

**ACADEMIC PERSONNEL PROCEDURES  
FOR LIBRARIANS:  
REPRESENTED LIBRARIANS**

**Implementation of the  
Memorandum of Understanding  
(Effective October 1, 2013 – September 30, 2018)**

*August 2014*

## PREFACE

The mission of the UCI Libraries is to facilitate the creation and dissemination of new knowledge at the University of California, Irvine. Librarians play a critical role in the success of the UCI Libraries, and consequently in the level of excellence achieved in the research and instruction conducted throughout the UCI campus. In the dynamic environment of higher education and scholarly communication, librarians must continually master a wide array of skills and tools so that they may initiate innovations and changes, as well as respond intelligently and reliably to new challenges.

The UCI Libraries' standards for librarians are high and require superior performance, achievement, and growth throughout a career. Librarians and managers work together to recruit, develop, evaluate, promote and retain the very best librarians. A decision to hire a librarian is a determination that the individual has the potential to qualify for a continuing career appointment. These procedures insure that rigorous and objective reviews are consistently conducted throughout the UCI Libraries in order to establish first, that the appointee has the necessary potential, and, after a suitable trial period, that the appointee has realized and continues to realize this potential to a high degree of excellence.

Academic appointees who provide professional service in the University of California libraries hold titles in the Librarian Series. Policies and procedures pertaining to members of the Librarian Series who are members of the librarian bargaining unit are covered by the *Memorandum of Understanding (MOU)* between the University of California and University Council – American Federation of Teachers, Professional Librarian Unit. Each campus of the University of California develops its own guidelines and procedures for the interpretation and implementation of the policies and procedures mandated by the University. UCI's *Academic Personnel Procedures for Librarians: Represented Librarians* contains the interpretation and implementation of the University of California's personnel policies and procedures for appointees in the Librarian Series at the Irvine campus who are members of the librarian bargaining unit. The *MOU* is cited within these procedures, referring to personnel policies and procedures that apply specifically to bargaining unit librarians at UCI.<sup>1</sup>

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<sup>1</sup> The MOU: *Contract for the Professional Librarians Unit (LX) between the University of California and the American Federation of Teachers*, is available online at <http://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/contract.html>. Links to the MOU are incorporated throughout the APP-L.

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**Section I:  
Review of Members of the Librarian Series  
Introduction**

Section I, “Review of Members of the Librarian Series,” of these *Academic Personnel Procedures for Librarians: Represented Librarians*, establishes the procedures governing the review of members of the Librarian Series at the University of California, Irvine. These procedures interpret and implement the policies and procedures contained in the [Memorandum of Understanding \(MOU\)](#) that pertain to librarian reviews. The purpose of UCI’s review procedures for librarians is to set forth a rigorous and fair process under which librarians can develop and attain the growth and superior achievement that is required in order for the UCI Libraries to fulfill its mission.

The review process is intended to ensure that professional as well as administrative considerations are taken into account in all matters of appointment, promotion, merit increase, and termination within the Librarian series. The review process as described in the *MOU* requires, therefore, a supervisory evaluation and a peer review before the final administrative decision is made, as follows:

1. review by the Review Initiator (at UCI, this is the librarian’s immediate supervisor)
2. review by a personnel committee whose members are selected according to local campus procedures (at UCI, this is the LAUC-I Library Review Committee)
3. review by the Chancellor or designee (at UCI, this is the University Librarian; or for law librarians, the Dean of the Law School in consultation with the University Librarian).

The *MOU* states that comments by supervisory levels other than the Review Initiator and the University Librarian (e.g., the candidate’s department head, supervisory AUL) may be included in the academic review file ([MOU, Article 5.E](#)). At UCI, all supervisory levels above the Review Initiator – including the Department Head if different from the Review Initiator as well as the Assistant/Associate University Librarian (AUL) and Assistant/Associate Law Librarian (ALL) – participate in the review of librarians within their supervisory purview.

**I. Review of Members of the Librarian Series**  
**A. Authority and Responsibility**

1. RESPONSIBILITY TO PROVIDE FOR REVIEW

The Executive Vice Chancellor has delegated to the University Librarian, and in the case of law librarians to the University Librarian and the Dean of the Law School, the responsibility to provide for review of the qualifications of candidates for merit increase, promotion, career status, and termination.

2. AUTHORITY TO APPROVE REVIEW ACTIONS

- a. The Executive Vice Chancellor has delegated to the University Librarian, and in the case of law librarians to the Dean of the Law School in consultation with the University Librarian, the authority to approve promotions, career status actions, merit increases, and terminations consistent with the published salary scales after appropriate review.
- b. The Chancellor retains authority to approve, as exceptions, promotions, career status actions, and merit increases having effective dates other than July 1.
- c. The Executive Vice Chancellor retains authority to approve, as exceptions, promotions, and merit increases retroactively (that is, with the beginning date of service more than 30 days prior to the actual date of approval).

3. ESTABLISHMENT OF REVIEW PROCEDURES

These review procedures, which have been established by the Executive Vice Chancellor in consultation with the University Librarian and after receiving recommendations from LAUC-I, are designed to:

- a. meet the requirement of the MOU to review each librarian periodically and to include participation by a review committee;
- b. utilize appropriately the criteria for advancement which are mentioned in the MOU;
- c. be consistent with the process for merit increase, promotion, and career status described in the MOU;
- d. insure that all recommendations and decisions are based solely upon the material in the academic review record;
- d. be appropriate to the needs and functions of the campus.

**I. Review of Members of the Librarian Series**  
**B. Types of and Eligibility for Review Actions**

1. TYPES OF ACTIONS THAT MAY RESULT FROM REVIEWS ([MOU, Article 4.E.1.](#))

The following actions may result from reviews of librarians:

- a. A *merit increase* is advancement in salary within rank in the Librarian series. ([MOU, Article 13.B.&C.](#))
- b. A *promotion* is advancement to the next highest rank within this series (i.e. Assistant Librarian to Associate Librarian and Associate Librarian to Librarian).
- c. *Career status* is achieved upon successful completion of a suitable trial period in potential career status, except in the exceptional circumstance outlined in the MOU.
- d. A *no action decision* occurs in a variety of situations:
  - 1) A *no action decision* occurs when a candidate is normally eligible for promotion or merit increase, but there is not sufficient reason to recommend advancement.
  - 2) A *no action decision* is a neutral, non-prejudicial action for candidates at the Associate Librarian 7 or Librarian 5 – 7 steps (steps apply only to those librarians on the old scale and will be phased out during the life of this MOU), or the top salary point of the Associate Librarian or Librarian rank since there are no higher salary points available.
  - 3) A *no action decision* is an action intended to address performance issues and the actions required to improve that performance for those at any rank and salary point.
- e. A *termination* may occur when the review indicates that the candidate has failed to achieve or maintain a satisfactory level of performance.

2. TYPES OF REVIEWS ([MOU, Article 4.E.2.](#))

- a. A *standard review* is one that takes place every two years at the Assistant and Associate ranks and every three years at the Librarian rank.
- b. An *off-cycle* review is one that takes place earlier than the standard review.
- 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 that can only be initiated with the written agreement of the candidate.



3. NORMAL INTERVALS FOR REVIEWS ([MOU, Article 4.E.2.a.](#))

- a. Normal intervals for reviews of librarians are as follows:
- b. Assistant Librarians: every two years
- c. Associate Librarian: every two years
- d. Librarian: every three years

4. DETERMINING PERIODS OF SERVICE ([MOU, Article 4.D.](#))

The following rules of computation will be observed for determining periods of service (please note that the following periods are not relevant for purposes of determining retirement credit):

- a. The “year” used to establish service credit is defined as running from July 1 through the following June 30. (Note that the “service year” is therefore different than the “review year” described in the following section.)
- b. Periods of service between review actions normally end on the June 30<sup>th</sup> just prior to the July 1<sup>st</sup> effective date of a review action.
- c. A period of service is calculated from the beginning of the first complete calendar month of service. (For example, a librarian appointed December 5 is not credited with service for the month of December. That librarian’s effective date of appointment would be January 1.)
- d. A librarian with an effective date of appointment in the period of July 1 through January 1 will receive one year of service credit. (For example, a librarian appointed October 1, 2014 receives one year of service credit for July 1, 2014 – June 30, 2015).
- e. A librarian with an effective date of appointment in the period January 2 through June 30 will not receive service credit for that year. (For example, a librarian appointed February 1, 2015 does not receive any service credit for the year of July 1, 2014 – June 30, 2015.)
- f. Completed years of service will be counted regardless of the percentage of time of appointment.
- g. Any break in service because of leave without salary, layoff, or resignation does not invalidate service prior to the interruption.
- h. Service on any campus of the University of California is included.
- i. Any leave with salary is included as service, but leave without salary is not included for purposes of determining completed years of service.

5. THE REVIEW “YEAR” ([MOU, Article 4.D.7.](#))

At the UCI Libraries, the review “year” is the 12-month period from October 1 – September 30. (Note that the “review year” is therefore different than the “service year” described in the previous section.)

A review period consists of one or more review “years.” A new appointee’s first period to be reviewed begins with the date of appointment and ends on one of the following September 30’s.

6. MINIMUM SERVICE REQUIRED TO BE REVIEWED

In order to be reviewed, the candidate must have worked at least six months prior to the September 30<sup>th</sup> that ends the specific review cycle.

7. INTERACTION OF PERIODS OF SERVICE AND REVIEW PERIODS

The interaction between periods of service and review periods must be carefully understood in order to determine candidates’ eligibility for review actions, especially for new appointees. The following examples are cited to assist in this understanding.

- a. Librarian A is hired as an Assistant Librarian on May 1, 2014.
  - 1) Librarian A was hired between January 2 and June 30; therefore, July 1, 2013 – June 30, 2014 does not qualify as a “service year” for Librarian A (see 4e).
  - 2) Librarian A will therefore complete one year of normal service on June 30, 2015 (see I.B.4.a) and two years of normal service on June 30, 2016; a review action is therefore mandated for Librarian A on July 1, 2016 (see I.B.4.b) and this must be indicated in the call that is issued in August 2015.
  - 3) The review period that applies to Librarian A’s first review is May 1, 2014 (date of appointment) – September 30, 2015 (see I.B.5).
- b. Librarian B is hired as an Associate Librarian on December 1, 2014.
  - 1) Librarian B was hired between July 1 and January 1; therefore, July 1, 2014 – June 30, 2015 qualifies as one “service year” for Librarian B (see I.B.4.d).
  - 2) Librarian B will therefore complete the two years of normal service for an Associate Librarian on June 30, 2016 (see I.B.4.a); a review action is therefore mandated for Librarian B on July 1, 2016 (see I.B.4.b) and this must be indicated in the call that is issued in August 2015.
  - 3) The review period that applies to this first review is December 1, 2014 (date of appointment) – September 30, 2015, even though it is only a *ten-month period*; the six-month minimum requirement is met (see I.B.6).
  - 4) Moreover, since two years of service as a Librarian will have been completed by June 30, 2016, Associate Librarian B is eligible, but not mandated, to be considered for career status during this review (see I.B.8.b.1).

## 8. ELIGIBILITY FOR REVIEW:

### A. Assistant Librarian Rank, Potential Career Status

- 1) An Assistant Librarian with potential career status will be considered at each review for:
  - merit increase
  - no action
  - termination
- 2) An Assistant Librarian with potential career status may be considered for career status and promotion to Associate Librarian after a reasonable trial period not to exceed six years.
- 3) An Assistant Librarian with potential career status who is promoted to Associate Librarian achieves career status at the same time.
- 4) An Assistant Librarian with potential career status must achieve career status and promotion to Associate Librarian after no more than six years as Assistant Librarian or is subject to termination.

### B. Associate Librarian Rank, Career and Potential Career Status

- 1) An Associate Librarian with potential career status will be considered at each review for:
  - merit increase
  - no action
  - termination
- 2) An Associate Librarian with potential career status may be considered for career status after two years as Associate Librarian.
- 3) An Associate Librarian with potential career status must achieve career status after no more than four years as Associate Librarian or is subject to termination.
- 4) An Associate Librarian with potential career status who is promoted to Librarian achieves career status at the same time.
- 5) An Associate Librarian with career status, will be considered at each review for:
  - merit increase (until the Associate Librarian has attained the highest salary point in the Associate Librarian range)
  - no action
  - termination

- 6) An Associate Librarian may be considered for promotion to the rank of Librarian once the Associate Librarian has achieved a salary that overlaps with a salary point in the Librarian rank. ([MOU, Article 13.C.2.e.](#))
- 7) An Associate Librarian who has achieved the top salary point of Associate Librarian may receive a neutral, non-prejudicial No Action if promotion to the rank of Librarian is not awarded ([MOU, Article 4.E.1.d.1](#)).

#### C. Librarian Rank, Career and Potential Career Status

- 1) A Librarian with potential career status will be considered at each review for:
  - merit increase
  - no action
  - termination
  - career status (may be considered for career status after two years as Librarian; must achieve career status by no more than three years as Librarian)
- 2) A Librarian with career status, will be considered at each review for:
  - merit increase
  - no action
  - termination
- 3) A Librarian who has achieved the top salary point in the Librarian rank will be considered for:
  - no action (a no action is a neutral, non-prejudicial action for those at the top salary point of the Librarian rank) ([MOU, Article 4.E.1.d.1](#))
  - termination

#### 9. INFORMING LIBRARIANS OF ELIGIBILITY FOR REVIEW ACTIONS

The Assistant/Associate University Librarian (AUL) for Administrative Services shall inform each librarian, in writing and on a yearly basis, of his or her eligibility for review.

## 10. AN OFF-CYCLE REVIEW

A librarian may not initiate an off-cycle review during the life of the current MOU. ([MOU, Article 4.E.2.d.](#)) An off-cycle review may occur if the Review Initiator believes the record merits action prior to the scheduled standard review. If the off-cycle review results in a No Action, the review period “clock” will be restarted, beginning with the effective date of the No Action. However, section I.B.11. provides a mechanism under which the librarian’s next review may be conducted in any of the years following the “No Action.” The following example is given to assist in understanding this possible situation:

Librarian A has a three-year review period, with a mandatory review action date of July 1, 2015. Librarian A is given an off-cycle review after two years, in 2013-2014. The final decision on the off-cycle review is a No Action. Librarian A’s three-year review period *restarts*, effective July 1, 2014. Librarian A does not automatically come up for review in 2014-2015, the year that Librarian A originally was to be reviewed in, before receiving the off-cycle review. Instead, the new mandatory review date is July 1, 2017. However, under I.B.11., the Review Initiator will perform an assessment each year after the “No Action” and a review will be initiated when the Review Initiator believes that the record merits action.

## 11. REVIEW FOLLOWING A “NO ACTION” DECISION AFTER NORMAL DEFINED PERIOD BETWEEN REVIEWS OR AFTER AN OFF-CYCLE REVIEW

Where review after the normal service period between reviews or after an off-cycle review has resulted in a decision for “No Action,” the Review Initiator shall assess each year thereafter in the review cycle whether the record merits action. The librarian who received the “No Action” may initiate a discussion with the Review Initiator about the assessment.

