UNIVERSITY OF CALIFORNIA, RIVERSIDE
LIBRARIAN'S CALL

ACADEMIC PERSONNEL REVIEW PROCEDURES

FOR THE
LIBRARIAN SERIES

APPOINTMENT, MERIT INCREASE, PROMOTION, CAREER STATUS AND RETENTION

"THE CALL"

2018-2019

Office of the Provost and Executive Vice Chancellor
Vice Provost for Academic Personnel

Contents

CALENDAR FOR ACADEMIC PERSONNEL REVIEWS, 2018-2019

The formal review period for the Librarian Series is from January 1 through the end of December each year. The following dates have been established for the 2018-2019 review:

Date(s)	Activities
Mid-August 2018 to October 12, 2018	Library Human Resources (LHR) distributes the previous year's Librarian CALL for review and comments by the University Librarian (UL), CAPA-L and the LAUC-R Chair.
October 12, 2018	LHR distributes the previous year's Librarian CALL to VPAP/APO for review and comments.
October 22, 2018 through October 23, 2018	CAPA-L plans and presents the annual Academic Review Writing and Best Practices workshop to LAUC-R.
October 26, 2018	VPAP/APO transmits final Librarian Series CALL to LHR for transmittal to UL and CAPA-L.
October 26, 2018	LHR will distribute to librarians and their Review Initiators a notification of impending review with potential actions, including a copy of the CALL Procedures.
October 29, 2018 through November 30, 2018	Initial review Consultation between the Review Initiator and Candidate. 1. Review the Statement of Primary Responsibilities 2. Discuss Potential Review Actions 3. Outline the process and discuss the schedule and documentation.
November 30, 2018	A non-represented Candidate requesting an off-cycle review notifies the Review Initiator in writing by this date.
November 30, 2018	A Candidate requesting a deferral notifies the Review Initiator in writing by this date.
December 7, 2018	Review Initiator submits written recommendation for deferral and off-cycle requests in the following sequence: Review Initiator, Department Head (as appropriate), AUL and then to the UL for decision.
December 7, 2018	Final date for Candidate to submit to his/her Review Initiator: 1) Statement of Primary Responsibilities 2) Statement of Professional Achievement (draft) 3) Academic Review Action Form 4) Letter of Evaluation Request (for specific actions) 5) Candidate initials and dates items 1-4 on Checklist A, except 4.c.

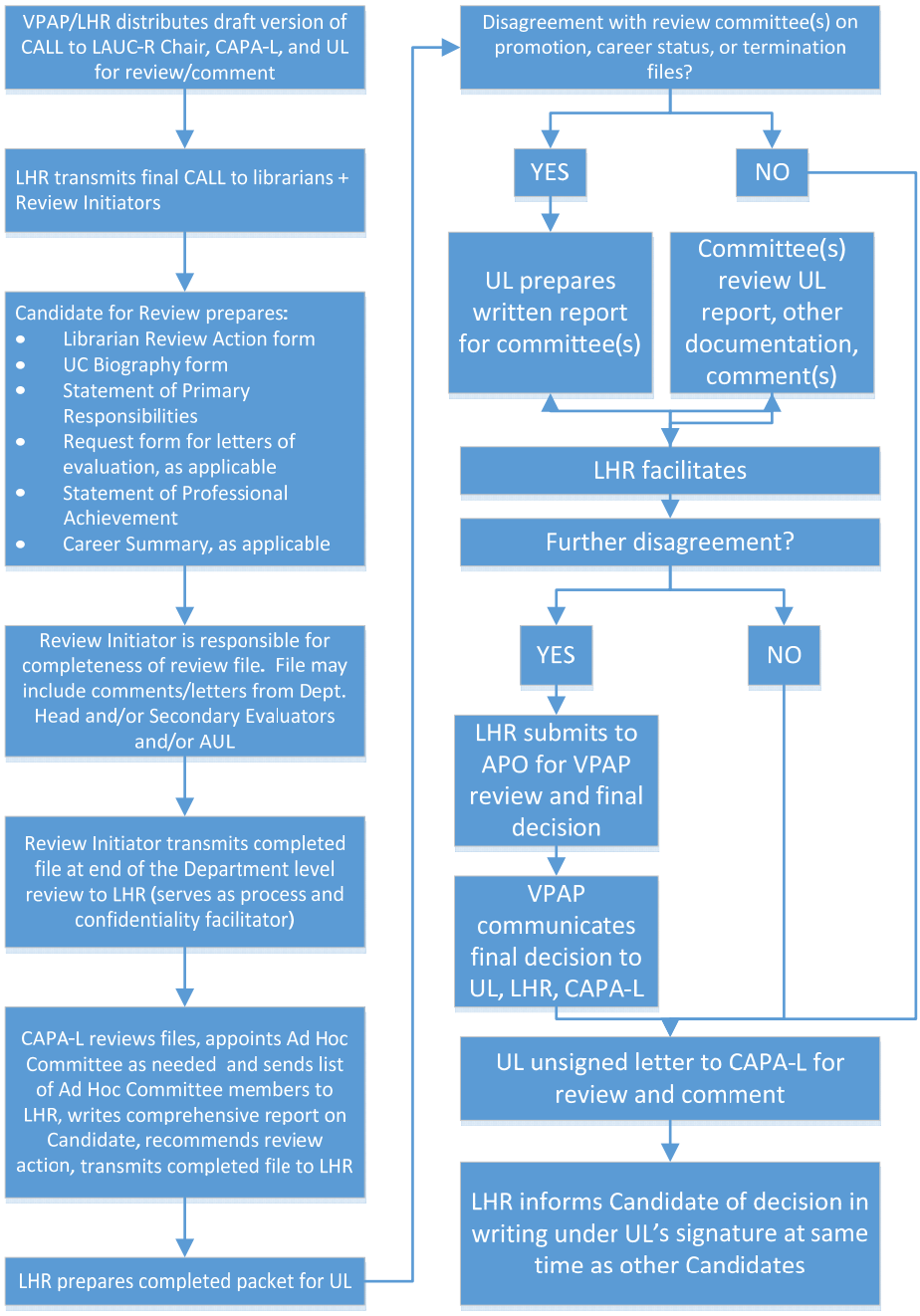
Date(s)	Activities
December 14, 2018	Final date for Review Initiator to submit to LHR: 1. The Candidate's Letter of Evaluation Request Form 2. The Review Initiator's Letter of Evaluation Request Form 3. The Review Initiator's Request for Secondary Evaluator Form
December 14, 2018	UL notifies LHR, the Candidate, Review Initiator, and AUL of the deferral and off-cycle request results.
December 17, 2018 – January 18, 2019	LHR requests letters of evaluation, and Secondary Evaluators or other individuals listed on the Review Initiator's Letters of Evaluation Request Form. Responses due for both by**: January 18, 2019**. A copy of each request made by LHR will be included in the Candidate's file.
January 18, 2019	Deadline for receipt of all Letters of Evaluation by LHR. Letters are logged and placed in Candidate files by LHR, with a copy to the Review Initiator and a redacted copy to the Candidate.
January 18, 2019	Deadline for Secondary Evaluation to be completed, discussed with the Candidate, signed, and original sent to LHR for copies to be sent to the Review Initiator for inclusion in the file. Originals of Secondary Evaluations remain with LHR.
January 31, 2019	Final deadline for Candidate to submit all documentation to the Review Initiator and to sign Checklist A (Appendix I) item 4.c.
February 15, 2019	Final date for Review Initiators to submit her/his recommendations along with the review files to the next highest level.
March 5, 2019 through April 6, 2019	The Review Initiator's Conference with the Candidate per section V.C.7. As review files are completed during this period, they may be released by the Review Initiators to the AULs for AUL participation.

