations shall be based solely upon material within the review packet.

- C. The University shall invite LAUC to study the peer review process at the campus and University level and make recommendations, where appropriate, for improvement and refinement.

Professional Activities and Development

- A. The University of California recognizes professional development of librarians as beneficial to the individual, the libraries, and the University. -Professional development opportunities contribute to the professional growth of the librarian, enabling greater effectiveness as academic appointees and thus enhancing her/his service to the University.
- B. The Librarians Association of the University of California shall recommend procedures for the allocation of funds for research and creative activity, and procedures for the allocation of funds for attendance at professional meetings, conferences, seminars, and workshops.

Presidential Statement on the Status of the Librarians

Association of the University of California

The Librarians Association of the University of California shall serve for the purposes of and subject to the conditions herein described and set forth more fully in the Bylaws of the Association.

1. The Librarians Association of the University of California (LAUC) is recognized as an official unit of the University. ~~LAUC~~ is authorized to serve in an advisory capacity to the University on professional and governance matters of concern to all librarians.
2. Membership in the Librarians Association of the University of California (LAUC) shall consist of all persons holding appointment half-time or more in the librarian series, or in any one of the following titles: ~~Assistant University Librarian, Associate University Librarian, University Librarian, Assistant Law Librarian, Associate Law Librarian, and Law Librarian~~ and each University Librarian or the same in an acting capacity.
3. The Librarians Association of the University of California (LAUC) shall advise the Office of the President, campus administration, and library administration on the

operations and policies of the libraries; on professional standards, rights, privileges and obligations of members of the librarian series of the University of California; and on the planning, evaluation, and implementation of programs, services or technological changes in the libraries of the University.

4. The Librarians Association of the University of California (LAUC) shall not advise the Office of the President, the campus administration, and the library administration with respect to matters which are covered by a Memorandum of Understanding or are otherwise subject to negotiation with an exclusive bargaining unit.

Supersedes Presidential Statement on the Status of the Librarians Association of the University of California, January 27, 1975, issued on February 20, 1975 by then President Hitch.

MODEL COMMUNICATION

The University invites comments on Proposed Revised Academic Personnel Manual Section 360, Librarian Series, and Section 210-4, Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series.

Proposed revisions update policy so that the terms and conditions affecting non-represented librarians are consistent with those affecting represented librarians. Policy revisions cover the definition and criteria for appointment, terms of service, merit increases, promotion, advancement to career status, personnel review procedures, and the new point-based salary scale.

The proposals are located on the UCOP Academic Personnel and Programs website, “Policies under review”, under the “Systemwide Review” tab at <http://ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. It also may be viewed at (*e.g., the campus Academic Personnel Office*).

If you have any questions or if you wish to comment, please contact _____ at _____, no later than _____ 2016.