While it is not necessary to initiate a formal review each year, the Review Initiator must do so when:

- a. the Review Initiator, after consulting with the supervisory AUL or ALL, (and the Department Head when the Review Initiator is not the Department Head) believes that the record now merits action, or
- b. the normal interval between reviews has elapsed since the previous formal review.

When a Review Initiator decides to conduct a review after the normal service period or after an off-cycle review has resulted in a decision for “No Action” but before the normal interval between reviews has elapsed, the Review Initiator shall so notify the AUL for Administrative Services within ten working days after the “call for merit increases, promotions and career status actions,” so that the AUL for Administrative Services can amend the list of candidates to be reviewed and inform other parties concerned, as necessary.

Since the initial review period will have already been served, such a review shall be conducted as a normal review, not an off-cycle review. Moreover, for such a review,

the period under review shall extend back to the last positive action, prior to the “no action” decision.

## 12. DEFERRED REVIEW

- A. A candidate or the Review Initiator may request a deferral of a review if prolonged absence or other unusual circumstances have resulted in insufficient evidence to evaluate performance. A deferral is a neutral action which can only be initiated with the written agreement of the candidate.
- B. A request for a deferral of a review must be submitted in writing within ten working days following the call for merit increases, promotions and career status actions.
- C. Reasons for the deferral must be in writing and all proposed deferrals must be submitted for written recommendations to the candidate, the Review Initiator, the supervisory AUL, and the Library Review Committee. All documentation and recommendations, whether or not the recommendations are in agreement, must be forwarded to the University Librarian, or Dean of the Law School for law librarians, for a decision.
- D. A deferred review is deferred for a period of one year, regardless of whether a person’s review cycle is 2 or 3 years.
- E. After the completion of a review which has been deferred, the review cycle will resume anew at the 2- or 3-year interval.
- F. Work conducted during the extended review period shall be reviewed as though it were completed in the normal period.

## 13. OFF-CYCLE REVIEW FOR REASONS OF PERFORMANCE ([MOU, Article 4.D.5.g.](#))

If there is reason to doubt that a librarian with career status is performing satisfactorily, the librarian will be provided with a written remediation plan to address the deficiency. After a reasonable remediation period, a review shall 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* shall be conducted. In these cases, the candidate receives from the University Librarian a written statement of the need for an off-cycle review. If this review results in an unfavorable evaluation, the candidate may be subject to termination after due notice. Otherwise, the appointment will be continued.

## 14. REVIEW OF TEMPORARY LIBRARIANS ([MOU, Article 4.D.4.](#))

When the length of appointment permits, Temporary Librarians are eligible for merit increases and shall be reviewed on the same bases as potential career and career status librarians.

**I. Review of Members of the Librarian Series**  
**C. The “Call” and Calendar of Due Dates**

1. THE “CALL” ([MOU, Article 5](#))

The AUL for Administrative Services shall issue a call each year for merit increases, promotions and career status actions. The call together with the calendar of due dates for the review process shall be distributed to each member of the librarian series no later than thirty days prior to the first required deadline in the calendar of due dates. The AUL/AS shall also inform each librarian to be reviewed of the period to be covered by the review record for each of the positive review actions for which the librarian is eligible.

2. ADHERENCE TO THE CALENDAR ([MOU, Article 5.D.](#))

- a. The calendar shall be adhered to by all parties. This is essential in order to allow each review level sufficient time to fulfill its responsibilities and for the complete cycle to be completed in a timely manner.
- b. One factor which will be considered in assessing the professional competence and judgment of individuals involved in the review process is their effectiveness in preparing and submitting documentation required as part of this process as well as the quality of the documentation.
  - 1) Failure of any participant to adhere to deadlines or approved extensions of deadlines shall be explicitly cited in the participant’s own review as a negative reflection on professional judgment and competence and/or supervisory performance.
  - 2) Failure of a participant to adhere to deadlines or approved extensions of deadlines may also result in a disciplinary action.
- c. Deadlines may be extended upon mutual agreement of the parties. An extension of a deadline is an exception rather than the rule and shall be for as short a time as possible.
  - 1) A participant may request an extension of a deadline in writing from the next level in the review process (e.g., a candidate’s request shall be submitted to the Review Initiator; the Review Initiator’s request shall be submitted to the AUL or UL as appropriate; the AUL’s request shall be submitted to the UL).
  - 2) The extension request must include an explanation of why the participant is unable to comply with the existing timetable, and this explanation will be submitted as part of the review record.
  - 3) This extension request shall be made as early as possible in the review cycle, but authorization for an extension must be secured no later than one week prior to the formal deadline. The individual granting the exception must notify the AUL for Administrative Services promptly.

- 4) An extension for any individual shall not extend the deadlines for subsequent steps in the calendar of due dates and may not become the basis for a request for a subsequent extension.
- d. If a candidate fails to provide the Review Initiator with a factual résumé or to secure an extension within two weeks of the Review Initiator's deadline for forwarding the review, the Review Initiator shall complete his/her review and forward the review record without a current factual résumé; the factual résumé from a previous review may be used instead.



**I. Review of Members of the Librarian Series**  
**D. Criteria for Merit Increases, Promotions, and Career Status**

CRITERIA FOR MERIT INCREASE, PROMOTION AND CAREER STATUS  
ACTIONS

All reviews shall include consideration of the candidates on the basis of the following criteria. The following is quoted from the [MOU, Article 4.C](#).

“1. 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. Promotion may also depend upon increased responsibility as well as growing competence and/or contribution in the candidate’s position. 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, there is no obligation on the part of the University to continue, advance or promote. Promotion may also be tied to position change. The assumption of administrative responsibilities is not a necessary condition for promotion.

2. 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 the first of the following criteria, and, to the extent they are relevant to the candidate’s career path, on at least one or more of the last three:

[Criterion I.] 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 six major areas of librarianship.

Additionally, librarians should be evaluated 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 effective service may include, but is not limited to, 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 professional colleagues, particularly those who work closely or continuously with the appointee; 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.

[Criterion II.] b. Professional Activity Outside the Library

A candidate's professional commitment and professional contributions 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; or editorial activity.

[Criterion III.] 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: membership or chairmanship of administrative committees appointed by the Chancellor, University Librarian, or other university administrative officers; and memberships or chairmanship of other University committees, including those of student organizations and of departments and schools other than the Library such as service on thesis or dissertation portfolio committees. Public service includes professional librarian services to the community, state, and nation.

[Criterion IV.] d. Research or Other Creative Activity

Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. Librarian engagement in academic research enhances their ability to relate their functions to the more general goals of the university. 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."

**I. Review of Members of the Librarian Series**  
**E. Confidentiality of the Review Process**

1. It is the responsibility of all involved in the review process to scrupulously respect the confidentiality of their deliberations and the records and documents they examine.
2. All personnel records, report, and documents relating to a candidate's case shall be kept in the Library Human Resources Office when not in use by an authorized reviewer.
3. All documents in transit shall be in sealed envelopes marked "Confidential."

**I. Review of Members of the Librarian Series**  
**F. Review Initiator's Role**

1. THE REVIEW INITIATOR'S RESPONSIBILITIES

The Review Initiator is responsible: for

- a. initiating the review according to the schedule in the calendar of due dates,
- b. ensuring that the review record covers the period encompassed by the review,
- c. compiling a review record with the quality, depth and breadth to sufficiently inform the subsequent levels of review,
- d. proposing a review action based on an evaluation of the candidate's performance which is candid, objective, and thorough,
- e. forwarding the review record to the next level of review by the specified deadline.

2. INITIATION OF THE REVIEW BY THE REVIEW INITIATOR

- a. The Review Initiator for a specific review cycle shall be the person who is the librarian's immediate supervisor on the date of the Call. If the Review Initiator leaves the University after the Call but before making his or her recommendation, the University Librarian shall designate a person to function as the Review Initiator for the purpose of completing the review; this will usually be the person to whom the Review Initiator reported.
- b. The Review Initiator's role as initiator includes the following responsibilities:
  - 1) *initiate* formal consideration of review actions,
  - 2) notify the candidate of the impending review,
  - 3) inform the candidate about the entire review process in one or more conferences, including the required schedule, the period under review, and discussion of the actions that could result from the review,
  - 4) give the candidate the opportunity to ask questions,
  - 5) meet with the AUL to discuss the candidate's review. (If the Department Head is different than the Review Initiator, the Department Head shall be included in the meeting.) The discussion shall be focused on what documentation is appropriate and necessary to ensure that the full range of the candidate's performance is documented. Consensus is not a goal of this meeting, but rather communication and discussion. If issues are identified as a result of these discussions, the Review Initiator shall discuss them with the candidate so that the candidate has the opportunity to supply documentation that addresses the issues,
  - 6) give the candidate the opportunity to supply pertinent information and evidence to be used in the review.
- c. The Review Initiator may also choose to discuss with the candidate:

- 1) the Review Initiator's tentative assessment of the candidate's performance in order to discover differences of opinion, missing information, and areas needing special attention as the review is prepared;
  - 2) the choice of soliciting letters when the actions under consideration do not require letters.
  - 3) what period of time to cover in each of the four criteria depending on what action is to be considered. For example, an Associate Librarian with potential career status would be eligible, but not mandated, to be considered for career status in the first review. If the candidate wishes to be considered for career status, the candidate should include criteria 2-4 achievements from her/his entire career as a librarian. If the candidate does not want to be considered for career status until the next review, the candidate includes information on accomplishments within the specific review period only.
3. THE INVOLVEMENT OF FORMER REVIEW INITIATORS IN THE REVIEW PROCESS
- a. A Former Review Initiator is defined as one who supervised the candidate for more than one-third of the period since the end of the last review period.
    - 1) If the Former Review Initiator is still employed in the UCI Libraries or Law Library, a non-confidential letter is required. A copy is automatically given to the candidate by the Review Initiator.
    - 2) A Former Review Initiator who is still employed in the UCI Libraries or Law Library may request a copy of the candidate's factual résumé for the purpose of writing the letter.
    - 3) If the Former Review Initiator has left the UCI Libraries or Law Library, a letter may be requested as a solicited confidential letter and a redacted copy will be given to the candidate along with any other solicited confidential letters.
  - b. The Former Review Initiator's letter should be an evaluative letter, but does not include a recommendation.

#### 4. DETERMINING THE PERIOD TO BE COVERED BY THE REVIEW RECORD

The following chart shall be used to determine the period to be addressed by the Review Initiator's letter of recommendation. The review action being proposed by the Review Initiator shall normally determine the period to be covered by the Review Initiator's letter of recommendation.

However, sometimes the Review Initiator may choose to explain why a review action that was considered is in fact not being proposed; in this case the Review Initiator may choose to address the period that applies to the action that was considered but is not being proposed. For example, a Review Initiator may address the period since appointment to explain why promotion is not being recommended for an Assistant

Librarian who has been in potential career status for four years even though a merit increase within the Assistant Librarian rank is being proposed.

Similarly, the review record may contain documentation (the factual résumé, solicited letters, etc.) that applies to the action that was considered but is not being proposed.

<b>Action Proposed by Review Initiator</b>	<b>Period Addressed by Review Initiator: Criterion I</b>	<b>Period Addressed by Review Initiator: Criteria 2-4</b>	<b>Letters Required?</b>
Merit Increase; No Action for candidates who are eligible for advancement.	Period since the end of the review period that resulted in the last positive review action. (for new appointees, period since appointment)		no
No Action for candidates at the top salary point of the Associate Librarian rank who are not being considered for promotion.	Period since the end of the last review period.		
No Action for candidates at the top salary point of the Librarian rank.	Period since the end of the last review period.		
Promotion; Career Status	Period since appointment	Whole career as a librarian with an emphasis on the period since the end of the last review period.	yes
Termination	Period at least since the end of the review period that resulted in the last positive review action. (For new appointees, period since appointment.) At the time of initiation of a review, if the Review Initiator is considering proposing termination, an assessment of the candidate's long term performance may be a factor in this consideration, and the Review Initiator may designate a longer period of review for one or more of the criteria.		yes

## 5. SOLICITATION OF LETTERS

- a. Letters are required in all off-cycle reviews and in all cases where the candidate is being considered for promotion, career status, or termination.
- b. Letters may be solicited at the discretion of the Review Initiator in other cases as well, especially when the Review Initiator does not have firsthand knowledge of the candidate's performance in a certain area, when there is a likelihood that the candidate will not agree with the recommendation, when the candidate is being considered for a greater than standard merit, or when no letters have been solicited for a review of the candidate in at least five years. When the Review Initiator exercises his or her discretion to solicit letters, the Review Initiator shall include the reason for soliciting letters in his or her letter of recommendation.
- c. When letters are to be solicited, the Review Initiator shall give the candidate an opportunity to suggest names of persons who are familiar with the candidate's performance. The candidate shall indicate the area(s) of performance about which the named persons might be particularly knowledgeable. Letters solicited by the Review Initiator shall include a reasonable number from the names provided by the candidate.
- d. The candidate may also list names of persons who, for reasons set forth in writing, 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 review record. The Review Initiator may solicit letters from persons that the candidate has indicated might not be objective if the Review Initiator feels strongly that those persons would be appropriate. If this is the case, the review record must include both the candidate's statement indicating inappropriate referees and reasons for their inappropriateness and the Review Initiator's reasons for soliciting letters from them.
- e. Both the candidate's list and the Review Initiator's list shall become part of the review file.
- f. If the candidate is in a supervisory position, letters may be solicited from librarians in the supervisory chain below the candidate.
- g. The Review Initiator is not required to solicit letters from all individuals suggested by the candidate, nor is the Review Initiator restricted to that list of names. Indeed, the Review Initiator shall solicit letters from others when he/she deems them to be important sources for evaluation.
- h. The Review Initiator's request for a letter shall include the candidate's résumé or curriculum vita; when evaluation of publications is sought, it is also helpful to include copies of publications not otherwise easily obtainable for the letter writer's reference.
- i. All solicited letters received must be included in the review record as well as copies of the Review Initiator's letters soliciting the evaluations, and the candidate's résumé or curriculum vita.

- j. The Review Initiator and all other review levels shall not disclose to the candidate the number of letters solicited, nor the names of the persons from whom letters were solicited. Redacted copies of the letters are provided to the candidate via Library Human Resources. ([MOU, Article 5, G.4.](#))

- k. All solicitations for letters of evaluation must include the following statement:

*“Under University of California policy, the identity of authors of letters of evaluation which are included in the personnel review files will be held in confidence. A candidate will be provided access to such letters in redacted form. Redaction is defined as the removal of identifying information (including name, title, institutional affiliation, and relationship to the candidate) contained either at the top of the letterhead or within and below the signature block of the letter of evaluation.*

*The full text of the body of your letter will therefore be provided to the candidate. Thus, if you provide any information that tends to identify you in the body of the letter, that information will become available to the candidate. If you wish, you may provide a brief factual statement regarding your relationship to the candidate at the end of your letter but below the signature block. This brief statement will be subject to redaction and will not be made available to the candidate.*

*Although we cannot guarantee that at some future time a court or governmental agency will not require the disclosure of the source of confidential evaluations in University of California personnel files, we can assure you that the University will endeavor to protect the identity of authors of letters of evaluation to the fullest extent allowable under the law.”*

## 6. UNSOLICITED LETTERS

Unsolicited letters will not normally be included in personnel review files except

- a. when submitted by the individual under review, and/or,
- b. when included by a review level (i.e., Review Initiator, Department Head, AUL, University Librarian, etc.) as evidence in support of a particular point. If an unsolicited letter is used in a review by a review level, that individual may first write the author of the unsolicited letter and include the statement regarding confidentiality of such letters. This unsolicited letter will be treated as confidential. The candidate will be informed that material has been added to the file, and the candidate will receive a redacted copy.