Date(s)	Activities
March 8, 2019	Final date for Assistant/Associate University Librarian (AUL) to meet with Candidate and submit their comments to the UL via LHR, along with the complete file of each candidate undergoing review. As review files are completed during this period, the AUL may return the files to LHR for content logging and transmission to the next level of review and to the respective Review Initiator for completion of Checklist A (Appendix I).
March 11, 2019 – March 22, 2019	Candidate and Review Initiator meet to complete Checklist A (Appendix I) Review Initiator submits completed file to LHR for content logging.
March 25, 2019 – May 17, 2019 (8 weeks)	Library Human Resources verifies that all files are complete (required documentation, signatures, etc.) and schedules CAPA-L, and/or Ad Hoc review dates and time.
May 24, 2019	Final date for all files to be transferred by LHR to the University Librarian for review, verifying that all files are complete (required documents, signatures, etc.)
May 27, 2019 through June 14, 2019	The UL informs the Candidates of the decision and LHR completes distributing copies of any remaining redacted confidential material.
June 14, 2019	The Vice Provost for Academic Personnel's (VPAP) decisions on any files with substantial differences are sent to the UL via LHR and to CAPA-L.
July 1, 2019	Salary increase begins for the successful Candidate, based on the new salary point.
August 1, 2019	The Candidate receives the first paycheck which reflects the new salary.
May 31, 2019 through July 31, 2019	For 2019-2020 Review Cycle Mid-year review (if applicable) to be held annually between all librarians and Review Initiators, especially Candidates preparing for a review in the 2019-2020 academic year. The Review Initiator begins preparation for the 2019-2020 review cycle.

Ameae M. Walker
Vice Provost for Academic Personnel

UCR Librarians' Review Process

(revised October 2016)



I. INTRODUCTION

A. BACKGROUND/HISTORY

1. Librarians' status in the University of California changed from that of staff employees to non-Senate academic employees in the 1960's. Until 1970/1971 their initial appointments and subsequent performance reviews continued to be carried out through a hierarchical, administrative process. That year, a process which incorporated a peer review component into the evaluation of proposed appointments and performance reviews was introduced for the Librarian Series. This process was described in chapters introduced for the first time into the University's Academic Personnel Manual (APM). The Librarians' Association of the University of California (LAUC) played an instrumental role in drafting those University wide policies, as well as the related procedural documents on each campus, and has remained actively involved in the revisions and updates of those documents.

2. A key principle inherent in the peer review component of this process is the concept that appointees in the Librarian Series participate in, and share responsibility for, evaluation of the qualifications of proposed new appointees to the Series and for their subsequent professional performance. The Librarian Series is the only non-Senate academic series in the University that uses a peer review component in the evaluation of proposed appointments and professional performance.

B. PURPOSE

1. These guidelines are designed to provide detailed procedures for conducting appointment and performance reviews of UC Riverside Librarians.

2. Objective and thorough reviews of the qualifications of Candidates for appointment, merit increase, promotion, and career status are conducted at specific intervals. The review process, in addition to its value as a means of commending demonstrated individual growth and sustained excellence, serves to ensure the high quality of library service provided to the UC Riverside community by those in the Librarian Series.

C. AUTHORITY/CRITERIA

1. The review procedures for Librarians are governed by two documents: the *University of California and University Council-American Federation of Teachers Memorandum of Understanding* (hereafter referred to as MOU) for represented librarians and the University of California Academic Personnel Manual (APM) for non-represented librarians. Specifically, these procedures are consistent with the provisions of MOU Articles 4, 5 and 13, and APM Sections 140, 210-4, and 360.

2. In accordance with an option provided for in APM Sections 360-6 and 360-24, the Vice Provost for Academic Personnel (VPAP) at UC Riverside has delegated to the University Librarian (UL) responsibility for final personnel actions for incumbents in the Librarian Series, except in those instances outlined in section 4 below.

3. As stated in APM 360-6 or MOU Article 5.A, as appropriate, it is the function of the review committees to advise the officer who makes the final decisions. At UC Riverside, review committees are advisory to the UL. (There is variation among the UC campuses in the Chancellors' practices of delegating authority for approving actions affecting the Librarian Series.)

4. When there is significant difference between the Committee on Appointment, Promotion and Advancement-Librarians (CAPA-L) and the UL on cases of promotion, retention, or dismissal, then the review file will go to the VPAP for review. For example, If the CAPA-L recommendation was positive and the UL's decision was negative, this constitutes a significant difference, and the review file will go to the VPAP for review. However, in cases of merit reviews, the UL's decision as to whether a Candidate receives standard vs. greater than standard merit and the number of points does not constitute a significant difference, and the review file will not go to the VPAP for review, even if CAPA-L recommends a higher/lower number of points than does the UL.

D. STAGES OF THE REVIEW

Each appointment or performance review is conducted in three stages:

1. Department level review, including the Review Initiator's review and recommendation for personnel action as well as the comments of the relevant Department Head, as appropriate, and Assistant/Associate University Librarian (AUL).

2. Peer review by CAPA-L and, as needed, an Ad Hoc Committee;

3. Administrative review, including the UL's review and final decision for action, except in cases described in II.C.4.

II. BASIC PRINCIPLES

A. OBJECTIVITY

1. The review shall be based on an objective appraisal of the documentation in relation to the criteria stated in the APM or MOU, as appropriate. The documentation shall be in sufficient detail to make an objective appraisal possible. All decisions and recommendations shall be based solely upon materials within the review file. The file shall not include documents that are not pertinent to the evaluation of professional performance (e.g. financial records, court records, medical records, records of political activity, or other personal information).

B. CONFIDENTIALITY

1. Files are not to be discussed or shared with individuals who are not part of the Candidate's review process as outlined in this document.

2. It is the responsibility of all involved in the peer review process to scrupulously respect the confidentiality of their deliberations and the records and documents

they examine. All personnel records, reports, and documents relating to a Candidate's case shall be kept in LHR when not in use by an authorized reviewer. All physical documents in transit shall be in sealed envelopes marked "Confidential"; all documents sent electronically shall be labeled as “Confidential” in their subject lines, if email, or across the top of the electronic document in all other cases.

C. TIMELINESS

1. It is the responsibility of all involved to ensure that assignments are performed with the greatest possible care and promptness. Adherence to the calendar is in the best interest of all participants. When exceptions to the calendar are necessary in particular files, the agreed upon timeline shall be communicated to all parties involved in the review process. The final decision for reviews should be communicated to all Candidates at the same time.

D. PROFESSIONAL RESPONSIBILITY

1. It is a professional responsibility for each Librarian at UC Riverside to serve on Ad Hoc Committees when requested to do so. Some Librarians may serve on several such committees each year. A person may disqualify herself/himself, but only if s/he questions her/his ability to make an objective judgment in a particular case.

E. NONDISCRIMINATION

1. The review process shall be applied equally to all Librarians at UC Riverside within the limits imposed by law or University regulations without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, protected veteran status, or any other characteristic protected by law and/or listed, as appropriate, in MOU Article 2.

F. TRANSPARENCY

1. At every stage of the review process, Candidates will have access and the opportunity to respond to all material in their files that is not confidential and to redacted versions of confidential materials.

III. DEFINITIONS

A. ROLES AND RESPONSIBILITIES OF PARTICIPANTS

1. CANDIDATE FOR APPOINTMENT

a. **Defined as**: An applicant for a position who has been recommended for appointment.

b. Roles and Responsibilities:
   1. Submits letter of application, resume and list of references as well as other documents, as requested, in AP Recruit.
   2. Makes herself/himself available for an interview.

2. CANDIDATE FOR REVIEW

   a. **Defined as**: A currently employed Librarian for whom a personnel action (career status, promotion, merit increase, no action, or termination) is being considered.

   b. Roles and Responsibilities**:**
      1. Examines and reports on the significance of his/her accomplishments and contributions during the review period, identifying performance strengths and weaknesses.
      2. Furnishes required documents for the review file according to timelines established by the University.
      3. Maintains open and regular communication with Review Initiator.

