

2015-2016AY CALL for Assistant and Associate University Librarians (AUL)

- 1 **Schedule:** [normally, the same as for Librarian Series]
- 2 **Titles.** See Section [365](#) of the Academic Personnel Manual (hereafter [APM](#) for rules and procedures applicable to those serving as Associate University Librarian or Assistant University Librarian.
- 3 **Initiation of a Review.**
 - a) It is the responsibility of the University Librarian to consider for review each Assistant University Librarian and Associate University Librarian under his or her jurisdiction. [APM 365-18-c](#) establishes that there is no normal period of service at either title, but as a general practice, appointees shall be considered for merit increases at two-year intervals. However, when the candidate is already at the top of the salary range for his or her title, and no promotion is under consideration, the University Librarian and the candidate may agree to extend the review period to up to four years.
 - b) The University Librarian will submit a recommendation for a merit increase, promotion, or denial of advancement.
 - c) Those candidates who are judged to be deserving of advancement before a normal review cycle may be recommended for an accelerated merit increase or promotion.
 - d) Those candidates who request (or agree) that a normal merit review be deferred should provide a memo to that effect to be included in the file. However, a review will be conducted if, in the University Librarian's judgment, it is advisable.
- 4 **Documentation Required and General Procedures.**
 - a) It is the candidate's responsibility to submit a review file, to include:
 - i. An updated UC "Biography for Academic Personnel" form.
 - ii. An updated statement describing the candidate's primary responsibilities signed by the candidate and the University Librarian
 - iii. A statement of the candidate's professional achievements and administrative accomplishments during the review period.
 - iv. A description of the candidate's plans and goals following the review period (and beyond, as appropriate)
 - v. Additionally, the candidate may supplement the file by including any other statement or material he or she deems relevant. The candidate may also request,

in writing, that the University Librarian request letters from specific individuals for additional information to be included in the file. The candidate may also provide names of persons who, in the view of the candidate, and for the reasons set forth, might not objectively evaluate in a letter or on a committee.

- b) Following an initial review discussion with the candidate and receipt of all relevant evaluation information, it is the responsibility of the University Librarian to review the file which has been received, to supplement it as necessary and appropriate with additional letters and documents, including any requested by the candidate, and to prepare a letter of recommendation. The opening paragraph of the recommending letter should include:
- i Name, date, rank and salary of the candidate's initial appointment at UCR.
 - ii Existing rank and salary of the candidate.
 - iii Number of years at the existing salary.
 - iv Recommended action.
- c) The University Librarian's letter of recommendation should also include the following:
- i A comprehensive assessment of the candidate's performance and accomplishments together with specific evidence to support the evaluation. This evaluation should follow the same criteria and areas of Librarianship as outlined in APM Sections [210-4e\(3\)](#) and [APM 365-10](#), but with primary emphasis on administrative performance within their defined responsibilities.
 - ii An evaluation of the candidate's statement of plans and goals for his/her division/departments, professional and/or personal goals, and a comparison of the previous review file's statement with actual accomplishments since that date.
 - iii In the case of a recommendation for promotion, an assessment of the candidate's professional growth or increased responsibilities, and sustained successful performance at the rank of Assistant University Librarian.
- d) Campus policy does not require letters of evaluation as part of the review process for positions in the AUL Series, and in the large majority of cases no such letters will be solicited. However, the candidate or the University Librarian may wish to have letters of evaluation or other forms of evaluation solicited in specific cases, such as when promotion is under consideration. In the case of letters of evaluation, the University Librarian has the responsibility of soliciting the letters from qualified persons, including persons nominated by the candidate. At his/her option the University Librarian may solicit other evaluation information from other constituents internal and/or external to the Libraries for use in the review process. In both cases, requests for letters or other evaluation information should include appropriate language regarding the University's policies governing confidentiality.

- e) The candidate may provide in writing to the review initiator or other appropriate person, names of persons who in the view of the candidate, for reasons provided by the candidate, might not objectively evaluate in a letter or on a committee, the candidate's qualifications or performance. Any such statement provided by the candidate shall be included in the academic review file. The University decision regarding the requested disqualification shall not be subject to grievance and arbitration.
- f) The University Librarian will hold a second review discussion with the candidate after the candidate has had the opportunity to read the contents of the entire file (including the University Librarian's letter of recommendation, and any redacted confidential letters provided to the candidate). The candidate also will be given the opportunity to add any written comments to the file. The University Librarian will be given the opportunity to review any additional written comments from the candidate.
- g) If the University Librarian's recommendation is for promotion from Assistant to Associate University Librarian, the University Librarian will appoint an ad hoc review committee:

Before appointing the committee, the University Librarian may consult with the Librarians Association of the University of California, Riverside Division LAUC-R regarding membership of the ad hoc review committee. The committee will normally include librarians and faculty from UCR, and one or more University Librarians or Assistant/Associate/Deputy University Librarians (or equivalent) from another UC campus (or from another academic institution when deemed appropriate).