## 7. OTHER PERSONNEL RECORDS PERTAINING TO THE CANDIDATE

In addition to the confidential academic review record, other 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 the Review Initiator.

Review Initiators and others in the supervisory chain (Department Heads, AULs) may view Library Human Resources’ copies of past reviews of librarians who currently report to them. Recommendations from ad hoc committees that are contained in the review files shall be redacted. Library Human Resources shall notify the reviewee



within two weeks that his or her review file has been viewed and by whom it was viewed.

When a Review Initiator is preparing a review record for a librarian whose previous review resulted in a “no action” decision after the normal period at step or after an off-cycle review (as described in I.B.11), the Review Initiator may include in the current review record material from previous reviews that occurred since the last positive action, if the material is substantively and materially relevant to the current review. The Review Initiator shall make clear in the review record that this material is from previous reviews and why it is substantively and materially relevant to the current review. If the Review Initiator includes such material, the Review Initiator shall inform the librarian under review and shall give him or her copies of the additional material, redacting any confidential material.

#### 8. MATERIALS SUPPLIED BY THE CANDIDATE FOR INCLUSION IN THE REVIEW RECORD

The candidate is responsible for supplying to the Review Initiator by the specified deadline, documentation which is pertinent to the evaluation of the candidate’s professional performance, as follows (and as described in the Candidate’s Review Record Assembly Guidelines, UC-LIB-04):

a. The factual résumé.

The factual résumé is a concise overview whose purpose is to draw reviewers’ attention to the most significant activities engaged in under each of the criteria, as applicable, during the period under review, indicating the level of participation and contribution. The factual résumé shall adhere to the *Factual Résumé Guidelines for Librarians* which are found in Appendix A of these procedures.

b. Supplementary material.

Copies of publications and other relevant materials that document the activities covered in the factual résumé may be included as attachments. The attachments should be numbered and referenced by number in the factual resume.

c. Position Profile. (a blank form is available on the Library Human Resources website).

Changes in job responsibilities during the period since the last review should have been documented in revised position profiles at the time of the changes. All Position Profiles which were effective since the last review must be included in the review record. When there is more than one Position Profile included in the review record, the dates covered shall be clearly indicated at the top of each Profile. If there are no changes to the Position Profile, both the candidate and the Review Initiator sign the existing profile with a current date and include it in the review record. If there are any changes to the Position Profile, a new one shall be created with “dates covered” open to indicate it is the current Position Profile.

The new Position Profile must be signed and dated by the candidate and the Review Initiator (see p. 38, I.F.14., *Position Profile for the Next Review Period*).

The candidate is also responsible for supplying separately to Library Human Resources by the specified deadline, an updated *Academic – Career History & Publication Record* (a blank form can be found on the Library Human Resources website).

## 9. REVIEW INITIATOR’S LETTER OF RECOMMENDATION

- a. The Review Initiator’s letter addressed to the University Librarian (or the Dean of the Law School for law librarians) shall propose a personnel action based on the Review Initiator’s assessment of the candidate, substantiated by the evidence in the review file, and taking into account the criteria for members of the Librarian series.
- b. When letters have been solicited, the Review Initiator shall use the form, “Identification of Evaluators,” UCI-LIB-02, to list all persons from whom letters were solicited indicating whether the name was provided by the Review Initiator or the candidate, and whether the person did or did not respond. Library Human Resources shall give each letter writer an identification code (a, b, c, etc. or 1, 2, 3, etc.) and indicate the code on the form. This form shall be included in the review record.
- c. In the Review Initiator’s letter, the individuals who have provided confidential letters shall not be referred to by name, position, or other identifying information.
- d. For off-cycle reviews and in cases where the candidate is being considered for promotion, career status, or termination, the Review Initiator’s assessment shall be very thorough and with significant depth. For other review actions, the Review Initiator may choose to write more briefly.
- e. To determine the period to be covered by the Review Initiator’s assessment, follow the period indicated in the chart in I.F.5. on page 30, “Determining the Period to Be Covered by the Review Record.”
- f. Before the Review Initiator shares a draft of his/her letter with the candidate, the Review Initiator shall meet with the supervisory AUL (or ALL or Associate Dean for Library and Information Services for law librarians) to communicate the review actions he/she plans to recommend. (If the Department Head is different than the Review Initiator, the Department Head shall be included in the meeting.) The Review Initiator shall be prepared to present the available evidence from the review record which will form the justification for the recommendation, and shall be prepared to present a rough outline of his or her letter. The AUL (or ALL or ADLL) shall be given the candidate’s factual résumé before the meeting. If the factual résumé has not been submitted by the appropriate deadline, the meeting between the Review Initiator and the supervisory AUL (or ALL or ADLL) shall nevertheless be held. Consensus is not a goal of this meeting, but rather communication and discussion.

- g. Before the Review Initiator forwards the final review record, the Review Initiator shall meet with the candidate to discuss a draft of the Review Initiator's letter, which shall have been submitted to the candidate at least one day before the meeting.

#### 10. CANDIDATE'S INSPECTION OF NON-CONFIDENTIAL DOCUMENTS

- a. Before forwarding the review record to the next review level, the Review Initiator shall provide the candidate the opportunity to inspect and make copies of all documents to be included in the review record other than confidential academic review documents. (Confidential academic review records are defined in [MOU, Article 6, Personnel Files.](#))
- b. The Review Initiator shall provide a copy of his or her letter of recommendation to the candidate.

#### 11. REDACTION FOR CANDIDATE OF CONFIDENTIAL DOCUMENTS

- a. Working with the AUL for Administrative Services to ensure adherence to proper procedures, the Review Initiator shall provide to the candidate access to confidential academic review records. The records shall be subject to redaction as follows:
  - 1) For a letter of evaluation or statement from an individual evaluator, redaction shall consist of the removal of name, title, organizational/institutional affiliation, and relational information contained below the signature block of the letter of evaluation.
  - 2) Confidential individual letters of evaluation solicited from sources within the campus shall be included in the redaction as well as any outside letters.
- b. Library Human Resources shall give each letter writer an identification code (a, b, c, etc. or 1, 2, 3, etc.) and indicate the code on the form submitted by the Review Initiator, "Identification of Evaluators" (UCI-LIB-02). This alpha or numeric code must also be marked on the corresponding copied letter and must remain on the copied letter after it is redacted.
- c. Redacted copies shall be included in the review file.
- d. Redacted copies shall be given to the candidate.

#### 12. CANDIDATE'S RESPONSE TO FILE MATERIALS

Before the Review Initiator forwards the review record to the next level, the candidate may submit to the Review Initiator for inclusion in the review record a written statement in response to or commenting upon any or all of the material in the review record. The deadline for submission of comments will be seven calendar days, excluding University holidays, from receipt of the material upon which the candidate is commenting.

### 13. POSITION PROFILE FOR THE NEXT REVIEW PERIOD

The Review Initiator and the candidate (and the Department Head, when different from the Review Initiator) shall review the current Position Profile together. If necessary, it shall be revised to reflect changed responsibilities during the next review period. Whether the Position Profile is changed or not, a new document shall be created with “dates covered” open to indicate it is the current Position Profile. This document shall be signed and dated by the candidate and the Review Initiator. (Additional changes that occur during the review period shall be documented in revised position profiles that shall be given to the librarian prior to or at the time of the changes, but no later than ten working days after the changes in responsibilities take place.)

### 14. ASSEMBLING AND FORWARDING OF THE REVIEW RECORD

- a. The Review Initiator is responsible for assembling the review file utilizing the Review Initiator’s Review Record Assembly List (UCI-LIB-06)
- b. The review record shall include only documents which are pertinent to the evaluation of professional performance.
- c. The original file and one copy are then sent to the next level, which is usually the appropriate supervisory AUL or ALL.

**I. Review of Members of the Librarian Series**  
**G. Department Head's Role**  
**(When the Department Head is Not the Review Initiator)**

1. If the Review Initiator is not the Department Head, the Review Initiator shall keep the Department Head informed of all developments in the compilation of the review record. The Review Initiator shall share the review record with the Department Head before submitting it to the next review level.
2. The Department Head shall add comments to the review record before the Review Initiator submits it to the next review level. These comments may consist of a signature indicating agreement with the Review Initiator's recommendation or a narrative statement. If a narrative statement is submitted by the Department Head, the candidate shall receive a copy and may respond in writing.

**I. Review of Members of the Librarian Series**  
**H. Associate University Librarian's or Associate Law Librarian's Role**

1. DETERMINING THE ROLE OF THE ASSISTANT/ASSOCIATE UNIVERSITY LIBRARIAN (AUL) OR ASSISTANT/ASSOCIATE LAW LIBRARIAN (ALL)

Reporting relationships may change, creating uncertainty over who has what role in the review process for a particular candidate during a particular review cycle.

At the time of the call, if the person who is functioning as the supervisory AUL or ALL for the candidate is also functioning as the candidate's review initiator, there shall be no separate AUL or ALL comments for that review.

At the time of the call, if the person who is functioning as the supervisory AUL or ALL for the candidate is also functioning as the University Librarian or Associate Dean of the Law Library, there shall be no separate AUL or ALL recommendation for that review.

2. LETTER WITH COMMENTS

The supervisory AUL or ALL (if different from the Review Initiator) shall review the file and add comments to the review record. For off-cycle reviews and in cases where the candidate is being considered for promotion, greater than standard merit, greater than standard promotion, or career status the AUL's or ALL's assessment shall be thorough. For other review actions, the AUL or ALL may choose to write quite briefly.

The AUL or ALL shall provide a copy of the comments to the candidate and to the Review Initiator.

The AUL submits the review record to Library Human Resources.

The ALL submits the review record to the Associate Dean for the Law Library.

3. CANDIDATE'S RESPONSE TO AUL OR ALL COMMENTS

The candidate may submit for inclusion in the review record a written statement in response to or commenting upon the supervisory AUL or ALL letter. The deadline for submission of comments will be seven calendar days, excluding University holidays, from the day the candidate receives the comments.

**I. Review of Members of the Librarian Series**  
**I. The Associate Dean for the Law Library's Role**

1. The Associate Dean for the Law Library (ADLL) reviews the academic review record for all law librarians.
2. The ADLL submits comments on the file addressed to the Dean of the Law School.
3. The ADLL shall provide comments to the candidate, the Review Initiator, the supervisory AUL (if different from the RI), and the AUL for Administrative Services.
4. The ADLL submits the complete review record with the ADLL's comments to the Law School's Director of Personnel.
5. The Director of Personnel checks the file for completeness and sends it to Library Human Resources who prepares the file for submission to the Library Review Committee, the Dean of the Law School, and the University Librarian.

**I. Review of Members of the Librarian Series**  
**J. Library Review Committee's Role**

1. RESPONSIBILITY

The Library Review Committee (LRC) shall advise the University Librarian on the merit increases, promotions, career status, and termination actions for members of the Librarian series. In the case of law librarian candidates, the LRC shall advise the Dean of the Law School.

2. CONFIDENTIALITY

- a. The review deliberations and recommendations of the LRC are to be strictly confidential.
- b. The Chair of the Library Review Committee shall remind members of the confidential nature of the Committee's assignment and of the material made available to the committee.
- c. When an LRC member is under review, arrangements shall be made for the other committee members to view and discuss the file without the member under review being present.
- d. All copies and preliminary drafts of written communications shall be destroyed.

3. CERTIFICATION STATEMENT AND DOCUMENTATION CHECKLIST

Before the review record is submitted to the Library Review Committee, the AUL for Administrative Services is responsible for having the candidate sign the "Candidate's Certification Statement and Documentation Checklist" (UCI-LIB-07) certifying that the prescribed procedures have been followed and which documentation in the review record has been received, inspected and/or provided by the candidate. The candidate shall receive a redacted copy of the review committee(s)' recommendation when the review is completed.

4. CANDIDATE'S REQUEST FOR A COMMITTEE MEMBER TO NOT SERVE ON HIS/HER REVIEW COMMITTEE

- a. The candidate may request in writing that a member of the Library Review Committee not serve on his/her review committee. The request shall be addressed to the University Librarian or Dean of the Law School via the Review Initiator before the Review Initiator's recommendation has been submitted to the AUL for Administrative Services.
- b. The candidate must state the reasons for the request.
- c. Initially, the Library Review Committee member whom the candidate has asked to be excluded shall not be told that there is a request for that member to be excluded from a review. The request shall initially be shared only with the members of the Library Review Committee that the candidate has not asked to be



excluded and only these members shall decide whether to honor the candidate's request.

- d. If the decision is made to honor the candidate's request, the excluded librarian shall be told this decision and the committee's review shall proceed without the excluded librarian's participation. If the decision is made not to honor the candidate's request, the candidate's written request shall not be put in the file that the entire Library Review Committee sees, in order to ensure that a participating committee member does not know that his or her exclusion had been requested by the candidate. The request shall be returned to the file after the LRC deliberations are completed. If the file needs to be returned to the LRC later, the letter shall first be removed.
  - e. The final decision to honor a candidate's request for a Committee member to not serve on that candidate's review rests with the Library Review Committee.
  - f. If the request is honored, an *ad hoc* Committee may be appointed to review the file, in order to provide expertise lost from the Library Review Committee.
5. CONTENTS OF REVIEW FILES NORMALLY SENT TO LRC
- a. *Academic Review Action Summary* (UCI-LIB-01)
  - b. Divisional AUL's or ALL's comments, when the AUL or ALL is different from the Review Initiator
  - c. Department Head's comments, when the Department Head is different from the Review Initiator
  - d. Review Initiator's letter of recommendation
  - e. Candidate's response(s), if submitted, to the Review Initiator's letter
  - f. Review Initiator's response(s), if submitted to the candidate's response(s) to the Review Initiator's letter
  - g. Letters of evaluation, if solicited
  - h. Candidate's response, if submitted, to redacted copies of the letters of evaluation
  - i. All requesting letters sent to evaluators.
  - j. *Identification of Evaluators* (UCI-LIB-02)
  - k. Candidate's curriculum vita or resume if sent to evaluators.
  - l. Candidate's list of suggested names of persons who are familiar with the candidate's performance
  - m. Candidate's letter, if submitted, listing names of persons who, for reasons set forth by the candidate might not provide objective evaluations
  - n. Position Profile(s) (all applicable to the period under review)
  - o. Candidate's Factual Résumé and supplementary material

A copy of the review file that is sent to the LRC is sent simultaneously to the University Librarian (and for law librarian candidates, to the Dean of the Law School).