3. REVIEW INITIATOR
   (MOU Article 5.E as appropriate)

   a. **Defined as:** The individual who has primary responsibility for the department or unit to which the Candidate's position is assigned.

   b. If the Candidate reports directly to an AUL, then the AUL is the Review Initiator.

   c. Roles and Responsibilities:
      1. Participates in the recruitment and screening of applicants and recommends the appointment of Candidates to positions within the program.
      2. Initiates the mid-year review with the Candidate. (optional)
      3. Initiates the consultation at the beginning of the review process, clarifying expectations and responsibilities.
      4. Works with the Candidate to establish a timeline to assure prompt completion of the review file, according to timelines established by the University.
      5. Submits list of requested Letters of Evaluation to LHR, as applicable.
      6. Procures assessments from Secondary Evaluators within the Library, if applicable.
      7. Gathers required documents for assembly into the Candidate's review file.
      8. Writes an evaluation, assessing the value of the Candidate's accomplishments and contributions.
      9. Ensures that the applicable procedures are being followed and completed, and that the Candidate is able to review and sign all applicable portions of the review file.
      10. Recommends a personnel action based on the documentation in the file relative to the criteria for Librarians' performance stated in the APM or MOU, as appropriate.
      11. Maintains open and regular communication with the Candidate
      12. Finalizes and signs Checklist A (Appendix I) and signs all applicable documents [See Appendix I] in the review file.

4. SECONDARY EVALUATOR

    a. **Defined as**: An individual outside the Candidate's current direct reporting line who has knowledge of one or more of the Candidate's functional assignments. May be, but is not limited to, one of the following:

    b. An AUL, Department Head, Principal Investigator, or Project Director who is not in the Candidate's department, or unit, but for which the Candidate has an official assignment (e.g. a reference librarian who spends a portion of her/his time cataloging; a cataloger who spends a portion of his/her time treating damaged books; etc.)

    c. Roles and Responsibilities:
        1. Within the functional area for which s/he has knowledge, evaluates the Candidate's performance for the review file.

        2. An individual previously within the Candidate's direct reporting line during the period under review.

5. REFEREE

    a. **Defined as**: Any individual who is knowledgeable about the Candidate's performance and responds to the Library's formal request for comment.
    b. Roles and Responsibilities:
        1. In response to a formal request, provides confidential statements for the file evaluating the Candidate's work.

6. COMMITTEE ON APPOINTMENT, PROMOTION, AND ADVANCEMENT - LIBRARIANS (CAPA-L)

    a. **Defined as**: A review group elected by the membership of LAUC-R according to its Bylaws.

    b. Roles and Responsibilities:
        1. Oversees and coordinates the peer review component of the review process.
        2. Acts as a standing committee to review personnel actions related to the processes documented in the CALL for the Librarian Series, including appointments.
        3. Acts as the sole peer review committee for cases that are not referred to an Ad Hoc Committee.
        4. Recommends the need for an Ad Hoc Review Committee.
        5. Selects eligible persons to serve on Ad Hoc Review Committees.
        6. Reviews and comments on the draft of the UL's final letter to the candidate.
        7. At the end of each review cycle, evaluates the Librarian CALL and recommends changes to LAUC-R, LHR, the UL, and the VPAP.
        8. Advises LAUC-R and/or the Library Administrative Team on academic personnel matters.
        9. Plans and presents workshop(s) regarding the annual Academic Review Writing and Best Practices to LAUC-R.

7. AD HOC COMMITTEE

    a. **Defined as**: A review group formed expressly to review the file of an individual Candidate in cases of termination or as recommended by CAPA-L.
    b. Role/Responsibility:
        1. Reviews the documentation in a personnel action file and reports its findings and recommendations to CAPA-L.

8. ASSISTANT OR ASSOCIATE UNIVERSITY LIBRARIAN (AUL)

    a. **Defined as**: A Library administrative officer who holds the payroll title of Assistant or Associate University Librarian. Reports to the UL.

    b. Roles and Responsibilities:
        1. Serves as the Review Initiator in conducting the review of a Candidate who reports directly to her/him.
        2. Provides comments of files of Candidates within her or his Division prior to the file being returned to the Review Initiator.
        3. Advises the UL in the administrative portion of the review process.

9. LIBRARY HUMAN RESOURCES (LHR)

    a. **Defined as**: The administrative unit handling academic human resource matters. The Director of Organizational Design and Human Resources (ODHR Director) is responsible for this unit.
    b. Roles and Responsibilities:
        1. Notifies Candidates and Review Initiators of impending Review.
        2. Maintains a centralized file of all library personnel files, controlling access to confidential material
        3. Coordinates the application of the review procedures.
        4. Verifies the files for completeness and correct application of the procedures.
        5. Is available to all participants to interpret and advise on application of these procedures.
        6. Provides CAPA-L with a list of eligible Ad Hoc Committee members.
        7. Notifies Ad Hoc Committee Chairs of their assignments and list of their Ad Hoc Committee members and maintains the confidentiality of their identities.
        8. Schedules meeting dates and times for CAPA-L and Ad Hoc Committee members to review files.
        9. Ensures the supply and distribution of all documents and forms required to implement these procedures.
        10. Maintains liaison with the campus Academic Personnel Office (APO) to ensure that these procedures and their implementation meet University requirements.
        11. Informs the candidate of the decision and distributes copies of the redacted confidential material.

10. UNIVERSITY LIBRARIAN (UL)

    a. **Defined as:** The Library's chief executive officer.

    b. Roles and Responsibilities:
        1. Serves as the University's deciding officer on Librarian Series appointments and personnel review actions including requests for deferred reviews and requests for off-cycle reviews, providing final administrative decision on appointments and personnel review actions within her/his purview.
        2. Assumes ultimate responsibility for defining performance standards for Library academic personnel, communicating expectations, stimulating discussion, promoting common understanding and consensus.
        3. Assumes ultimate responsibility within the Library for ensuring that these procedures, as approved by University Administration, are implemented and adhered to.
        4. Reviews the documentation in personnel action files and makes final administrative decisions regarding personnel review actions and appointments.
        5. Submits draft final letter for each candidate to CAPA-L for review and comment.
        6. Reports the final personnel review action decision in a letter to the Candidate or extends a formal offer in a letter to a Candidate for appointment.

11. VICE PROVOST FOR ACADEMIC PERSONNEL (VPAP)

    a. **Defined as**: The University's chief academic personnel officer

    b. Roles and Responsibilities:
        1. Authorizes annual Librarian Series CALL.
        2. Delegate's authority to the UL for appointments and academic reviews, including deferrals and off-cycle requests, for academic employees of the Library.
        3. In cases of significant difference (as specified in section II.C.4) between the UL's preliminary decision and CAPA-L's recommendation, reviews the complete file, including the UL's preliminary decision and the CAPA-L report(s) and any further information that CAPA-L has provided in response to the UL's decision.
        4. Notifies the UL, LHR, and CAPA-L of final decisions referred to her/him.
        5. Receives and reviews input on the process and the conduction of the process from the UL, LHR, CAPA-L, and LAUC-R and informs them of her/his observations.

B. TYPES OF REVIEWS

1. STANDARD REVIEW
(MOU Article 4.E.2.a and 5.B)

a. A standard review is one that takes place every two (2) years at the Assistant and Associate ranks and three (3) years at the Librarian rank.

2. OFF-CYCLE REVIEW
(APM 360-17.b (5) or MOU Article 4.E.2.b and d), as appropriate

a. An off-cycle review is one that takes place earlier than the standard review.

1. Review Initiators may initiate off-cycle reviews for their direct reports.
2. A represented Candidate may not initiate an off-cycle review during the life of the MOU in effect until September 30, 2018 at 11:59pm.
3. Non-represented librarians may request an off-cycle review.

3. DEFERRED REVIEW
(APM 360-80.a (2) and MOU Article 4.E.2.c)

a. 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.

1. A deferral of a review for a one-year period may be requested by the Candidate or the Review Initiator, but may be initiated only with the written agreement of the Candidate, and may be approved only when there is insufficient evidence to evaluate performance due to prolonged absence or other unusual circumstances since the last personnel review.

2. Reasons for the review deferral must be submitted in writing (by the deadline listed in the CALL calendar) and must be submitted for written recommendations in the following sequence: Review Initiator, Department Head (as appropriate), AUL, and then to the UL for decision.