The ad hoc review committee will review the file in accordance with Sections [APM 365-10](#) and [210-4](#) of the APM. The committee will send its report to the University Librarian.

- h) The final decision will be made by the University Librarian, who will also inform the candidate.

5 **Criteria for Advancement.** As specified in APM Sections [APM 365-10](#) and [210-4e\(2\) and \(3\)](#) candidates for merit increases and promotions shall be judged on the basis of the first of the following criteria, and, to the extent they are relevant, on one or more of the others:

- a) administrative performance in carrying out key job responsibilities;
- b) professional competence and quality of service within the library;
- c) professional activity outside the library;
- d) University and public service; and
- e) research and other creative activity.

In the case of Assistant and Associate University Librarians, successful performance under the first two of the above criteria are paramount.

Merit increases are not automatic and must be justified by the quality of professional and administrative service rendered by the appointee (APM Section [APM 365-18](#)).

Promotion from Assistant University Librarian to Associate University Librarian must be justified not only by excellence of service and administrative attainment, but also by demonstrated professional growth and accomplishment and/or the assumption of greater responsibility (APM Section [APM 365-10a](#)).

- 6 **Access to Academic Personnel Records.** The specific procedures are divided into two categories: (A) procedures in relation to an ongoing personnel review and (B) procedures for access to all other records

A. Access to Personnel Files in an Ongoing Personnel Action ([APM 360-80-g](#)) Access in relation to an ongoing personnel review (defined as the period between the initiation of the recommendation by the University Librarian through the final administrative decision), is normally governed by two applicable procedures: i) after the University Librarian's initial review discussion with the candidate but before the University Librarian's second review discussion with the candidate and ii) after the final decision.

- i. After the University Librarian's initial review with the candidate but before the University Librarian's second review discussion with the candidate, the candidate may inspect all non-confidential documents to be included in the review file and shall receive upon written request to the University Librarian a redacted copy of the confidential documents which will be included in the file, whether included in the file as full or as summary documents. The University Librarian has responsibility for the redaction of such documents. Such documents shall not disclose the identities of persons who were the sources of confidential documents. The candidate shall also be shown a copy of the University Librarian's recommendation letter and shall sign and date it to acknowledge receipt.
- ii. After the final decision from the University Librarian has been communicated to the candidate by the University Librarian, the candidate shall have the right, upon written request to receive from the University Librarian a written statement of the reasons for that decision, and/or redacted copies of any confidential documents in the personnel review file not provided by the Review Initiator before the Review Initiator's letter is written. Such documents shall not disclose the identities of persons who were the sources of confidential documents. Requests for these documents shall be submitted on the form labeled "Request for Material in Academic Personnel File" (see Appendix D Librarian Series).

B. Procedures for Access to All Other Academic Personnel Records (APM 160-20-c).

- i. An individual may inspect, at reasonable time, all other non-confidential documents in any of the academic personnel records of the individual.
- ii. Requests for access to confidential information in an individual's personnel file must be addressed to the University Librarian and sent via Library Human Resources (LHR). Requests for these documents shall be submitted on the form labeled "Request for Material in Academic Personnel File" (see Appendix D Librarian Series). The redacted documents are prepared only after the University Librarian completes the formal review of the Personnel File. Materials will be sent directly to the individual by LHR.

7 **Appeals.** In those cases in which a candidate wishes to allege procedural violations as outlined below, the candidate will first review the issues with the University Librarian in an attempt to achieve a resolution. If the candidate still wishes to submit an allegation, a formal written allegation statement shall be sent to the Vice Provost for Academic Personnel. Disagreements or questions regarding academic judgment are not procedural violations and may not be appealed.

A procedural violation is deemed to have occurred when:

- (1) the procedures were not in consonance with the applicable rules and requirements of the University or the Riverside Campus, and/or
- (2) the challenged decision was reached on the basis of impermissible criteria including (but not limited to) race, sex, or political conviction.

The Vice Provost for Academic Personnel will appoint an ad hoc appeal committee for each case in which the candidate alleges a procedural violation. The Vice Provost for Academic Personnel will inform the candidate of his or her right to a hearing before the ad hoc committee, and will forward to the committee the University Librarian's response to the allegations. The committee will make a recommendation to the Vice Provost for Academic Personnel but is not empowered to re-evaluate the academic qualifications or professional competence of the complaint. The Vice Provost for Academic Personnel shall inform the University Librarian of final action in the case.