The *Academic – Career History & Publication Record* (UCI-AP-99), although submitted by the candidate during the review process, is not part of the review file, but is rather a mechanism used by the UCI Office of Academic Personnel to update

information required by the UC Office of the President. It includes “personal information” (as defined by APM 160 and by California privacy law), such as home address and telephone and emergency contact information, which by law may not be disclosed as part of the review process unless such disclosure is relevant and necessary for the purpose of conducting the review.

## 6. TIMELINESS

It is essential that the LRC give prompt attention to the review files as they are received in order to ensure that the entire review process is completed in a timely manner and in accordance with published deadlines. It is especially important that the LRC act as expeditiously as possible with reviews that may require the appointment of an ad hoc committee and /or requests for additional information, because these add many weeks to the process.

## 7. ELIGIBILITY OF MEMBERS TO PARTICIPATE

Each LRC member is eligible to participate in the deliberations for all reviews with the exception of the following:

- a. The LRC member is the librarian under review
- b. The LRC member is the Review Initiator of the librarian under review.
- c. The LRC has decided to honor a candidate’s request for a Committee member to not serve on the candidate’s review, in accordance with the procedures in Section I.I.4.

LRC members are not excluded from participation in LRC deliberations for reviews to which they have contributed a letter. LRC members who write a letter for a review file do not see the entire review file at the time they write the letter, do not recommend a review action in their letter, and comment only on the aspects of performance about which the writers have firsthand knowledge. In contrast, as members of the LRC, letter writers see the entire file, see evidence about all aspects of performance, and participate in the formation of the committee’s recommendation. These two roles are therefore quite distinct.

If a member of the LRC feels that he or she may not be able to make fair and objective judgments in a particular case, or if there is a possible conflict of interest in participating in the case, he/she should recuse himself/herself from participating in the review of that case. ([MOU, Article 5, M.4.](#))

## 8. QUORUM

Whenever possible and timely, all members of the LRC will review and recommend the action on a file. Circumstances such as those in sections I.I.4 and I.I.7 above as well as unforeseen and unpreventable absences may reduce the number of eligible members; however, normally a minimum of three members of the Library Review Committee shall review and recommend the action on any file.

## 9. REQUEST FOR ADDITIONAL INFORMATION

- a. If the Library Review Committee finds the record to be incomplete or inadequate, the Library Review Committee shall submit a written request through the University Librarian or in the case of law librarians, the Dean of the Law School, for amplification of the review record or for additional new material, explaining how the information will assist the review and from whom the LRC would like it to be requested.

Additional material requested by the Library Review Committee may include complete or partial past review files if the committee finds that materials from previous reviews are of direct relevance to the current review and are essential in order for the review committee to make a recommendation.

- b. If the Library Review Committee's request results in the University Librarian or Dean of the Law School issuing a written request for amplification of the review record or for additional new material, the deadline for responding will normally be fourteen calendar days from the date of the request, and the University Librarian or Dean of the Law School shall provide the candidate, the Review Initiator, and the supervisory AUL (or ALL, the Associate Dean for Library and Information Services for law librarians) with a copy of the request for additional information.
- c. If the University Librarian or Dean of the Law School decides that additional information is not needed, the UL or Dean will inform the LRC in writing of this decision and the reasons for it. For law librarian candidates, the Dean will consult with the UL and will provide the UL with a copy of the Dean's response to the LRC.

## 10. CANDIDATE INSPECTION OF NON-CONFIDENTIAL DOCUMENTS

Before any additional material is added to the review record, the University Librarian shall provide the candidate the opportunity to inspect and make copies of all documents added to the review record other than confidential academic review documents.

## 11. REDACTION FOR CANDIDATE OF CONFIDENTIAL DOCUMENTS

- a. If additional confidential documents have been added to the review file, the candidate shall receive redacted copies of the confidential documents. The AUL for Administrative Services shall provide these to the candidate without disclosing the identities of persons who were the sources of these documents.
- b. The redacted copies shall be included in the review file.
- c. The redacted copies shall be given to the candidate within seven calendar days, excluding University holidays, of receipt.

## 12. CANDIDATE'S RESPONSE TO FILE MATERIALS

The candidate may submit for inclusion in the review record a written statement in response to or commenting upon any or all of the additional material in the review record. The deadline for submission of comments will be seven calendar days,

excluding University holidays, from the day the candidate last receives file documents for examination.

### 13. SUPPLEMENTARY CERTIFICATION STATEMENT

The AUL for Administrative Services is responsible for having the candidate sign the “Certification Statement for Additional Information Added to Academic Review Librarian Series” (UCI-LIB-08) certifying that prescribed procedures have been followed for any supplemental material.

### 14. ASSESSMENT, RECOMMENDATION AND REPORT

- a. The LRC shall assess the candidate’s performance during the review period to determine whether the LRC concurs with the proposed action.
- b. The committee shall be guided by the criteria from the *Academic Personnel Manual* and the [MOU, Article 4.C](#) as quoted in Section I.D, “Criteria for Merit Increases, Promotions, and Career Status.”
- c. The LRC shall base its assessment and recommendations solely on the documentation provided, including the report from the *ad hoc* committee, if any. The personal knowledge or experience of individual LRC members shall not enter into the deliberations nor influence the recommendations.
- d. The Library Review Committee shall submit a comprehensive report and recommendation for action via Library Human Resources to the University Librarian. For law librarian candidates, the LRC will address the report to the Dean of the Law School. A copy of the LRC report will be sent to the UL (and Dean of the Law School for law files) by Library Human Resources.
- e. If the evidence in the review record supports the recommendation of the Review Initiator, the Library Review Committee shall endorse that recommendation. If the evidence in the review record indicates that the action proposed by the Review Initiator is not consistent with the criteria set forth in the APM and MOU, the Library Review Committee shall recommend against the proposed action. If there is evidence of unusual achievement and exceptional promise of continued growth, the Committee shall not hesitate to endorse or propose a recommendation for greater than standard merit or greater than standard promotion.
- f. The report of the review committee(s) forms the basis for further review and action by the University Librarian or in the case of law librarian candidates, the Dean of the Law School. Consequently, the report shall be thorough and shall include an assessment of all significant evidence, favorable and unfavorable. It shall be specific and analytical, shall include the review committee’s evaluation of the candidate with respect to the qualifications specified, and shall be adequately documented by reference to the supporting materials.
- g. The review committee has the responsibility of making an unequivocal recommendation.
- h. No member shall subscribe to the report and recommendation 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 for disagreement shall 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.

**I. Review of Members of the Librarian Series**  
**K. *Ad hoc* Review Committee's Role**

1. NECESSITY FOR *AD HOC* REVIEW COMMITTEES

- a. *Ad hoc* committees are appointed in order to provide the Library Review Committee or the University Librarian or Dean of the Law School with an additional perspective.
- b. The University Librarian determines the need for an *ad hoc* review committee and appoints the members. In the case of law librarians, the Dean of the Law School determines the need in consultation with the UL.
  - 1) When the Review Initiator's recommendation is for merit increase or no action, an *ad hoc* review committee will not normally be appointed, but an *ad hoc* review committee may be appointed to conduct a review upon recommendation by the Library Review Committee.
  - 2) When the Review Initiator's recommendation is for career status or promotion and the Library Review Committee is unanimous in its agreement with the Review Initiator's recommendation, an *ad hoc* review committee will not normally be appointed, but an *ad hoc* review committee may be appointed to conduct a review upon recommendation by the Library Review Committee.
  - 3) When the recommendation of any level of review is against career status or for termination, there shall be an *ad hoc* review committee.
  - 4) When the Review Initiator's recommendation is for promotion, or career status and the Library Review Committee does not unanimously find the documentation in support of the proposed action, there shall be an *ad hoc* review committee.

2. APPOINTMENT AND MEMBERSHIP

- a. Whenever the Library Review Committee recommends that an *ad hoc* review committee be appointed, the Library Review Committee will submit to the University Librarian, or Dean of the Law School for law librarian candidates, a list of at least three nominees and three alternates. If the University Librarian or Dean has questions about the composition of the committee s/he may confer with the Library Review Committee. All *ad hoc* review committees will be appointed by the University Librarian, or in the case of law librarians, the Dean of the Law School in consultation with the UL.
- b. *Ad hoc* review committees normally consist only of members of the Librarian series with career status. No more than one member may lack career status, but this shall only occur when a particular expertise is needed which can only be provided by a librarian who lacks career status.
- c. A majority of the members of each *ad hoc* review committee will normally be of equal or higher rank in the series relative to the librarian under review.

- d. In areas requiring knowledge of special areas, the Library Review Committee may nominate an additional member not from the Librarian series.
- e. One or more members may be included from outside the University of California as needed.
- f. The membership of each *ad hoc* review committee shall remain strictly confidential.

### 3. PROCEDURES

- a. *Ad hoc* review committees shall follow the procedures outlined for the Library Review Committee in Section J. above.
- b. Each *ad hoc* review committee will make a written report to the University Librarian, or Dean of the Law School for law librarian candidates. If the *ad hoc* committee was appointed at the recommendation of the Library Review Committee before submitting its report, the UL or Dean will forward the *ad hoc* report to the Library Review Committee for its consideration.
- c. The Library Review Committee will not receive a copy of the *ad hoc* committee's report if the *ad hoc* is appointed by the UL or Dean after the Library Review Committee submits its recommendation.
- d. For law librarians, the Dean will provide a copy of the *ad hoc* review committee's report to the UL via Library Human Resources.

**I. Review of Members of the Librarian Series**  
**L. The Dean of the Law School's Role**

1. The Dean of the Law School reviews the academic review record for all law librarians in consultation with the University Librarian. The Dean makes the final decision on all law librarian reviews.
2. The Dean receives the complete review record from Library Human Resources including the recommendation of the Associate Dean for Library and Information Services and the Library Review Committee's report. A copy of the file is provided to the UL via Library Human Resources.
3. After reviewing the record, the Dean consults with the University Librarian and makes the final decision.
4. After reviewing the record, a letter with the final decision is signed by the Dean and sent to the candidate. A copy is provided to the University Librarian.



**I. Review of Members of the Librarian Series**  
**M. The University Librarian's Role**

1. The University Librarian reviews the academic record and makes the final decision for all librarians in the UCI Libraries.
2. The University Librarian receives the complete review record from Library Human Resources including the Library Review Committee's report.
3. After reviewing the record, a letter with the final decision is signed by the university librarian and sent to the candidate.

**I. Review of Members of the Librarian Series**  
**N. The Final Decision**

1. REQUEST FOR ADDITIONAL MATERIAL

If upon reviewing the academic review record, the University Librarian finds the record to be incomplete or inadequate, the UL shall request in writing for the Review Initiator and the supervisory AUL (or ALL or Associate Dean for the Law Library for law librarians) to provide additional documentation, to clarify existing documentation and/or to solicit additional evaluative letters. The deadline for responding will normally be fourteen calendar days from the date of the request, and the University Librarian shall provide the candidate, the Review Initiator, and the supervisory AUL with a copy of the request for additional information. For law librarian reviews, the Dean of the Law School will review the academic review record in the above manner in consultation with the University Librarian. The Dean shall provide the candidate, the Review Initiator, the supervisory ALL, and the ADLL with a copy of the request for additional information.

2. CANDIDATE'S INSPECTION OF NON-CONFIDENTIAL DOCUMENTS

- a. If additional non-confidential materials are added to the file, Library Human Resources shall provide the candidate the opportunity to inspect and make copies of these materials, before the packet is forwarded to the Library Review Committee.
- b. If additional statements have been added by the Review Initiator and/or the supervisory AUL (or ALL or ADLL), the candidate shall be given a copy of those statements.

3. REDACTION FOR CANDIDATE OF CONFIDENTIAL DOCUMENTS

- a. If additional confidential documents have been added to the review file, the AUL for Administrative Services shall provide the candidate redacted copies of the confidential documents. The AUL for Administrative Services shall provide these to the candidate without disclosing the identities of persons who were the sources of these documents.
- b. The redacted copies shall be included in the review file.

4. CANDIDATE'S RESPONSE TO ADDITIONAL FILE MATERIALS

If additional materials have been added to the file, the candidate may submit for inclusion in the review record a written statement in response to or commenting upon any or all of the additional material in the review record. The deadline for submission of comments will be seven calendar days, excluding University holidays, from the day the candidate last receives additional file material for examination.

## 5. SUPPLEMENTARY CERTIFICATION STATEMENT

The University Librarian or Dean of the Law School is responsible for having the candidate sign the “Certification Statement for Additional Information Added to Academic Review Librarian Series” (UCI-LIB-08) certifying that prescribed procedures have been followed for any supplemental material.

## 6. PRELIMINARY ASSESSMENT

- a. In cases where promotion, career status, or termination have been recommended by any review level, if the preliminary assessment of the University Librarian or Dean of the Law School is contrary to the recommendations of the Library Review Committee, the University Librarian or Dean shall so notify that committee giving the LRC the opportunity for further comment before the final decision is made. For law librarian candidates, the Dean of the Law School may consult with the University Librarian.
- b. If additional information in response to the preliminary assessment is added to the file, the candidate shall be given a copy of any written statement. Within the specified time limits, the candidate shall have the right to add a written statement commenting upon the additional information.
- c. In addition, in cases of conferral of career status, if the University Librarian’s (and, for law librarian candidates, the Dean of the Law School’s) preliminary assessment is not to confer career status, the candidate shall be notified in writing of the opportunity to request access to records in the review file. The candidate, Review Initiator, and supervisory AUL (or ALL and ADLL for law librarians) shall then have the opportunity to respond in writing and to provide additional information and documentation.

## 7. FINAL DECISION

- a. The University Librarian or the Dean of the Law School shall inform the candidate in writing of the final decision including a statement of the reasons for the decision. For law librarian candidates, the final decision will be signed by the Dean of the Law School after consulting with the University Librarian.
- b. The Review Initiator and the supervisory AUL shall each receive copies of the final decision. In the case of law librarians, the ALL (if different from the RI), and the Associate Dean of the Law Library, and the University Librarian shall each receive copies of the final decision. If the Review Initiator is not the Department Head, the Department Head shall also receive a copy of the final decision.
- c. In the event of a no action, denial of career status, or termination, the written statement by the University Librarian or the Dean of the Law School shall clearly explain the reasons for the decision.

- d. The statements of reasons 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.
- e. After receiving the final decision, the candidate receives redacted copies of any confidential documents added to the review record which they have not already received and redacted copies of the Library Review Committee's report(s).

**I. Review of Members of the Librarian Series**  
**O. Concluding the Review Process**

1. REVIEW INITIATOR SENT REVIEW COMMITTEE(S)' REPORT(S)

The AUL for Administrative Services shall send to each Review Initiator and AUL (or ALL and the Associate Dean for the Law Library for law librarians), after the completion of each review cycle, redacted copies of the review committee(s)' recommendation for each librarian that reports to the Review Initiator and AUL or ALL. (Review committees include the Library Review Committee and the *ad hoc* review committees.)