C. TYPES OF ACTIONS

1. POTENTIAL CAREER STATUS
(APM 360-17 or MOU Article 4.D.5), as appropriate

a. Potential Career Status refers to a trial period for new appointees. An appointee whose appointment is not explicitly temporary, and who is at the rank of Assistant Librarian or a new appointee at any rank is in Potential Career Status for a trial period. If, after careful and thorough review, the appointee is not placed in Career Status within the time limit specified for that rank, the appointment is terminated after due notice.

2. CAREER STATUS
(APM 360-8.e or MOU Article 4.E.1.a), as appropriate

a. Career Status is a continuing appointment, achieved only after successful completion of a suitable trial period in Potential Career Status.

b. An appointee with Career Status making an intercampus transfer retains Career Status.

3. MERIT INCREASE
(APM 360-8.c and 210-4.d and MOU Articles 4.E.1.b and 13.C.2.d)

a. A merit increase follows a positive review. A positive review shall result in an increase of at least two (2) salary points on the applicable scale for the Assistant and Associate Librarian ranks, and at least three (3) salary points on the applicable scale at the Librarian rank.

b. An increase of fewer than the minimum may be awarded in cases where fewer points remain on the scale of the Candidate's respective rank.

c. The UL is not precluded from granting merit increases of a greater number of points for any justifiable reason. A Review Initiator may recommend a greater number of salary points if s/he feels that the Candidate's review file reflects evidence of unusual achievement (See Appendix VII for a more detailed description and guidelines).

4. PROMOTION
(APM 360-8.d or MOU Articles 4.E.1.c and 13.C.2.e and g), as appropriate

a. A promotion is advancement to the next highest rank within the Librarian Series. A Candidate may request a promotional review once s/he has achieved a salary in a rank that overlaps with the next rank. Candidates with six years of service at the Assistant Librarian rank are eligible for a promotional review even if they have not achieved a salary that overlaps with the Associate Librarian rank.

b. If a promotional review is requested, a positive review will result in promotion to the next rank. Upon promotion, the Candidate will receive an increase of at least two (2) salary points above their previous salary amount if being promoted to the Associate Librarian rank, and at least three (3) salary points above their previous salary amount if being promoted to the Librarian rank.

5. NO ACTION
(MOU Articles 4.E.1.d and 13.C.2.d)

a. A no action is one of the following:

1. A neutral, non-prejudicial action for those at the top salary point of the Associate or Librarian rank.

2. An action intended to address performance issues and the actions required to improve that performance for those at any salary point.

b. In exceptional circumstances, a librarian who receives a no-action may be awarded a one (1) point salary advancement at the Assistant and

Associate Librarian ranks and a one (1) or a two (2) point advancement at the Librarian rank.

D. CRITERIA FOR REVIEW
(APM 360-10 and 210-4-e or MOU Articles 4.B and 4.C), as appropriate

A Candidate shall be evaluated on the basis of the criteria listed below. In considering a Candidate, reasonable flexibility is to be exercised in weighing the comparative relevance of the criteria.

1. REVIEW OF PROFESSIONAL PERFORMANCE

    a. Professional Competence and Service within the Library
        1. Encompasses achievement and service in areas of primary responsibilities as well as other contributions to the Library such as committee work and special assignments. Include here mention of substantive documents, such as reports and manuals, prepared for internal use. Library instruction goes here, including teaching and preparation of instructional materials. Also include here participation in UC-wide committees on which membership is required as part of the Candidate's responsibilities, such as collection development groups. Include management and supervisory responsibilities as relevant to the position.

    b. Professional Activity outside the Library
        1. Includes service and contributions to professional and scholarly associations, e.g. committee work, program participation as panelist or discussion leader, offices held, consulting work, and editorial activity outside of primary responsibilities.

    c. University and Library Related Public Service

        1. Includes teaching courses for credit through an academic department; service and contributions to LAUC, both locally and statewide; service and contributions outside the scope of the primary job responsibilities to UC Riverside-wide or UC-wide committees, working groups, etc. (including special contributions, such as chairing or undertaking special projects, that exceed the required participation in such groups mandated by the Candidate's primary responsibilities [see 1.a]). Also includes professional service as a consultant, speaker, or expert witness to public service-oriented groups, officials or associations.

    d. Research and Other Creative Work

        1. Includes research completed or portions thereof completed during the review period, research in progress and/or continuing projects. Grants and/or fellowships awarded to support such activities should be reported and the resulting publications cited. Includes scholarly and professional publications, addresses, formal papers and presentations, reports of research, and other creative activity including

preparation of exhibits. Documents prepared for internal use or for library instruction should be included under Section 1.a.

2. PROFESSIONAL GROWTH AND CONTINUING PROFESSIONAL EDUCATION

    a. Includes attendance at conferences, workshops, institutes, and formal courses.

3. OTHER FACTORS RELATED TO PERFORMANCE

    a. Includes additional factors that may help Reviewers form an objective appraisal of the Candidate's performance, or a summary of factors important in weighing the evidence in the file. Examples include mainly medical issues (someone out for 6 months for a medical issue, maternity/paternity leave) or other extended leaves; during reorganization, one could note continuing some parts of their previous positions in addition to new positions; sometimes used to justify an off-cycle or greater than standard review. Reference to a medical leave or other extended leave must not contain detailed discussion of the reasons for a leave of absence, in instances where this may constitute a potential breach of confidentiality.

E. THE REVIEW PERIOD

1. RESTRICTIONS

    a. The review file shall consider activities and documentation that relate to the period under review only (see Section IV.B Types of Reviews, above). Reference to earlier events or projects, previous reviews, or future events or projects, should not be made unless clearly essential to the current review.

    b. In cases of promotion or career status, discussion of the Candidate’s entire relevant professional career history is required. It is the responsibility of both the Candidate and the Review Initiator to work together to present a thorough picture of the entire career history in the review file. The Career Summary Cover Sheet shall be used to present the career history.

    c. In the case of new appointees undergoing their first review, the documentation relevant to Criteria for Review should cover the same time period as that of other Librarians at their level. Candidates should also include evidence from Criteria sections b through d as appropriate.

2. RESPONSIBILITY

    a. When a Review Initiator has responsibility for a department for only a portion of a review period, the Review Initiator, with input from former supervisors will be asked to write a review discussing performance since the last review in all of the areas noted above for those Candidates under her/his supervisor on the date at which the review file is due to LHR.

When any of the former Review Initiator(s) are still employed by the University of California, Riverside, she/he will provide a secondary evaluation and have a discussion about the secondary evaluation with each Candidate supervised; when the former Review Initiator(s) are no longer employed by the University of California, Riverside the Candidate, the Review Initiator, the Department Head, the AUL and the UL may request a letter from the former Review Initiator(s) as a Referee.

b. The Review Initiator supervising the Candidate on the date at which the review file is due to LHR shall write the recommendation for personnel action. In cases in which the Candidate has changed departments during the review period, and the recommending Review Initiator has not been the supervisor during the majority of the review period, the recommending Review Initiator will prepare the recommendation in consultation with the prior Review Initiator(s). If there is any disagreement among these Review Initiators regarding the recommendation, that disagreement will be noted in the current Review Initiator's review.

IV. REVIEW PROCEDURES: MERIT INCREASE, PROMOTION, AND CAREER STATUS

A. ADVANCE PREPARATION FOR ACADEMIC REVIEWS
(APM 360-17-c, d, 360-80-a, d or MOU Article 5.B and 5.C) as appropriate

1. DETERMINATION AND NOTIFICATION OF ELIGIBILITY FOR REVIEW

a. At the beginning of the review process, LHR will notify each Librarian, in writing, of her/his eligibility for review, including a written list of the personnel actions for which the candidate is eligible in the upcoming review.

b. Eligibility is determined according to the intervals for academic reviews stated in APM 360-80-a or MOU 5.B, as appropriate; the policy for calculating periods of service is found in APM 360-17-d.