2. GRIEVABILITY AND ARBITRABILITY

From the MOU:

“Article 4. Definition, criteria, terms of service for appointment, merit increase, promotion, and career status

F. Grievability and Arbitrability

Academic judgment is not subject to grievance or arbitral review. Any complaint arising out of this Article or any grievance filed alleging violation of this Article may be processed either through the Grievance Procedure Article 24/Arbitration Article 25 or the Alternative Dispute Resolution Procedure Article 26, not both.” [\(MOU, Article 4.F.\)](#)

“Article 5: Personnel Review Action Procedure

Q. An arbitrator shall have the authority to determine whether the University has violated a procedure set forth herein. However, in any grievance alleging a violation of this Article, the arbitrator shall not have the authority to review any decision to:

1. Initiate an academic review;
2. Award or deny a merit increase;
3. Award or deny a promotion;
4. Award or withhold career status;
5. Terminate a librarian following academic review.

If the arbitrator finds that the alleged violation had a material, negative impact on the outcome of the review, the arbitrator's remedy shall be limited to directing the University to repeat, to the extent practicable, the review process from the point at which the violation occurred.” [\(MOU, Article 5.Q.\)](#)

**I. Review of Members of the Librarian Series**  
**P. Office of Record for Librarian Review Files**

The original completed review file is forwarded to Library Human Resources or Law School Director of Personnel and reviewed for completeness. The appropriate office then forwards the file to the Office of Academic Personnel, which is the Office of Record for the review files of appointees to the Librarian Series. All additional copies of the file are destroyed.

**I. Review of Members of the Librarian Series**  
**Q. Review and Revision of Procedures**

1. When the University Librarian determines that there is a need to revise these procedures, the University Librarian may modify them no more frequently than annually. Before making modifications to the procedures, the University Librarian shall submit proposed revisions to LAUC-I for comment.
2. Suggestions from Library Review Committees, other participants in the review process, and LAUC-I are welcome at any time.

## **Section II: Appointment to the Librarian Series**

### **1. AUTHORITY TO APPROVE APPOINTMENTS**

The Executive Vice Chancellor has delegated to the University Librarian the authority to approve appointments to the Librarian Series, after appropriate review and consistent with the published salary scales.

The Dean of the Law School will approve all librarian appointments in the School of Law in consultation with the University Librarian.

### **2. DEFINITION OF AN APPOINTMENT**

An appointment occurs when a person is employed in one of the three ranks of the Librarian Series (Assistant Librarian, Associate Librarian, Librarian) whose immediately previous status was:

- c. Not in the employ of the University; or
- d. In the employ of the University, but not within the Librarian series.
- e. In the employ of the University in the Librarian series, and who is appointed to a different position as the result of a national search.

### **3. INTERCAMPUS TRANSFER**

- a. An intercampus transfer is treated as an appointment by the new campus, although it may involve a merit increase or a promotion.
- b. A librarian making an intercampus transfer retains career status, seniority for the purpose of merit, promotions and layoff, accrued sick leave, vacation, and retirement credits.
- c. 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.
- d. Promotion in rank at the time of an intercampus transfer shall confer career status.

### **4. TYPES AND CONDITIONS OF APPOINTMENTS**

- a. An initial appointment to a title at any rank in the Librarian Series may only be a temporary appointment or a potential career appointment, except in exceptional circumstances, such as when a candidate has already acquired career status or the equivalent at a previous institution.
  - 1) A potential career appointment does not have a specified date of termination because the appointee is regarded as having the potential to qualify, after a suitable trial period and careful review, for a continuing career appointment.



- 2) A temporary appointment has a specified date of termination and shall be for two years or less unless the appointment is supported by external or extramural funds.
  - a. Externally funded positions may be continued for one additional year.
  - b. Positions funded by extramural funds may continue for the duration of the fund.
- b. A career appointment is achieved upon successful completion of a suitable trial period in potential career status and does not have a specified date of termination.
- c. Both potential career and career appointments are subject to the review requirements described in Section I.B.8.
- d. A temporary Librarian Series appointee may apply for professional development funds, except that such funds may not be awarded for activities with a time duration longer than the term of the appointment.

#### 5. RECRUITMENTS

- a. Recruitments shall be held in order to appoint the most qualified individuals to librarian series positions.
- b. All positions shall be open for outside recruitment unless the University determines that recruitment shall be limited to UCI employees.
- c. Recruitments shall proceed in accordance with the UCI Libraries *Guidelines for Librarian Recruitments* which has been developed and is maintained by the AUL for Administrative Services in consultation with LAUC-I. Members of the Librarian Series currently employed by the University who apply for positions shall be considered with all other applicants in accordance with these procedures.

#### 6. RESPONSIBILITY TO PROVIDE FOR REVIEW

The University Librarian, and the Dean of the Law School for law librarians, have the responsibility to provide for review of the qualifications of candidates for appointment. There shall be an objective and thorough review by peers and administrators of each candidate for appointment. This review shall include soliciting opinions from colleagues in other institutions where the candidate has served and from other qualified persons having firsthand knowledge of the candidate's qualifications.

#### 7. LIBRARY REVIEW COMMITTEE'S ROLE IN APPOINTMENTS

- a. The Library Review Committee shall advise the University Librarian (and the Dean of the Law School for law librarians) of its assessment of the present qualifications of each candidate found acceptable for appointment by one or more of the recommending levels as well as the candidate's potential as productive members of the Librarian Series.
- b. The committee is given the complete files (application letter; résumé; references; comments submitted by library staff and faculty; search committee's

- recommendation; Review Initiator, department head, and AUL or ALL recommendations; and for law librarians, the recommendation of the Associate Dean of Library and Information Services for each candidate who was brought to campus for an interview.
- c. In conducting its assessment of the qualifications of candidates, the Committee shall follow procedures similar to those used in the review of members of the Librarian series, as described in Section I.
  - d. Each LRC member may participate in the deliberations for all reviews of appointments, including appointments for which he or she has served on the search committee or has contributed a reference or written comment. If an LRC member served on the search committee for an appointment, it is important for that member to maintain strict confidentiality, to not share knowledge of any recommendations in the appointment file with the search committee, and to not share knowledge of the search committee's deliberations with the LRC.
  - e. The LRC shall base its assessment solely on the documentation provided. The personal knowledge or experience of individual LRC members shall not enter into the deliberations nor influence the assessment.
  - f. The appointment files, deliberations and written reports of the LRC are to be strictly confidential.
  - g. All copies and preliminary drafts of written communications shall be destroyed.
  - h. It is important for the Library Review Committee to submit its assessment of candidates as quickly as possible, in order to not lose candidates while waiting for the recommendations.
  - i. Whenever possible, all members of the LRC will participate in the assessment of candidates and development of the report. Normally a minimum of two members of the LRC shall participate. In order to not lose candidates, in highly rare and unusual circumstances an exception to this minimum may occur, in which case documentation of the exceptional circumstances shall be added to the file.

## 8. CRITERIA FOR APPOINTMENT

- a. A candidate for appointment shall normally have a professional degree accredited by the American Library Association.
- b. Selection of the appropriate rank shall be based upon the requirements of the position as well as the candidate's demonstrated competence, knowledge and experience.
  - 1) A candidate without previous professional library experience shall normally be appointed to one of the lower salary levels in the Assistant Librarian rank.
  - 2) A candidate who has had some previous experience relevant to the position may be appointed to one of the higher salary levels in the Assistant Librarian rank, depending on:
    - a) the candidate's aptitude,
    - b) the extent of prior experience, and/or

- c) the requirements of the position.
- 3) A candidate with extensive previous relevant experience and superior qualifications who is being considered for a highly demanding and responsible position shall be appointed to the Associate Librarian or Librarian ranks. The criteria for appointment to either of these levels shall be the same as those for promotion (see Section I. D.)
- 4) If a candidate holding a temporary appointment in the Librarian Series is appointed to a permanent position, the candidate will be given consideration for time spent in temporary status when determining assignment to rank and salary point.

## 9. REMOVAL EXPENSES

The University Librarian and the Dean of the Law School for law librarians have been delegated the authority to approve *standard* removal expenses for appointees to the Librarian Series. *Standard* removal expenses, consist of up to one-half the total cost of moving household goods and transporting the appointee and his or her immediate family.

### **Section III: Library Review Committee**

#### 1. RESPONSIBILITY

- a. The Library Review Committee shall advise the University Librarian (and the Dean of the Law School for law librarians) on the appointments, merit increases, promotions, career status, and termination actions for members of the Librarian Series. The quality of the Librarian Series at UC Irvine is maintained primarily through objective and thorough review by peers and administrators of each candidate for all such actions. Responsibility for the peer review falls largely upon the Library Review Committee and the *ad hoc* review committees (Section I.J. and I.K.).
- b. At the conclusion of each academic year, the University Librarian shall provide an opportunity for the LRC to comment on issues that arose during the course of the year and to suggest improvements to the processes.

#### 2. APPOINTMENT

The Librarians Association of the University of California, Irvine division (LAUC-I) shall be responsible for the selection of members of the Library Review Committee.

#### 3. MEMBERSHIP

The majority of the members of the Library Review Committee shall hold appointments in the Librarian Series. ([MOU, Article 5.A.](#))

#### 4. CONFIDENTIALITY

- a. The deliberations and recommendations of the Library Review Committee are to be strictly confidential.
- b. The Chair of the Library Review Committee shall remind members of the confidential nature of the Committee's assignment and of the material made available to the committee.
- c. The University Librarian or the UL's designees make the material available to the committee for review in a manner appropriate to the subject matter under consideration.
- d. All copies and preliminary drafts of written communications shall be destroyed.

#### 5. ADHERENCE TO PROCEDURES

The Chair of the Library Review Committee shall be responsible for ensuring that each member of the committee has read and understands the procedures that apply to the LRC's charge.

## 6. TIMELINESS

It is essential that the Library Review Committee and all *ad hoc* review committees give prompt attention to their assignments in order to ensure that their work is completed in a timely manner and in accordance with published deadlines.

## Appendix A: Factual Résumé Guidelines

### B BACKGROUND

The purpose of these guidelines is to clarify the development of librarians' Factual Résumés in order to:

- make the process easier and more straightforward for the librarian under review;
- enhance both clarity and consistency, and reduce ambiguities and uncertainties faced by librarians in compiling their factual résumé;
- foster increased consistency and thus equity in the assessment of documentation and the evaluation of librarian performance and achievement across the libraries.

The philosophy and principles behind placements of activities under each criterion are guided by:

- an effort to follow the criterion as elucidated in the *Academic Personnel Procedures for Librarians*, Section I.D, "Criteria for Merit Increases, Promotions and Career Status." for example, all activities **within the Library** are included under Criterion 1, Professional Competence and Quality of Service Within the Library; and
- a determined effort, again, to reduce ambiguity to the extent possible while also providing requisite flexibility to account for and recognize individual positions and careers.

### F FORMS AND SUBMITTAL

The Review Dossier for Librarians includes the following documents submitted by the librarian under review:

- f. Position Profile
- g. Factual Résumé
- h. Attachments to the Factual Résumé if desired

Librarians under review should prepare two (2) copies of the Factual Résumé: one for your review packet and the other for your own files.

The time period to be covered by the Factual Résumé depends upon the proposed action (e.g., merit, promotion and/or career status). Please follow the guidelines provided in *Academic Personnel Procedures for Librarians*, Section I.F. 5, "Determining the Period to Be Covered by the Review Period."

### C CONSULTATION

Early consultation with your Review Initiator and/or members of the Library Review Committee on the preparation of your factual résumé is encouraged.

### F FORMAT AND CONTENT

Use plain white paper. Put your name and the inclusive dates of the period under review at the top of each page.

Factual Résumés are most beneficial when they are concisely written in outline format, provide an overview of the most significant activities engaged in, and clearly indicate the librarian's level of participation and noteworthy contributions. Factual résumés should be just that, and should not be evaluative or opinionated.

Please number and name each criterion and follow the guidelines for placement of activities under each. List activities, provide inclusive dates, and **briefly** describe them as above noting your contributions and significant roles and/or achievements. Use your best judgment in the judicious selection and description of activities and accomplishments.

Place each activity under one criterion only. Normally, your most recent activities should be listed first (i.e. reverse chronological order). All references to UCI and LAUC should be abbreviated. It is not necessary to list a criterion in which there is no activity.

## **A** TTACHMENTS

Attachments to the factual résumé should be *highly selective*, providing examples if desired of publications or other supportive materials that illustrate *significant* accomplishments during the review period.

## **P**LACEMENT AND DESCRIPTION OF ACTIVITIES WITHIN CRITERIA

### **Criterion 1. Professional Competence and Quality of Service within the Library.**

This criterion is of paramount importance and "trumps" all others. If an activity or accomplishment fits within the criterion of service within the library, it should be placed here.

Include in this category all significant activities required by or performed in direct support of your primary job responsibilities as well as other activities within the UCI Libraries. Normally, activities supported by administrative funding (e.g., CDL, UC consortial activities, etc.) will be included here.

Organize activities in categories by functional responsibility or service area where possible, e.g., Reference, Instruction, Collection Development, Faculty Liaison or Academic Program Support, Cataloging, etc.

List activities and **briefly** describe the significance of these activities to your performance during the period under review, noting your contributions and/or achievements.

Activities in this criterion include but are not necessarily limited to the following. Select only those that apply to you.

- A. Primary position responsibilities by functional category: Reference, Instruction, Collection Development, Faculty Liaison or Academic Program Support, Cataloging, etc.
- B. Offices and committee chairs in organizations, teams, committees and task groups within (or funded by) the UCI Libraries and/or directly related to primary position responsibilities.  
Includes CDL, UC consortial groups, Library Staff Association.
- C. Membership in organizations, teams, committees and task groups within the UCI Libraries including departmental or cross-divisional teams, task forces, etc.
- D. Search committees: Include UCI Libraries search committees.

Note: List search committees appointed by a UCI administrator outside the libraries under Criterion 3, University and Public Service.
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- E. Library instruction: Participation in library instruction including course-based bibliographic instruction, Writing 39C, Humanities 75, or other library-based or program-based instruction.

Note exception: Include teaching of credit courses for academic departments or other institutions as well as other types of teaching (*unless required by your primary job responsibilities*) under Criterion 2, Professional Activity Outside the Library.

- F. Visits to libraries: Describe the purpose of *significant* visits to libraries, publishers, or other relevant visits made in relation to a specific library assignment or project.
- G. Continuing education or training: Formal training or workshops taken within the libraries and/or courses required by your primary job responsibilities. Normally includes any training, workshops, or courses for which you have received administrative funding.
  - 1. Formal library training sessions or workshops: Format: List chronologically. Include name of session and dates.
  - 2. Courses taken for credit or audited: Format: List chronologically. Include name of institution, course number, full name of course, dates. Credits, CEU's, or certificates awarded should be noted.
  - 3. Degree(s) completed: Format: List institution, degree, major (if appropriate), date.

Note: List other elective/enhancement courses, workshops, or institutes under Criterion 2, Professional Activity Outside the Library; list theses or dissertations completed within a degree program under Criterion 4, Research and Creative Activity.

- H. Bibliographies, handouts, guides, websites, and other "publications" as well as exhibits produced in support of primary job responsibilities or other activities within the libraries, (e.g., bibliographic instruction guides or websites; collections websites; UCI Libraries Homepage; print or web bibliographies to support seminars, lectures or workshops offered by liaison academic program; articles submitted to *Library Items* or *UCI Libraries Update*).
- I. Grants: Grants written and submitted and/or received in direct support of primary job responsibilities within the Library. Include title, dates, funding source and amount; provide brief description of scope, purpose and outcomes of the grant.
- J. Other: Significant activities within the UCI Libraries other than those enumerated above.

## Criterion 2. Professional Activity outside the Library.

Include in this category all significant activities in and contributions or service to professional and scholarly organizations,

List activities and **briefly** describe the significance of these activities to your performance during the period under review, noting your contributions and/or achievements.

Activities in this criterion include but are not necessarily limited to the following. Select only those that apply to you.

- A. Offices, committee memberships and other service to professional organizations: Include activities in scholarly and professional organizations on the local, state, regional, national, or international level. Include divisions, chapters, roundtables, etc. Include library alumni associations.

Note exception: Include local library boards and other related organizations under Criterion 3, University and Public Service.

Recommended format:



- Offices: Include offices held or significant roles played and dates of service. If more than one office has been held in on organization, list the highest office first. Provide brief description of focus and level of activity and contributions (including required business meetings attended if desired).
- List organizations with dates. List divisions, chapters, etc., under the name of the parent organization.

B. Conference attendance: List conferences, meetings, institutes, workshops, etc., which you attended as a member or observer. Include pre-conferences for which registration is separate or extra.

Format: List chronologically. Include full name of conference, sponsoring body (if not part of name), location, and date. Note if attendance is either by selection against evaluative criteria or from an applicant pool.

C. Professional or scholarly memberships: Include memberships not included above if desired.

D. Teaching:

Note exception: List bibliographic instruction, Writing 39, Humanities 75 and other course, library, or program-based instruction/training sessions in Criterion 1, Professional Competence and Quality of Service within the Library.

Format: Include name of sponsoring institution or association, name of workshop or institute, title of lecture, location, and date. Again, briefly describe the significance of the activity.

Include the following:

1. Courses taught: Formal courses, generally for credit, taught at either UCI or another institution.  
Format: Institution, course number, course title, dates. Indicate the school, college, or department of the course if the title does not identify it.
2. Guest lectures: Guest lectures at other institutions or non-library instruction lectures for UCI courses or groups.
3. Teaching in workshops, institutes, etc.: Workshops and institutes are often arranged by professional organizations and in these cases the line between conference participation and teaching is blurred. No guideline satisfies all situations, however, so the listing of this type of teaching is left to the judgment of the individual.

E. Elective/enhancement continuing education, training, courses or degree/certificate programs:

Reminder: Continuing education or courses supported by administrative funds normally should be placed under Criterion 1, Professional Competence and Quality of Service within the Library.

1. Courses taken for credit or audited: Format: List chronologically. Include name of institution, course number, full name of course, dates. Credits, CEU's, or certificates awarded should be noted.
2. Degree(s) completed: Format: List institution, degree, major (if appropriate), date.

F. Honors and awards: Include honors such as medals, awards, citations, and prizes. Record honors such as invitations to attend a select conference in 2 B.

G. Consulting or advisory services: Include consulting or advisory services to government agencies, companies, professional associations, publishers, editors, or database producers.

Note exception: List local libraries and library boards under Criterion 3, University and Public Service.

Format: List chronologically. Include, name of organization, dates, service rendered and significance.

H. Other: Include scholarly and library professional activities that do not fit elsewhere in 2. A. - F.

### **Criterion 3. University and Public Service.**

Include in this category all significant activities in service to the UCI campus and/or community.

Note exception: Do not include activities *required* within primary job responsibilities and focus, e.g., positions such as Outreach Librarians or activities such as library instruction or other activities within the libraries; list these under Criterion 1, Professional Competence and Quality of Service Within the Library.

List activities and **briefly** describe the significance of these activities to your performance during the period under review, noting your contributions and/or achievements.

Activities in this criterion include but are not necessarily limited to the following. Select only those that apply to you.

- A. LAUC-I and LAUC activities, including offices and committees as well as related publications and websites.
- B. Participation in UCI Academic Senate Committees as LAUC-I representative.
- C. Academic department committees.
- D. Membership in or chair of administrative committees appointed by the Chancellor or other university administrative officers.
- E. Memberships or chairs of other University committees, including those of student or other campus organizations.
- F. Offices held or significant memberships in local library boards or support groups.
- G. Offices held or significant memberships in other community organizations.
- H. Other professional librarian services to the community, state, and nation not otherwise covered above.

### **Criterion 4. Research and Other Creative Activity.**

This criterion generally includes significant intellectual or creative work completed and presented or published some fashion.

Note: Criterion 4 generally *excludes* activities that are required within primary position responsibilities, completed by assignment within that position, or service within the UCI Libraries; such activities normally will be listed under Criterion 1, Professional Competence and Quality of Service within the Library. List continuing education in Criterion 1 or 2, not here.

List activities and **briefly** describe the significance of these activities to your performance during the period under review, noting your contributions and/or achievements.

Activities in this criterion include but are not necessarily limited to the following. Select only those that apply to you.

- A. Presentations and poster sessions: List talks, poster sessions and other presentations provided at professional or scholarly conferences, workshops, programs, etc.

Format: List chronologically with title, organization or venue, date, and role if applicable (e.g., panelist, moderator, reactor). Indicate if invited presenter.

- B. Published writings: List anything written, edited, reviewed, or compiled that has been published during the period under review.

Note exception: This normally excludes items that are self-published and/or have not been subject to some editorial oversight or review by another. Items published by the UCI Libraries, e.g., *Library Items*, *UCI Libraries Update*, as well as items "published" in support of UCI academic programs, should be included in Criterion 1, Professional Competence and Quality of Service within the Library.

Format: Arrange items by type of publication, e.g., books/monographs; articles in refereed journals; articles in non-refereed journals; book reviews. Be consistent and use a standard bibliographic format. List in reverse chronological order. List any available reviews as appropriate.

- C. Websites: List only those professional web pages with significant content that are created and "published" independently from Criteria 1, 2, or 3 and are subject to editorial oversight or review. Web pages in support of activities in the other criteria—instruction, collection development, faculty liaison and academic program support, LAUC, professional association committee work, etc.—should be placed within Criteria 1, 2, or 3.
- D. Grants: Grants written and submitted and/or received (other than those in direct support of primary job responsibilities within the Library, which should be included under Criterion 1). Include title, dates, funding source and amount; provide brief description of scope, purpose and outcomes of the grant.
- E. Submissions: Items included in B above that have been submitted for publication, accepted for publication, or are in press. Note expected publication date.
- F. Research and creative activity in progress: Books, articles, papers, theses or dissertations in progress or completed but not yet submitted for publication or degree. List research projects completed or in progress, sources of support received or for which you are applying (if relevant).

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## **S** Elected Examples

The following **selected examples** are offered to provide recommended ways to present your activities and accomplishments in **sample** functional areas across the criteria: Criterion 1 AND 2 or 3 or 4. Clearly, a factual résumé for a single librarian will not include all possible areas nor types and levels of activities, and will obviously include areas and activities not represented here. Your position responsibilities, professional activities, rank, and step will inform your selection of **significant** activities and their description. For each activity, indicate significance and/or level of contributions using a short concise narrative paragraph or a bulleted list (examples of both formats included below).

### **Criterion 1. Professional Competence and Quality of Service within the Library**

#### *Sample areas, activities and descriptions:*

Bibliographic Instruction

**Example:**

- Worked with faculty in the departments of \_\_\_\_\_ to provide course related instruction, particularly to graduate students
  - Successful in adding two graduate courses to which I provide instruction.
  - As Bibliographer for \_\_\_\_\_ provided course related or course integrated sessions to the following classes from September 1997-June 1999:  
Department, Course #, Course Name, Quarter, Year  
Department, Course #, Course Name, Quarter, Year  
Department, Course #, Course Name, Quarter, Year  
I created a website for this course session, URL: \_\_\_\_\_  
Department, Course #, Course Name, Quarter, Year

Collection Development

**Examples:**

- Participated in Collections review of Yankee Book Peddler Services, 1997-98
  - Revised profile for subjects of \_\_\_\_\_ and \_\_\_\_\_
  - Participated in GOBI workshops (dates)
- UC Consortia  
Participated in meetings of \_\_\_\_\_ consortium at /in \_\_\_\_\_
  - Prepared survey response of consortium to CDL/JSC's call for identification of electronic sources, November 1998. URL: \_\_\_\_\_
  - Continue to coordinate Journal Last Copy Project for \_\_\_\_\_
  - Worked with (librarian)/UC Davis on Tier Two proposal, acquisition and licensing for the \_\_\_\_\_ database, summer 1999.
- UCI Chancellor's Distinguished Fellows Series
  - Prepared bibliography on the works of \_\_\_\_\_ for event on April 12, 2000 (see Attachment # \_\_\_\_\_)

Library Teams

**Example:**

- Internet Processing Work Group: 1998-2000 , Chair: 1999-2000  
Significant accomplishments: Created IPWG website (URL: \_\_\_\_\_). Regularly identify and distribute monthly list of new electronic resources. Completed workflow analysis/chart for acquiring and processing paid internet resources.

**Criterion 2. Professional Activity outside the Library**

*Sample areas, activities and descriptions:*

A. American Library Association

- Attended ALA Annual meetings
  - San Francisco, June 26-July 2, 1997
  - Washington D.C., June 26-July 1, 1998
  - New Orleans, June 24-July 1, 1999
- ACRL \_\_\_\_\_ Section
  - Publications Committee (elected member) 1997-1999

- Committee responsible on advising Section on publishing opportunities and maintains standards and guidelines for (section name) publications
- Developed and maintained website for committee projects, 1999-2000  
URL: \_\_\_\_\_
- Awards Committee (Appointed member) 1999-2000
  - Committee responsible for negotiating an award for Achievements in \_\_\_\_\_ Librarianship with Greenwood Press.
  - Developed guidelines, procedures and publicity for awards.
- ACRL National Conferences
  - 8<sup>th</sup> National Conference, Nashville, April, 1997
    - Facilitated a Roundtable discussion on \_\_\_\_\_
  - 9<sup>th</sup> National Conference, Detroit, April, 1999
    - Presented contributed paper on "Bringing LOGIC to Local Government Information: A Multi-type Partnership to Organize Electronic Local Government Information." One of 200 papers selected for presentation out of 1,000 proposals that were submitted. [see also Criterion 4]

B. Teaching:

Laguna Beach Public Library:

"Internet for Beginners" workshop. Offered monthly, September through June, 1998-99. (See Attachment # \_\_\_\_\_ for course outline). This workshop was subsequently used as a model for similar workshops offered by other libraries in Orange County including Irvine and Newport Beach.

University of California Irvine

Art History 112, Research Resources in Art History; 4 units, 10 students. Fall 1999. (See URL: \_\_\_\_\_ for course syllabus and web pages; see Attachment # \_\_\_\_\_ for compilation of student evaluations.)

**Criterion 3. University and Public Service**

*Sample areas, activities and descriptions:*

A. LAUC-I

- Professional Development Committee: Member 1995-1998; Chair: 1997-1998  
Significant accomplishments:
  - As chair responsible for initiating and overseeing disbursements for librarians' professional development requests.
  - Prepared annual report with comparative statistics that was used by the 1989/99 committee to secure additional professional development funds.

B. UCI Academic Senate Committees

- LAUC-I representative to the Committee on Privilege and Tenure 1996-1998  
This committee reviews faculty grievances. All work of the committee is confidential. I chaired several ad hoc committees, wrote reports for these ad hoc committees, and participated in formal hearings as well as attending and participating in regularly scheduled meetings, ranging from weekly to bimonthly.

#### Criterion 4. Research and Creative Activities

##### *Sample areas, activities and descriptions:*

##### A. Presentations

- "The future of librarian-bookseller relations in an electronic world." Invited paper presented at International League of Antiquarian Booksellers (ILAB) Symposium, Santa Monica, September 9-10, 1998.
- "Antique Maps." Invited presentation at UCI University Forum, September 29, 1999. Illustrated talk with overhead transparencies and some early maps. Prepared and distributed related bibliography (see Attachment # )

##### B. Published Writings

- "Method without Madness: Shelf-reading Methods and Project Management." *College and Undergraduate Libraries* 5:1 (May, 1998): 1-13. (See Attachment # )
- "Bringing LOGIC to Local Government Information: A Multi-type Partnership to Organize Electronic Local Government Information" in *Racing Toward Tomorrow. Proceedings of the 9<sup>th</sup> ARL National Conference*, Detroit, April 8-11, 1999. Chicago: American Library Association, 1999. Pp. 87-93.
- Library Literacy and Instruction Strategies for the New Millennium. Chicago: American Library Association, 1997. Reviewed in *Research Strategies* 8:2 (Fall 1998): 16. (See Attachment # )

##### C. Web Publications

*1999 Core Bibliography on Reference Works in Women's Studies*. B. Redfern and M. Adams, series editors. Series: Annual Core Bibliographies in Women's Studies. URL: \_\_\_\_\_

**Appendix B:  
Guidelines for the Interpretation of the Criteria  
for Librarian Personnel Actions within the UCI Libraries**

***Guidelines for Interpretation of the Criteria for Librarian  
Personnel Actions within the UCI Libraries<sup>1</sup>***

**Contents**

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2. PURPOSE AND MAINTENANCE OF THESE GUIDELINES
  - 2.1. Purpose
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3. KEY CONCEPTS CONTRIBUTING TO THE INTERPRETATION OF THE CRITERIA for LIBRARIAN ADVANCEMENT
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  - 3.5. Quality and Depth
  - 3.6. Relative Weight of the Criteria
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4. CAREER STATUS
5. MOVEMENT THROUGH THE RANKS AND PROMOTION
6. GREATER THAN STANDARD MERIT INCREASE AND GREATER THAN STANDARD PROMOTION
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<sup>1</sup>Accepted by the LAUC-I Membership and recommended to UL for final approval, October 13, 2003.  
Updated July 30, 2014.

## 1. INTRODUCTION

Successful functioning of the peer review process<sup>2</sup> and equitable application of the review criteria at the UCI Libraries necessitate a shared understanding of both review processes and career expectations. The purpose of this document is to provide a framework for career planning that will help to guide each librarian toward superior achievement and growth, foster successful advancement through the ranks of the Librarian Series, and ensure greater equity in the peer review process.

These guidelines will provide a better understanding of career expectations for:

- the incoming librarian in achieving a basic understanding of expectations for advancement and promotion;
- the incumbent librarian in planning for her or his next review;
- the unit or department head in guidance and review of librarians she or he supervises;
- the Library Review Committee (LRC) in evaluating the documentation presented to them for each review case; and
- librarian peers and others who provide evaluation and documentation of the contributions and achievements of individual librarians at UCI.