B. THE CALL
(APM 360-80-c or MOU Article 5.D, as appropriate)

1. DISTRIBUTION OF PACKETS, INSTRUCTIONS AND CALENDAR

a. All Candidates for review and their Review Initiator will receive from LHR a complete review packet, including this document or a link to this document and a link to the forms required to complete the review no later than 30 calendar days prior to the first required action following the issuance of the CALL. [See Appendix I for lists of the forms and documentation included in the review file.]

2. CALENDAR

a. All parties shall adhere to the University-established calendar in the CALL. If necessary, in individual cases, provisions for reasonable extensions shall be developed in consultation with LHR and all parties involved shall be notified (III.C.).

C. REVIEW INITIATOR LEVEL REVIEW PROCEDURES

1. INITIAL CONSULTATION

    a. During the mid-year review (optional) and the initial review discussion, the Review Initiator and the Candidate shall discuss the impending review. In conference(s) with the Candidate, the Review Initiator will make certain the Candidate is adequately informed about the entire review process, including the criteria specified in Section 210-4 of the APM or Articles 4 and 5 of the MOU. The Candidate shall be given the opportunity to ask questions and to supply pertinent information and evidence to be used in the review.

2. CHECKLIST A

    a. Checklist A (Appendix I) shall be initialed and dated by the Candidate and the Review Initiator as a way to certify that the necessary steps of the review process have been fulfilled. This may be done as the steps are completed, or all at once by the Review Initiator following the AUL's participation and prior to submitting the completed file to LHR.

3. REVIEW FILE DOCUMENTS
(MOU Article 5.H, as appropriate)

    a. LETTERS OF EVALUATION LIST
        1. The Candidate shall submit to the Review Initiator a list of names of persons from whom letters of evaluation and/or secondary evaluations might be solicited. The Candidate may also list names of persons who, for reasons set forth in writing, might not objectively evaluate, in a letter or on an Ad Hoc Committee, the Candidate's qualifications or performance.

        2. See Section V.C.3.e. (Letters of Evaluation) below for further instructions and guidance regarding letters of evaluation.
        3. The list should be provided according to the review calendar allowing sufficient time for the letters to be completed and received by the required date.

    b. ACADEMIC BIOGRAPHY FORM
        1. The Candidate will update the Academic Biography Form. Changes made should be in addition to information currently located in the Candidate's most recent form on file, furnished by LHR.

        2. The Candidate and the Review Initiator should initial and date the Academic Biography Form.

c. CANDIDATE'S STATEMENT OF PRIMARY RESPONSIBILITIES (SOPR)

1. A SOPR shall be submitted for all reviews.
2. A SOPR consists of a concise descriptive statement outlining present responsibilities. Such descriptive detail would not typically be repeated I the Candidate's self-evaluation, which is an evaluative appraisal rather than a descriptive statement.
3. The Candidate's existing SOPR shall be discussed at the initial review meeting.
    a. If no significant changes are necessary, the Candidate and the Review Initiator should sign and date it and add it to the Review File.
    b. If minor changes are necessary, the Candidate and the Review Initiator can edit the existing document, and when the SOPR has been agreed upon, the Candidate and the Review Initiator should sign and date it and add it to the Review File.
    c. If significant changes are necessary, a new SOPR shall be prepared, and when the new SOPR has been agreed upon, the Candidate and the Review Initiator should sign and date it and add it to the Review File.

d. CANDIDATE'S STATEMENT OF PROFESSIONAL ACHIEVEMENT (SOPA)

1. A brief, concise self-review/SOPA of "pertinent information and evidence" shall be prepared, consisting of vita-style enumeration of accomplishments keyed to the criteria outlined in Section IV.D above, followed by a narrative discussion of no more than three of the most significant items within criteria a and no more than three of the most significant items within criteria b-d.
2. When the Candidate has completed her/his SOPR, SOPA, the Academic Biography Form, and Career Summary (if applicable), the documents shall be assembled and submitted to the Candidate's Review Initiator. Checklist A (Appendix I) will be updated and initialed by the Candidate and the Review Initiator.

e. LETTERS OF EVALUATION
(APM 160 or MOU Article 5.G, as appropriate)

1. Letters of Evaluation are required for promotion and career status and recommended in cases of greater than standard merit increase in which the Review Initiator does not have firsthand knowledge of the Candidate's performance in a certain area.

2. The Candidate shall submit to their Review Initiator a Letters of Evaluation Request Form. On this form they may specify desired referees, or "Not Applicable." They may also specify names of persons who, for reasons set forth by the Candidate, might not objectively evaluate the Candidate's qualifications and performance.

3. The Review Initiator shall submit to LHR the names of persons from whom to request Letters of Evaluation. For each Letter of Evaluation to

be solicited, the Referee shall be asked to address specific aspects of the Candidate's performance with which s/he is familiar.

4. If Letters of Evaluation are solicited, according to the situations specified above, a reasonable number of solicited letters should be from the list of names supplied by the Candidate. Both the Candidate's list and the final list shall become part of the review file.

5. If the Candidate requests greater than standard merit, an appropriate set of letters will be solicited, regardless of the action recommendations of the Review Initiator.

6. The Review Initiator should use extreme caution when deciding to solicit letters from persons the Candidate specified might not objectively evaluate the Candidate's qualifications and performance. If such named reviewer is used, the Review Initiator should explain the reasons for consulting the named individual so that the file will show not only the Candidate's reasons for the exclusion, but also the reason for the Review Initiator's decision to seek input from the named person.

7. Letters of Evaluation may be requested from colleagues, faculty, library or other University staff, or library users who are familiar with the Candidate's performance

8. When the Letters of Evaluation have been received by LHR, copies shall be sent to the Review Initiator for inclusion in the review file. Redacted copies will be made sent to the Candidate upon receipt.

9. The Review Initiator and the Candidate shall be informed by LHR of the names of persons from whom Letters of Evaluation have not been received within a reasonable period of time and a name may be substituted, if necessary, to complete the file.

10. The Review Initiator shall ensure to the best of their ability that the Candidate will not know the name of any person from whom a letter has been requested.

11. Candidates have the option of requesting informal letters from any colleagues they feel can speak to the significance of their achievements. If these are passed to the Review Initiator, they are always included in the file.

4. REVIEW INITIATOR'S EVALUATION

a. It is the responsibility of the Review Initiator to thoroughly evaluate the work of the Candidate in relation to the criteria set forth in APM 360-10 and 210-4-e (3) or MOU Articles 4.C and 5.H as detailed in section IV.D and Appendix VII, and to make an appropriate recommendation for career status, merit increase, promotion, no action, or termination. Off-cycle and deferred reviews should be clearly identified as such.

1. The Review Initiator shall thoroughly evaluate the Candidate's professional service to the Library, concentrating on performance in each major area of responsibility. S/he shall evaluate the quality and quantity of the Candidate's work and acknowledge the Candidate's activities as reviewed by a Secondary Evaluator, as appropriate. Comments on the value of the Candidate's work to the department and the Library should be included. Specific aspects of the Candidate's work that are carried out exceptionally well or that need improvement should be commented upon. Mention should be made of activities that have contributed to the Candidate's professional growth. In the case of new appointees undergoing their first review, the documentation relevant to criteria IV D 1.b-d and Appendix VII should cover the same time period as that of other Librarians at their level. In evaluating the Candidate's performance, the Review Initiator shall consider the Candidate's consistency of performance, grasp of library methods, command of subject area, continued growth in field, judgment, leadership—if appropriate, originality, ability to work effectively with others, including contributing to and working effectively in shared decision-making processes, and ability to relate functions to the general goals of the Library within the University. If the Candidate supervises the work of other library staff, the Review Initiator should comment on the quality and effectiveness of the supervision provided.

b. Evidence of effective service may include the opinions expressed in the Letters of Evaluation, the effectiveness of the techniques applied, or procedures developed by the Candidate, and relevant additional educational achievement.

c. *Reviews should be brief and concise. In preparing the documentation for* the evaluation, the Review Initiator should follow the numbering and headings given in section IV.D above. Section 1.a must be discussed. Sections 1.b-d shall be discussed to the extent applicable.