## 2. PURPOSE AND MAINTENANCE OF THESE GUIDELINES

### 2.1. Purpose

These guidelines are intended to assist librarians in career planning and to clarify the professional culture and review process expectations at the UCI Libraries. They supplement and interpret Sections 360 and 210-4 of the *Academic Personnel Manual* (APM)<sup>3</sup> and the current *Memorandum of Understanding: University of California and UC-AFT* (MOU)<sup>4</sup> in order to promote librarians' successful progression through the ranks of the Librarian series.

The following Criteria contained within the APM for managerial and supervisory librarians, and within the MOU for unit librarians, provide a broad and flexible framework for evaluating the achievements and

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<sup>2</sup> The process for review of librarians is codified in the *Academic Personnel Procedures for Librarians: Represented Librarians* and *Academic Personnel Procedures for Librarians: Managers and Supervisors*, both available at <<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2014.

<sup>3</sup> Available online: <<http://www.ucop.edu/acadadv/acadpers/apm/welcome.html>>. Accessed 23 July 2014.

<sup>4</sup> Available online: <<http://ucnet.universityofcalifornia.edu/labor/bargaining-units/1x/contract.html>>. Accessed 23 July 2014.



contributions of librarians.<sup>5</sup> These four Criteria<sup>6</sup> also guide advancement through the Librarian Series ranks for librarians of varying specializations, talents, and career goals.

Criterion 1: Professional competence and quality of service within the Library.

Criterion 2: Professional activity outside the Library.

Criterion 3: University and public service.

Criterion 4: Research and other creative activity.

As *LAUC Position Paper No. 1* states: "expansion of these criteria into detailed lists of expected accomplishments serves no useful purpose because of the adaptable nature of the criteria and the individuality of each career."<sup>7</sup>

A major difference between the Librarian Series and other series in which employees of the UCI Libraries are classified is the professional nature of the work of librarians, the special sets of skills required for their work, their direct support of the educational mission of the University, and the requirement that their advancement and promotion be based, as academic employees of the University, on service and research criteria in addition to the performance of the primary position responsibilities documented in their individual position profile<sup>8</sup>. Flexibility concerning the relative

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<sup>5</sup> The University of California adopted a new personnel policy for librarians in 1972 that was published in its Academic Personnel Manual (APM) as Sections 210-4 and 360. The changes in the new code had been adopted after lengthy discussions and meetings between members of LAUC, the Library Council, and the Office of the President. A fundamental change in policy was the establishment of titles which paralleled faculty titles: Assistant Librarian, Associate Librarian, and Librarian. These new titles replaced the civil service type title formerly used (Librarian I, II, III, IV, and V). The librarians had gained the University's acknowledgment that the concept of rank in the individual rather than in the position was a viable one for librarians. Promotion to the upper ranges of the series could be possible based on academic and professional achievements, rather than mainly supervisory or administrative responsibilities, as had been the case previously. By providing a career ladder which allowed for creative change and individual initiative, it was hoped that improved methods of service and a higher level of personal growth and achievement would result. The librarian would not be limited by the visions and verdicts of the immediate supervisor, but would also be judged by peers on the basis of individual achievements.

<sup>6</sup> See specifically APM 210-4e (3) (a)-(d) and MOU Article 4. *Definition, criteria, terms of service for appointment, merit increase, promotion, and career status*. For criteria for merit increases and promotions, see also Section I.D.1 of the *Academic Personnel Procedures for Librarians: Represented Librarians* and Section I.D.1 of the *Academic Personnel Procedures for Librarians: Managers and Supervisors*, both available at < <http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php> >. Accessed 23 July 2014.

<sup>7</sup> Available online: < <http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php> >. Accessed 23 July 2014.

<sup>8</sup> Position profile guidelines are available online via the UCI Libraries, Library Human Resources web site: < <http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php> >. Accessed 23 July 2014.

weight of the four criteria is a key concept. APM 210-4e(3) and MOU both state that "in considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of these criteria." These guidelines are intended to provide additional assistance in interpreting the broad criteria noted above as applied to the planning and evaluation of an individual librarian's activities, achievements, and contributions during a specific review period. They are not to be interpreted as prescriptive for any particular librarian or situation.

## **2.2. Maintenance**

Review and maintenance of this document is the joint responsibility of the Librarians Association of the University of California, Irvine Division (LAUC-I) and the Assistant/Associate University Librarian for Administrative Services at the UCI Libraries.

## **3. KEY CONCEPTS CONTRIBUTING TO THE INTERPRETATION OF THE CRITERIA for LIBRARIAN ADVANCEMENT**

### **3.1. Superior Professional Skills and Achievement**

The concept of superior<sup>9</sup> professional skills and achievement is used throughout the sections of the APM and the MOU that deal with librarians. An absolute definition of "superior" is probably neither possible, nor desirable. Nonetheless, mere adequacy of performance is not sufficient for advancement; superior professional skills and achievement does not entail doing essentially the same work at the same level of expertise and accomplishment over an extended period of time.

Documented evidence of progressive growth and development is expected. Since the University is not obligated to promote<sup>10</sup>, it is acceptable for individuals to "top out" at certain levels or reach a career plateau.

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<sup>9</sup> *Webster's Unabridged Dictionary* defines *superior* as follows: "Of more importance, value, usefulness, or merit; of higher quality, accomplishment, or significance; of greater force, influence, or efficaciousness." Available online at: <<http://collections.chadwyck.com/>>; Accessed 24 August 2009.

<sup>10</sup> APM 210-4e (2) and MOU *Article 4.C...* address merit increases and promotions as follows: *At the time of original appointment to a title in this series, each appointee shall be informed that continuation or advancement is justified only by demonstrated skills and achievement which will be determined after objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for continuation or advancement, there is no obligation on the part of the University to continue or promote.*

However, even in these cases, continuing superior performance is expected in order for an individual to be continued in the Librarian Series.

### **3.2. Professional Growth**

APM 360-10c states:

“Promotion shall be justified by demonstrated superior professional skills and achievement and, in addition, demonstrated professional growth and accomplishment and/or the assumption of increased responsibility. The assumption of administrative responsibility is not a necessary condition for promotion.”

MOU *Article 4. C. Criteria for Appointment* states:

“....promotion is justified only by demonstrated superior professional skills and achievement. Promotion may also depend upon increased responsibility as well as growing competence and/or contribution in the candidate’s position. 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, there is no obligation on the part of the University to continue, advance or promote. Promotion may also be tied to position change. The assumption of administrative responsibilities is not a necessary condition for promotion.”

It is evident that professional growth is a central concept in both the APM and the MOU. Professional growth implies the achievement of increasing expertise in the primary assignment throughout the career. In addition, it is necessary to look outside the immediate individual position profile. Normally an individual's professional interests and activities increase in depth and breadth as her or his career progresses. Advancement or promotion is awarded in recognition of the increasing expertise and higher level of accomplishment that a librarian demonstrates over the years. For example, performance expectations for Associate Librarian are higher than those for an Assistant Librarian.

Study and research beyond the immediate demands of the position are essential to continued growth, continuing command of subject, and continuing ability to relate functions to more general position and library goals. Individuals should seek opportunities to learn and to contribute to

the improvement of the Libraries programs and services, and to assume leadership roles consistent with their skills, experience, expertise, and position responsibilities.

### **3.3. Balance**

Each librarian should strive towards a balance between criterion 1 and criteria 2 and/or 3 and/or 4. Balance in this context is developmental over time. As a librarian's career develops, the concept of balance should lead the librarian away from almost exclusive concentration on the primary responsibilities outlined in an individual's position profile toward increasing involvement with one or more of the activities in criteria 2-4. For example, a beginning Assistant Librarian's career is initially focused on criteria 1 as the individual devotes the majority of her or his time and efforts toward learning and carrying out the primary responsibilities. An Associate Librarian will devote time and efforts towards criteria 2 and/or 3 and/or 4, as well as maintaining a high level of service in criterion 1. Ideally there will be synergy between criterion 1 activities in criteria 2 and/or 3 and/or 4 as an individual librarian, working closely with her or his review initiator, sets goals for career development and advancement within the UCI Libraries. A balanced overall career demonstrates progressive achievement in one or more of criteria 2-4 as well as achieving and maintaining superior performance of activities in criterion 1. Undertaking activities in all four criteria merely to show some activity in each does not attain balance: the activities chosen must be of value and relevance to the librarian's career, and should show evidence of progress and professional growth. Each librarian has an individual path to career development and advancement within the Librarian Series. As long as a librarian is giving proper attention to criterion 1 activities, focus as appropriate on activities in one or more of the other 3 criteria is expected.

One exception to this overall notion of balance is the fact that changing circumstances and conditions might make concentration on one particular activity (whether the primary responsibilities or one of the activities under criteria 2-4) desirable or beneficial at a given time in agreement with the Review Initiator. Such a temporary focus, where justified for good reasons, does not imply imbalance or adversely affect a librarian's career.

### **3.4. Planning**

In planning career development, the librarian should make sure that most of her or his individual professional goals and objectives are compatible with and contribute to the Libraries' goals and objectives, selecting

activities that will support career and/or advancement goals especially within criterion 1. Career plans should be flexible and the librarian should be prepared to make changes in order to respond as both the profession and the institution evolve. Activities should also reflect conscious planning with the Review Initiator(s). The UCI Libraries annual plan<sup>11</sup> process serves as an appropriate venue for such planning.

### **3.5. Quality and Depth**

There is a direct link between the superior nature of an individual librarian's career and the quality and depth of the work produced during the course of the career. Advancement is predicated, over the course of a career, upon increasing quality and depth of performance in the primary assignment, and increasing quality and depth of engagement in outside activities and performance of those activities. For example, passive attendance at meetings is not as reflective of quality and depth of engagement as active participation, such as chairing a committee, serving on a panel, presenting a paper, or making substantive contributions to discussions, or to the work of a committee or organization.

It is important, especially for criteria 2-4 activities, that individual librarians strategize with their Review Initiator(s) on how best to document the quality and depth of participation. During reviews for which external letters are mandated (career status, promotion) this may not be an issue. However, during a normal merit review within rank when letters are not mandated, a librarian and Review Initiator may wish to solicit letters anyway, especially to document significant contributions in criteria 2-4 activities for which the librarian may be the only one providing documentation in the review package. Objective assessment of an individual librarian's participation in professional, creative, or other relevant activities outside the Library is important during the peer review process throughout a librarian's career, and sometimes difficult to convey solely through documents authored by the librarian under review and her or his Review Initiator.

### **3.6. Relative Weight of the Criteria**

From the previous points and discussions, it should be possible to arrive at an understanding of this controversial issue. The first criterion remains of primary importance and in any review action should be so weighted. However, a librarian's career must grow and develop, as must the quality

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<sup>11</sup> Annual plan guidelines are available online via the UCI Libraries, Library Human Resources web site: <<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2014.

and depth of her or his contributions. This growth and development means that as the career advances, increasing attention should be given to activities in one or more of criteria 2-4, though never to the detriment of the quality of performance under criterion 1. In the review process, therefore, increasing weight will be given to superior performance in criteria 2 and/or 3 and/or 4 as the individual progresses within the Associate and Librarian ranks.

### **3.7. Summary Comments**

The key issue is the quality and development of the overall career as it contributes, in addition to the librarian's individual goals, to the improvement of library services and to the advancement of the profession. It should be clear that an individual with superior career achievement will have made substantive contributions to the institutions with which he or she has been associated and to the profession as a whole.

Throughout an individual librarian's career, it is necessary to recognize the important role of career counseling. It is true that each individual librarian is responsible for her or his own career and for understanding and striving to fulfill the advancement and promotion concepts outlined in this document. However, the Department or Unit Head has the responsibility, both at the time of review and during the period between reviews, to counsel the librarians for whom he or she is the Review Initiator. This is especially true early in a librarian's career, or for individuals who may not be meeting the expectations necessary for continued advancement, or for individuals who have highly developed goals for their career. Additionally, after the results of review have been communicated, it is important that the reviewee receive feedback and, where needed, guidance. This is especially key if the outcome of the review has not been favorable to the candidate and/or if the librarian under review is in potential career status and has not been awarded a merit increase when eligible. As previously noted, the annual plan<sup>12</sup> process for librarians within the UCI Libraries is an appropriate venue in which this planning and counseling can occur.

## **4. CAREER STATUS<sup>13</sup>**

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<sup>12</sup> Annual plan guidelines are available online via the UCI Libraries, Library Human Resources web site: <<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2014.

<sup>13</sup> For further information on criteria for career status see Section I.D.1 of the *Academic Personnel Procedures for Librarians: Represented Librarians* and Section I.D.1 of the *Academic Personnel Procedures for Librarians: Managers and Supervisors*, both available at <

An appointee is considered to have potential career status until achieving career status through promotion or upon successful completion of a trial period. (Assistant Librarians achieve career status upon promotion to the rank of Associate Librarians which must occur after no more than six years of potential career status in the Assistant Librarian rank; potential career Associate Librarians must achieve career status after 4 years in the Associate Librarian rank or upon promotion to the rank of Librarian; potential career Librarians must achieve career status after 3 years in the Librarian rank.) If career status is not granted within the maximum time allowed, the appointee is terminated.

An evaluation of an individual candidate for career status should be based in part on the guidelines in Section 5 of this document for that candidate's rank in the Librarian Series. In addition, the awarding of career status should indicate that the librarian has demonstrated the necessary potential for reaching the highest levels in the Librarian rank.

## **5. MOVEMENT THROUGH RANKS AND PROMOTION**

### **5.1. Introduction**

As a result of reviews of librarians in the UCI Libraries, several personnel actions are possible<sup>14</sup>: merit, career status, promotion, termination, or no action. Greater than standard merit, or greater than standard promotion in cases where the librarian is eligible for this action, is warranted when accomplishments during the review period are extraordinary and clearly beyond expectations. Denial of merit or no action at any rank or step does not prohibit later advancement or promotion. It is also understood that the level of competence and the scope of contribution required for a standard merit increase become greater as a librarian advances in rank.

In consideration of individual candidates and circumstances, reasonable flexibility must be exercised in applying the criteria. In this section of the guidelines, the interpretation and weighing of the criteria are discussed in

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<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2014.

<sup>14</sup> For further information on actions that may result from reviews see Section I.B.1 of the *Academic Personnel Procedures for Librarians: Represented Librarians* and Section I.B.1 of the *Academic Personnel Procedures for Librarians: Managers and Supervisors*, both available at <<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2014.

relation to five separate phases of advancement through the Librarian Series<sup>15</sup>:

- 5.2. Assistant Librarian: Movement through the Rank
- 5.3. Promotion to Associate Librarian
- 5.4. Associate Librarian: Movement through the Rank
- 5.5. Promotion to Librarian
- 5.6. Librarian: Movement through the Rank

## **5.2. Assistant Librarian: Movement through the Rank**

General emphasis for librarians at the rank of Assistant Librarian is on criterion 1, with increased expectations for breadth and depth of comprehension and performance of responsibilities with movement through the rank. Specific attention is given to the following:

- Quality of performance in the primary area of responsibility.
- Steady work toward a sound professional foundation.
- Growth through demonstrated gains in basic abilities and comprehension of the principles underlying the librarian's primary responsibilities as detailed in the position profile.
- Acceptance and competent execution of responsibilities in addition to those detailed in the position profile to a level and scope in keeping with the step in rank. An example of such responsibilities might be service on UCI Libraries committees, task forces, and teams.