5. SECONDARY EVALUATIONS

a. If appropriate, the Review Initiator shall request from a Secondary Evaluator an evaluation of the Candidate’s performance of the function(s) for which the Secondary Evaluator is responsible during the review period.
b. When a Candidate has an official assignment split among two or more departments an evaluation is required from each Secondary Evaluator.

c. Secondary evaluations are optional in all cases in which a Candidate has a single official reporting line. Optional secondary evaluations are suggested only in instances in which the Candidate’s Review Initiator does not have sufficient knowledge of the Candidate’s performance in a specific area of his/her responsibilities, or if some aspect of his/her job performance will not be evaluated sufficiently elsewhere in the review file. An optional secondary evaluation may be requested by the Candidate, the Secondary Evaluator, or the Review Initiator.

d. If an evaluation is requested of a Secondary Evaluator, s/he is obligated to fulfill the request in a timely manner in compliance with the university timeline for the CALL for Librarian Series.

e. The procurement of a secondary evaluation will be the responsibility of the Review Initiator. Secondary evaluations will be brief letters which will be included in the review file.

f. The secondary evaluation(s) shall be shown to and discussed with the Candidate, signed and dated by the Candidate and the authoring Secondary Evaluator. Originals are sent to LHR for copies to be sent to the Review Initiator. The Candidate's signature does not constitute nor should be construed as agreement with secondary evaluator's assessment, only that the assessment was shared with the Candidate.

6. RECOMMENDATION OF PERSONNEL ACTION

a. The Review Initiator shall prepare a recommendation for personnel action for the Candidate, indicating the recommended review action and the proposed rank, salary point increase, and status in the Librarian Series.

b. In the case of a Candidate with responsibilities in multiple departments, the recommendation for personnel action will be made having taken into consideration all secondary evaluations.

7. REVIEW INITIATOR'S CONFERENCES WITH THE CANDIDATE

a. The Review Initiator shall review with the Candidate Checklist A (Appendix I) according to the timeline.

8. ASSISTANT/ASSOCIATE UNIVERSITY LIBRARIAN COMMENT (MOU Article 5.E.)

a. If the direct line AUL is not the Review Initiator, the comments prepared by the AUL in the Candidate's reporting line will be discussed with the Candidate, signed by Candidate and AUL, and added to the file. The file is then returned to the Review Initiator for completion of Checklist A (Appendix I) after which the Review Initiator will submit the file to LHR for peer review.

9. CANDIDATE'S RESPONSE TO MATERIAL IN THE FILE (MOU Article 5.H, as appropriate)

a. The Candidate may submit for inclusion in the file a written statement in response to or commenting upon material in the review file.

10. ASSEMBLING DEPARTMENT LEVEL REVIEW FILE

    a. The Review Initiator shall review all documents, including Checklist A (Appendix I), for completeness and for appropriate signatures and dates. The Review Initiator will assemble all of the documents listed into the final review file for transmittal to LHR.

11. REDACTED COPIES OF CONFIDENTIAL DOCUMENTS

    a. LHR will provide to the Candidate redacted copies of confidential documents included in the file, such as Confidential Letters, CAPA-L and/or Ad Hoc Reports. See Appendix VI or MOU Article 5.G.4 as appropriate for a greater explanation of this policy.

12. NON-CONFIDENTIAL MATERIALS AVAILABLE TO CANDIDATE (MOU Article 5.K, as appropriate)

    a. The final non-confidential contents of the review file shall be given to the Candidate for examination before the file is forwarded for peer review. The Candidate shall have the opportunity to request from LHR copies of any non-confidential parts of her/his review file that have not already been distributed to the Candidate.

D. PEER REVIEW PROCEDURES

1. PROCEDURE
    a. On completion of the department level review procedures, the Review Initiator submits the Candidate's review file to LHR, who shall check it for completeness, including all signatures and Appendix XI, and transmit the file to CAPA-L. CAPA-L shall act as a peer review committee for all files. Depending on the nature of the review, an Ad Hoc Committee may also be formed to review the file.

2. COMMITTEE ON APPOINTMENT, PROMOTION AND ADVANCEMENT – LIBRARIANS (CAPA-L)

    a. CAPA-L ELECTION
        1. Members shall be elected by all eligible academic Library employees at the annual LAUC-R election for three years with terms staggered so that one member and two alternates are elected each year. The member serving their third year is the chair. If a vacancy occurs in CAPA-L, the method of filling it shall be determined according to LAUC-R Bylaws. No Librarian shall serve consecutive terms as a member of CAPA-L.
    b. CAPA-L COMPOSITION (MOU Article 5.A, as appropriate)
        1. Membership of CAPA-L shall consist of three members and two alternates from the Librarian Series with Career Status.

c. CAPA-L QUORUM
1. Three members of CAPA-L, or a combination of members and alternates totaling three, shall constitute a quorum when reviewing a file.

d. DISQUALIFICATION
1. A member of CAPA-L shall recuse herself/himself from reviewing a file when:

a. Her/his own file is being reviewed
b. s/he has been responsible for contributing a significant portion of the review file.
c. s/he or another member of CAPA-L questions her/his ability to make an objective judgment in a particular case, or when there is an actual or appearance of any conflict of interest.

3. AD HOC COMMITTEES

a. PURPOSE AND DUTIES OF AD HOC COMMITTEES
1. Each Ad Hoc Committee shall be separately constituted for the purpose of reviewing a recommended personnel action.

2. Each Ad Hoc Committee shall review the documentation and shall be responsible for assessing an individual's performance during a given review period to determine if termination or any other action as referred by CAPA-L should be recommended.

b. SERVICE ON AD HOC COMMITTEES
1. It shall be a professional responsibility for each career status Librarian at UC Riverside to serve on Ad Hoc Committees. It is anticipated that some Librarians shall serve on several such committees each year.

2. A person may disqualify herself/himself, but only if s/he questions her/his ability to make an objective judgment in a particular case, and CAPA-L shall recommend an alternate.

c. FORMATION OF AD HOC COMMITTEES
1. Ad Hoc Committees shall be formed under the following circumstances:
a. In all cases of termination or any other recommendation as referred by CAPA-L.
b. LHR creates a file of eligible librarians for each file under review.
c. CAPA-L consults the list for each file that it decides needs an Ad Hoc.
d. CAPA-L will choose 4 librarians:
1. Chair
2. Member/Alternate Chair
3. Member
4. Alternate Member

e. LHR shall notify the Ad Hoc Committee Chair of the assignment, to confirm their participation, stating the Candidate's name only, to verify any conflicts of interest.
f. Once the Ad Hoc Committee Chair confirms participation, LHR notifies the Ad Hoc Committee Chair of the other two members.
g. The Ad Hoc Committee Chair contacts the two members to confirm participation, stating the Candidate's name only, to verify any conflicts of interest.
h. LHR will schedule Ad Hoc Review Committee meetings as soon as possible after appointment by CAPA-L and confirmation by the Ad Hoc Chair of members eligibility to serve.
i. LHR will consult with the CAPA-L Chair if there are issues with the committee composition.
j. LHR will maintain a current list of members for each ad hoc committee for that review cycle, to be available for consultation by CAPA-L, as needed.

4. APPOINTMENT OF AD HOC COMMITTEES (MOU, Article 5.M)

a. CAPA-L shall obtain from LHR a current roster of those in the Librarian Series who are eligible to serve on Ad Hoc Committees. CAPA-L will select committee membership from this list and specify the Committee Chair.

b. Assignments to these committees shall ideally be distributed equitably among eligible Librarians at UC Riverside.

c. The membership of Ad Hoc Review Committees is strictly confidential and shall be known only to LHR staff, CAPA-L members and Ad hoc Committee members working on a given file.

d. If the membership of an Ad Hoc Committee becomes known to any unauthorized person, CAPA-L shall recommend a new Ad Hoc Committee. Additional documentation requested by the original Ad Hoc Committee will remain in the file with the members' names removed.

5. COMPOSITION OF AD HOC COMMITTEES

    a. Members of CAPA-L may not serve on an Ad Hoc Committee.

    b. Former members of CAPA-L do not generally serve on an Ad Hoc Committee the year following their final year on CAPA-L but can if needed.

    c. Librarians who have contributed documentation to a review file may not serve on the Ad Hoc Committee to review that Candidate's file for that review cycle.

    d. Librarians shall not be selected for an Ad Hoc Committee if they have been specified by the Candidate as potentially not being able to evaluate their performance objectively on their Candidate's Request for Letters of Evaluation Form. When convening an Ad Hoc Committee note should be taken of the Candidate's statement about individuals who may not be able to evaluate the file objectively.

    e. It is desirable that an Ad Hoc Committee include a librarian whose functional area of expertise is related to that of the person whose performance is being reviewed.

    f. Each Ad Hoc Committee shall consist of three members as follows:

        i. At least one member of an Ad Hoc Committee shall hold a rank equal to that which is requested by or recommended for the Candidate.

6. INSTRUCTIONS TO AD HOC COMMITTEES AND CAPA-L FOR PERFORMING REVIEWS
(APM, Section 210-4.e or MOU, Article 5.M, as appropriate)

    a. CAPA-L determines the need for an Ad Hoc Committee. CAPA-L shall serve as the only peer review committee for those files that are not referred to an Ad Hoc Committee.

        1. The review shall be based on an objective appraisal of the recommendation and documentation in relation to the criteria in Section 210-4-e of the APM or MOU Article 4.C, as appropriate. The committee shall determine whether the documentation supports the recommendation of the Review Initiator.

        2. The documentation shall be in sufficient detail to make an objective appraisal possible. Documentation shall include a statement of the Candidate's present rank and salary point.

        3. Documents lacking in detail shall be returned for amplification, or additional documentation shall be requested through LHR. The committee may name an individual from whom to request additional

documentation or may request the Review Initiator name an individual to address a specific area of performance. Such documentation shall be added to the review file after the Candidate has been given copies of any non-confidential material and redacted copies of any confidential material added to the review file. The Candidate and his/her Review Initiator shall be provided an opportunity to submit a written statement in response to the additions to the review record. Checklist B (Appendix II) will be used to verify that these steps have been completed.

4. Recommendations for termination shall be substantiated with documentation consisting of the Candidate's prior review files.

7. REVIEW COMMITTEE REPORTS

b. The reports of CAPA-L (Appendix IX) shall include the following items:

1. Name of the person reviewed.

2. Type of action recommended by the Review Initiator and an indication of the current and proposed rank and salary point.

3. Type of action recommended by CAPA-L and an indication of the proposed rank and salary point.

4. Reports shall usually be unanimous. Minority opinions shall be explained in the report.

5. The names and signatures of the committee members shall appear as the last item of the report, with the Committee Chair so designated. A copy of the CAPA-L report with the committee names redacted shall be provided to the Candidate. A summary report that gives the explicit reasons for CAPA-L's recommendation shall be given to the UL. The report shall address each area of the criteria outlined in Section 210-4-e of the APM or applicable section of the MOU, as appropriate.

c. The reports of an Ad Hoc Committee (Appendix VIII) shall include the following items:

1. Name of the person reviewed.

2. Type of action recommended by the Review Initiator and an indication of the current and proposed rank, status, and salary point.

3. Type of action recommended by the Ad Hoc Committee and an indication of the proposed rank, status, and salary point.

4. Reports shall usually be unanimous. In cases involving a minority opinion, the minority member of the committee shall have the opportunity to submit a written report outlining their dissenting opinion.

5. The names and signatures of the committee members shall appear as the last item of the report, with the Committee Chair so designated. A copy of the Ad Hoc report with the committee names redacted shall be provided to the Candidate.

8. PEER REVIEW COMPLETION
    a. The Committee Chair shall add the completed recommendation to the Candidate's review file and transmit it to LHR. The Chair shall ensure that all preliminary drafts and notes of the committee are destroyed.

E. ADMINISTRATIVE REVIEW
1. UNIVERSITY LIBRARIAN'S REVIEW AND DECISION
    a. When the reports of CAPA-L and, if applicable, the Ad Hoc Committee, have been submitted to LHR, the file is ready for review by the UL.

    b. Using the criteria provided in the APM (Sections 210-4-e and Section 360-10) or MOU Article 4.C as appropriate, the UL shall review the documentation in each file.

    c. The documentation shall be in sufficient detail to make an objective appraisal possible. Documentation shall include a statement of the Candidate's present rank and salary point.

    d. Documents lacking in detail shall be returned for amplification, or additional documentation shall be requested through LHR. Such documentation shall be added to the review file after the Candidate has been given copies of any non-confidential material or a redacted copy of any confidential material added to the review file. The Candidate and her/his Review Initiator shall be provided an opportunity to submit a written statement in response to the additions to the review file. Checklist B (Appendix II) will be annotated to verify that these steps have been completed.

    e. The UL, in consultation with the AULs who have not previously participated in review of the file or contributed to the file in any way, shall make a preliminary decision after weighing each recommended action in relation to all others.

    f. An AUL shall recuse her/himself from reviewing any file when

        1. s/he has contributed documentation as the Review Initiator during the current review period.

        2. s/he questions her/his ability to make an objective judgment in any particular case.

    g. If there is no significant disagreement between administrative and peer review conclusions, the UL will prepare a letter to the Candidate.

h. In the event that there is disagreement between the UL's decision and the recommendation of CAPA-L on issues related to merit—not including career status, promotion, and/or termination—the UL's decision will stand and the UL will prepare a letter to the Candidate in its final (but unsigned) form for transmittal to CAPA-L for review and comment.

i. In the event that any tentative decision of the UL in cases of career status, promotion, and/or termination is not in agreement with a positive recommendation of CAPA-L and/or the Ad Hoc Committee, the UL shall notify the committee(s) with respect to the assessment. UL shall prepare a letter to the Candidate in its unsigned form for transmittal to CAPA-L and /or the Ad Hoc Committee for review and comment.

1. The UL shall place this letter, and any documentation created by the review committee(s) in this process, in the review file and shall ask for any further information that might suggest a different decision.

2. If the UL's preliminary assessment is to terminate appointment or not to confer career status, the candidate shall be notified of the opportunity to request access to records in the academic review file, subject to Article 6, Personnel Files. The candidate and review initiator shall then have the opportunity to respond in writing and to provide additional information and documentation. (MOU, Articles 5N and 6, as appropriate).

3. Upon review of said further information, if there is a change in the UL's decision, the process will return to step g above.

4. If there is no change in the UL's decision, the UL shall submit the CAPA-L review and the UL's preliminary assessment to the VPAP for evaluation and decision.

5. The VPAP shall review the complete file, including the UL's preliminary assessment and the CAPA-L report(s) and any further information that CAPA-L has provided in response to the UL's preliminary assessment. The VPAP shall then notify Library HR of the final decision. LHR will notify the UL and CAPA-L of the final decision.

F. NOTIFICATION OF FINAL DECISION (MOU Article 5.P as appropriate)

1. CANDIDATE IS NOTIFIED OF DECISION

a. When the personnel action has been decided by the UL or VPAP, where applicable, and the UL's final (but unsigned) letter has been reviewed and commented upon by CAPA-L, the UL's signed letter, which contains her/his decision and the reasons for that decision, shall be sent to the Candidate. At a minimum, the letter shall inform the Candidate of the personnel action received, his/her new salary, and the number of salary

points awarded. The letter shall summarize the consensus of those who participated in the review.

b. The CAPA-L or Ad Hoc Committee report, with the names of committee members redacted, shall also be included with the UL's letter to the Candidate.

c. A copy of the UL's final letter shall be submitted to the Candidate's Review Initiator.

d. LHR shall place a copy of the UL's final letter in the Candidate's file and shall make it available to any member of CAPA-L or the Ad Hoc Committee involved in the review, by appointment with LHR.