Consideration of Criteria 2 and/or 3 and/or 4 normally will not play a major role in advancement through the lower steps of the rank. However, since achievement of career status and promotion to Associate Librarian is based, among other factors, on potential for further growth, the Assistant Librarian should begin to demonstrate activity in some area within Criteria 2 and/or 3 and/or 4. Review Initiators of librarians whose initial appointment at the UCI Libraries is at Assistant Librarian should encourage these librarians to begin activity in some area within Criteria 2 and/or 3 and/or 4 fairly quickly.

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<sup>15</sup> For more information on normal review periods and normal periods of service in the ranks and steps of the Librarian Series see Sections I.B.2 and I.B.3 of the *Academic Personnel Procedures for Librarians: Represented Librarians* and Sections I.B.2 and I.B.3 of the *Academic Personnel Procedures for Librarians: Managers and Supervisors*, both available at < <http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2014.



Denial of merit for those in the Assistant Librarian rank may occur when performance during the review period does not meet the criteria guidelines established for performance in this rank. If denial of merit occurs during time in this rank, and performance does not improve significantly, the next review may result in a termination. The UCI Libraries annual plan<sup>16</sup> process is critical in assuring good communication between the Review Initiator and the Assistant Librarian who has been denied merit in order to establish expectations for improvements in performance prior to the next review.

### **5.3. Promotion to Associate Librarian**

Promotion to Associate Librarian is not automatic. It is justified by a steadily increasing level of performance while a librarian is in the rank of Assistant Librarian. Specifically, the recommendation for promotion is based on:

- Demonstrated professional skills acquired through performance of position responsibilities in the Assistant Librarian rank.
- A solid record of professional competence in assigned responsibilities.
- Demonstrated potential for further growth, including assumption of a broader role in the activities of the Libraries as well as the campus, the University, and/or the profession.
- Anticipation of performance and accomplishment in the Associate Librarian rank.

As noted in Section 4 of this document, a librarian appointed to the Assistant rank must achieve career status simultaneously with promotion to Associate Librarian and has a maximum of six years in which to do so.

### **5.4. Associate Librarian: Movement through the Rank**

Movement through the rank of Associate Librarian is based on the achievement of a balance between an increasingly higher level of performance and growth in the primary position responsibilities and significant contributions in one or more areas within criteria 2-4. The librarian must demonstrate interest in and ability to contribute to the Libraries as well as the campus, the University, and/or the overall profession. The quality of contributions, not just quantity, is important.

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<sup>16</sup> Annual plan guidelines are available online via the UCI Libraries, Library Human Resources web site: <<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 23 July 2149.

Similarly, the level of the librarian's activities, especially those in criterion 1, is expected to be higher than at the Assistant rank.

For Associate Librarians, expected levels of performance place greater weight on balance between criterion 1 and one or more of criteria 2-4. As a librarian progresses through the Associate rank, the expectation is for an increasing focus on breadth and depth of professional activities within the Libraries as well as the campus, the University, and/or the profession. The concept of balancing criteria 2 and/or 3 and/or 4 activities with increasingly superior performance of primary assignments becomes more important as the Associate Librarian reaches the higher steps in the rank. Unless significant contributions are shown in one or more of the other criteria as identified in the APM and MOU, denial of merit may result, even with superior performance of the primary position responsibilities. Absence of documented competence and growth in primary position responsibilities may also result in denial of merit.

The UCI Libraries annual plan<sup>17</sup> process provides a regular opportunity for mentoring and planning between a librarian at the Associate rank and her or his Review Initiator. As an Associate Librarian becomes increasingly engaged in one or more criteria 2-4 activities, it becomes important during the review process for the librarian under review and the Review Initiator to seek letters of support from knowledgeable peers outside of the Libraries who can assess the significance and strength of that librarian's activities and contributions in criteria 2 and/or 3 and/or 4.

### **5.5. Promotion to Librarian**

Promotion to the Librarian rank is not automatic. Service at the top salary point of the Associate Librarian rank may be of indefinite duration and considered without prejudice as an acceptable career plateau. A recommendation for promotion is based on the following:

- Consistent and sustained demonstration of superior professional ability, emphasizing depth and breadth of contributions and achievements.
- Demonstrated ability to balance superior performance of primary responsibilities with broader concerns for the Libraries as a whole as well as those of the campus, the University, and/or the profession.

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<sup>17</sup> Annual plan guidelines are available online via the UCI Libraries, Library Human Resources web site: <<http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php>>. Accessed 24 August 2009.

- Assumption of greater responsibilities and/or leadership initiative within the Libraries, the campus, the University, and/or the profession.
- Emphasis on the planned development and strength of the career, particularly within the Associate rank.
- Anticipation of successful performance and accomplishment in the Librarian rank.

As stated in both the APM and the MOU<sup>18</sup>, the assumption of administrative responsibilities is not required for promotion. By themselves, technical competence, assumption of administrative responsibilities, and/or superior accomplishment in criterion 1 are insufficient for promotion to the Librarian rank. The candidate for promotion must have demonstrated significant contributions in one or more areas within criteria 2-4. Promotion may be recommended for candidates whose influence, impact, and creative approach to professional responsibilities through activity in any of the criteria are superior and go beyond the confines of the immediate responsibilities of the position. Nonetheless, achievement of balance and demonstration of steady growth in the career remain important factors in evaluating an individual librarian for promotion to the Librarian rank. As previously noted, denial of promotion to Librarian may not necessarily constitute a judgment of unsatisfactory performance but rather an acceptable career plateau.

### **5.6. Librarian: Movement through the Rank**

Movement through the rank of Librarian is based on substantive and sustained accomplishment, depth and quality of contributions over time, and balance. The level of competence and the scope of contributions required for a standard merit increase in the Librarian rank are greater than in the Associate and Assistant ranks. Specifically, librarians in the Librarian rank are evaluated on the following:

- Realization of potential for superior professional performance and attainment.
- Sustained quality contributions in a breadth of activities.
- Contributions to and communication of expertise to the Libraries as well as the campus, the University, and/or the profession.

for those in the Librarian rank, greater emphasis is placed on balance between criterion 1 and one or more of criteria 2-4 than at the Associate Librarian rank, with an increased focus on demonstration of leadership,

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<sup>18</sup> See APM 210-4e (2) and MOU *Article 4.C.1.*

and breadth and depth of professional activity. Unless significant contributions are shown in one or more of the other criteria as identified in the APM and the MOU, denial of merit may result, even with superior performance of the position responsibilities under criterion 1. Absence of documented competence in primary assignments may also result in denial of merit.

Librarians, especially at the higher levels of the Librarian rank, have a responsibility to be "good citizens" of the library. They are expected to participate in and offer leadership and expertise to library wide groups, especially when the group requires senior librarian participation, e.g. Library Review Committee Ad Hoc Committees.

## **6. GREATER THAN STANDARD MERIT INCREASE AND GREATER THAN STANDARD PROMOTION**

It is expected that a greater than standard merit increase or greater than standard promotion will be rare, reserved for an individual who has performed in a truly extraordinary manner during the period under review. It is also understood that the performance expectations for the awarding of greater than standard merit increase become greater as a librarian advances in rank.

In judging exceptional achievement, the overall record must be viewed as exceptional. All areas of evaluation must satisfy the basic expectation of excellence. In addition, the candidate's performance in some areas, although not necessarily all, must clearly surpass the performance of most other individuals at a similar level. If the candidate has performed her or his primary responsibilities in an exceptional manner, but has not participated to a significant extent in activities within criteria 2 and/or 3 and/or 4, the performance cannot be considered exceptional. Equally, if a candidate has achieved an exceptional performance in activities within criteria 2 and/or 3 and/or 4, yet has not performed all criterion 1 responsibilities in a superior manner, a greater than standard merit increase for overall performance cannot be considered.

## **7. NO ACTION THROUGH DENIAL OF MERIT OR PROMOTION**

If, during the period under review, a librarian has not demonstrated the superior contributions and achievement required for a merit increase, a recommendation may be made for no action. Both the level of competence

and the scope of contributions required for a merit increase or promotion become greater as a librarian advances in rank. Even though performance of specific responsibilities may be superior, it is possible that an individual's total performance and contribution during that review period is not considered sufficiently meritorious to warrant a recommendation for normal advancement in the series. The UCI Libraries annual plan<sup>19</sup> process is an appropriate venue through which a librarian who has been denied merit or promotion and her or his Review Initiator should work to address issues identified in an unsuccessful review.

A librarian in potential career status who is not recommended for a merit increase when eligible should consider that such an action is an indication that her or his performance may not merit the awarding of career status unless significant improvements are made.

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<sup>19</sup> Annual plan guidelines are available online via the UCI Libraries, Library Human Resources web site: < <http://staff.lib.uci.edu/departments/hr/performance-evaluations/performance-librarians.php> >. Accessed 23 July 2014.

**Appendix C:  
Review File Path for Librarians (not Law)**

(With references to appropriate sections of the *Academic Personnel Procedures for Librarians*)  
*See the annual calendar of due dates for deadlines*

<p>1. <b>Candidate</b> assembles review record according to form UC-LIB-04 (factual resume, supplementary material, and position profiles) and submits to Review Initiator (RI). Also submits updated <i>Academic – Career History &amp; Publication Record</i> to Library Human Resources. (I.F.9.)</p>
<p>2. <b>Review Initiator</b> makes a recommendation, gives candidate a copy, and adds original to the review record. (I.F.10)</p>
<p>3. If the Review Initiator is not the <b>Department Head</b>, the <b>Review Initiator</b> shares the review record with the Department Head. (I.G.)</p>
<p>4. <b>Department Head</b> (if different from Review Initiator) submits comments to the <b>Review Initiator</b> to add to the review record and gives a copy to the candidate. . (I.G.)</p>
<p>5. <b>Review Initiator</b> assembles the review file according to form UCI-LIB-06 and submits file to the supervisory Assistant/Associate University Librarian (AUL) (if different from Review Initiator). (I.F.15.)</p>
<p>6. <b>Supervisory AUL</b> (if different from Review Initiator) makes comments on the recommendation, gives copies to candidate and Review Initiator and submits review record to Library Human Resources. (I.H.2.)</p>
<p>7. <b>Library Human Resources/AUL for Administrative Services</b> schedules appointment with candidate to sign the <i>Certification Statement and Documentation Checklist</i>, form UCI-LIB-07. (I.J.3.)</p>

<p>8. <b>Library Human Resources/AUL for Administrative Services</b> prepares review record and sends the original to the Library Review Committee and a copy to the University Librarian. (I.J.5.)</p>
<p>9. If the <b>University Librarian</b> determines the need for an Ad Hoc Review Committee, he/she notifies <b>Library Human Resources</b> to send the review record to the Ad Hoc. (I.K.)</p>
<p>10. <b>Ad Hoc Review Committee</b> (if an Ad Hoc is appointed) submits a report to the University Librarian who forwards it to the Library Review Committee via LHR. (I.K.3.)</p>
<p>11. <b>The Library Review Committee</b> submits the LRC report to the University Librarian via Library Human Resources. (I.J.14.)</p>
<p>12. A letter with the final decision, signed by the <b>University Librarian</b> is sent to the candidate. (I.N.7.)</p>
<p>13. <b>Library Human Resources</b> forwards the original file to the <b>Office of Academic Personnel</b>, which is the Office of Record for the review files of appointees to the Librarian Series. LHR destroys copies of the review file. (I.P.)</p>

**Appendix D:  
Review File Path for Law Librarians**

(With references to appropriate sections of the *Academic Personnel Procedures for Librarians*)  
*See the annual calendar of due dates for deadlines*

<p>1. <b>Candidate</b> assembles review record according to form UC-LIB-04 (factual resume, supplementary material, and position profiles) and submits to Review Initiator (RI). Also submits updated <i>Academic – Career History &amp; Publication Record</i> to Library Human Resources. (I.F.9.)</p>
<p>2. <b>Review Initiator</b> makes a recommendation, gives candidate a copy, and adds original to the review record. (I.F.10)</p>
<p>3. <b>Review Initiator</b> assembles the review file according to form UCI-LIB-06 and submits file to the supervisory Associate Law Librarian (ALL) (if different from Review Initiator). (I.F.14.)</p>
<p>4. <b>Supervisory ALL</b> (if different from Review Initiator) makes comments on the recommendation, gives copies to candidate and Review Initiator and submits review record to the Associate Dean of the Law Library (ADLL). (I.H.2.)</p>
<p>5. <b>The Associate Dean of the Law Library (ADLL)</b> makes comments on the recommendation addressed to the Dean of the Law School, adds the comments to the file, and submits the review record to the Law School Director of Personnel who forwards the record to Library Human Resources. The ADLL gives a copy of the recommendation to the candidate, the Review Initiator, the supervisory ALL (if different from the RI), and the AUL/AS. (I.I.)</p>
<p>6. <b>Law School Personnel Office</b> schedules appointment with candidate to sign the <i>Certification Statement and Documentation Checklist</i>, form UCI-LIB-07. (I.J.3.)</p>



<p>7. <b>Law School Personnel Office</b> prepares review record and sends the file to <b>Library Human Resources</b>. LHR sends the original to the Library Review Committee, and sends copies to the Dean of the Law School, and the University Librarian. (I.J.5.)</p>
<p>8. If the <b>Dean of the Law School</b>, in consultation with the <b>University Librarian</b>, determines the need for an Ad Hoc Review Committee, he/she notifies <b>Library Human Resources</b> to send the review record to the Ad Hoc Review Committee. (I.K.)</p>
<p>9. <b>Ad Hoc Review Committee</b> (if an Ad Hoc is appointed) submits a report to the <b>Dean of the Law School</b> who will share a copy of the report with the University Librarian. The Dean forwards the report to the Library Review Committee via LHR. (I.K.3.)</p>
<p>10. <b>The Library Review Committee</b> addresses their report the Dean of the Law School and submits the report to Library Human Resources. LHR distributes the LRC report to the Dean and provides a copy to the University Librarian. (I.J.14.)</p>
<p>11. <b>The Dean of the Law School</b> makes the final decision in consultation with the UL. The Dean signs form UCI-LIB-01a and forwards the file to the Law School Director of Personnel who delivers it to Library Human Resources. (I.L.)</p>
<p>12. The <b>Dean's</b> letter with the final decision is sent to the candidate by the Law School Director of Personnel in consultation with Library Human Resources. (I.L.4.; I.N.7.)</p>
<p>13. <b>The Law School Director of Personnel</b> receives the original file and all copies and reviews the original file for completeness. LHR then forwards the complete original file to the <b>Office of Academic Personnel</b>, which is the Office of Record for the review files of appointees to the Librarian Series. Additional copies of the review file are destroyed. (I.P.)</p>