G. APPEALS (APM 140, MOU Articles 5.Q and 24, 25, or 26, as appropriate)

1. 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 Article 5.Q, the arbitrator shall not have the authority to review any decision to:

2. Initiate an academic review

3. Award or deny a merit increase;

4. Award or deny a promotion;

5. Award or withhold career status;

6. Terminate a librarian following academic review.

7. 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.

H. FILE COMPLETION

1. The original file is retained by LHR in the confidential portion of each Librarian's personnel file.

2. Once a final decision has been made on completed files, LHR will coordinate with Library Planning and Budget to initiate processing for payroll according to instructions received from the appropriate campus offices.

V. REVIEW PROCEDURES FOR APPOINTMENTS

A. DEFINITIONS (APM 360-8.b and 360-8.f)

1. An appointment occurs when an individual is employed in one of the three ranks in the Librarian Series and when the individual's immediate previous status was:

a. Not in the employ of the University; or

b. In the employ of the University, but not with a title in this series

c. In the employ of the University, in the Librarian Series, but at another campus.

B. CRITERIA FOR APPOINTMENT

1. Refer to sections 360-10 and 210-4-e of the APM or Article 4 of the UC-AFT MOU, as appropriate.

C. POLICY

1. The Library shall conduct its own recruitment program for Librarians using AP Recruit. Applicants will be considered on the basis of their experience, qualifications, skills, education and recommendations of previous employers evaluated within the context of the stated criteria and the University's ongoing academic personnel programs (for example, Affirmative Action). See also the statement of Nondiscrimination in the UC-AFT MOU article 2, as appropriate.

D. RECRUITMENT

1. ANNOUNCEMENT

a. When a Potential Career or Career Status position in the Librarian Series is to be filled through open recruitment, the Recommending Officer (Review Initiator or AUL as appropriate) and LHR shall prepare the position announcement.

b. The line AUL shall submit the position announcement to Library Cabinet for approval.

c. The Recommending Officer and LHR shall determine recruitment procedures consistent with University recruitment policies. LHR will prepare the Equal Employment and Affirmative Action Recruitment Plan for the UL's review and approval in AP Recruit.

d. Available positions shall be announced at the national level in sources selected to attract a wide and diverse pool of qualified Candidates.

2. SEARCH

a. A Search Committee shall be created comprising an Affirmative Action Compliance Liaison and others as appropriate, reporting to the Recommending Officer.

b. The Search Committee shall conduct pre-screening and select Candidates to be interviewed.

E. REFERENCE CHECKS

1. The Candidate shall identify references to be contacted in AP Recruit with her/his completed application.

2. LHR shall solicit references for Candidates under consideration on the shortlist.

3. When telephone reference checks are conducted, LHR will coordinate the solicitation of references for Candidates under consideration.

F. INTERVIEW

1. The Search Committee and others as appropriate shall identify the appropriate persons and groups to interview the applicants.

2. LHR and the Search Committee Chair shall prepare and distribute interview schedules and redacted copies of resumes to remove personal information, to all those listed on the interview schedule.

3. LHR and a representative of CAPA-L provide information to the candidate about peer review, benefits, etc.

4. The Search Committee shall assess the qualifications of each applicant in relation to the criteria in sections 360-10 and 210-4 of the APM or article 4.B of the UC-AFT MOU, as appropriate, and the requirements of the position and the Chair shall prepare a report for the applicant's file which is submitted to the Recommending Officer (Review Initiator or AUL as appropriate). The report will provide a thorough assessment of the applicant's qualifications and shall include a recommendation for hire. Additionally, the Recommending Officer may request each individual or group who meets with the Candidates to submit a statement that ranks the interviewed Candidates in relation to one another and outlines the reasons for the ranking.

G. INTERNAL CANDIDATES

1. Librarians already employed in the Librarian Series at UC Riverside may apply for advertised positions and will be treated exactly as all other applicants for the position, except that the Recommending Officer will not provide a letter of reference or other documents for the applicant's file.

2. Interviews with Internal Candidates shall be scheduled to occur before the interviews with outside Candidates to prevent the appearance of undue advantage for the internal candidates.

3. If the internal Candidate would normally participate in the interviews because of her/his current position, s/he must recuse herself/himself from the recruitment after their application has been submitted and prior to the first interview.

H. RECOMMENDATION FOR APPOINTMENT

1. NOMINATING TOP CANDIDATE

    a. The Recommending Officer will review the file, provide written assessment of viable Candidate(s') strengths and weaknesses, in collaboration with the line AUL (if not the Recommending Officer), and, as requested, provide ranked list of candidates to the UL.

    b. The AUL shall provide the UL with the name(s) of viable Candidate(s) identified and reason(s) for selection. The UL decides to which Candidate to offer the position; and the decision is communicated in writing to LHR.

    c. LHR will notify viable Candidate(s) that they are still under consideration and ascertain their continued interest. LHR will provide feedback to the UL, AUL, and Review Initiator.

    d. The UL shall notify LHR, the AUL, and/or Recommending Officer of consensus to prepare the top candidates appointment file for CAPA-L's review.

I. RECOMMENDING OFFICER'S RECOMMENDATION FOR APPOINTMENT

1. After reviewing the draft with the AUL (if the Recommending Officer is not the AUL), the Recommending Officer shall write a letter of recommendation and LHR will complete the steps in AP Recruit.

2. LHR shall provide CAPA-L with advance notice of the upcoming appointment file.

3. LHR will forward the appointment file to CAPA-L upon receipt of the Recommending Officer's recommendation letter.

J. CAPA-L REVIEW

1. CAPA-L shall review the appointment file and prepare a recommendation report for the UL within three working days of CAPA-L's receipt of the file. CAPA-L's recommendation will only include a recommendation for the Candidate's rank and title code.]

2. CAPA-L shall submit the recommendation report to LHR.

3. If CAPA-L requires additional information, a formal written request will be sent to LHR. CAPA-L can make one formal request per review cycle per Candidate which then resets the three-day review period.

K. APPOINTMENT APPROVAL

1. LHR shall convene a meeting with the Recommending Officer and/or line AUL to reach agreement on rank and salary point, to discuss employment issues (e.g. visa needs), and to consider alternative or contingency strategies. LHR shall review the proposed offer with the UL.

2. Once CAPA-L's report is received, LHR shall complete the appointment file by adding CAPA-L's report and reviewing the file to make sure the Recommending Officer's recommendation, recommended appointment level and salary, reference letters, comments, application packet, etc., are included for the UL's review.

3. The UL shall notify the AUL and/or Recommending Officer, LHR, and CAPA-L if the appointment is approved.

L. FORMAL OFFER

1. LHR will extend an informal offer to the Candidate, and discuss proposed rank, salary point, start date, removal needs, and other applicable employment issues.

2. LHR shall consult with the UL if an exception requires approval from the VPAP.

3. LHR drafts and finalizes the formal offer letter with the above information for the UL's review and signature. The offer letter must specify return to LHR and indicate a response date.

4. LHR will upload the Candidate's written acceptance into AP Recruit.

M. APPOINTMENT FILE COMPLETION

1. LHR shall inform CAPA-L and the Search Committee of the final outcome.

2. LHR will coordinate a public announcement only after the Candidate has formally accepted the offer in writing.

3. The Library Purchasing Agent shall organize moving arrangements in accordance with university policy and procedure, and directly with the Candidate.

N. TEMPORARY APPOINTMENTS
(APM 360-20.a and UC-AFT MOU Article 18, as appropriate)

1. DEFINITIONS

a. A temporary appointment is an appointment in the Librarian Series that has a specified date of termination.

b. A given temporary appointment shall be for two (2) years or less, unless supported by external funds. Externally funded appointments may be continued for one (1) additional year. Positions funded by extramural funds may be continued for the duration of the fund. When the length of the appointment permits, the librarian shall be reviewed following the same procedures and review cycles set forth for review of potential career or career appointees.

2. TEMPORARY APPOINTMENT RECRUITMENT PROCEDURES

a. Recruitment procedures as described in Section VI.D apply to temporary appointments, with the following exceptions:

1. Recruitment procedures apply to temporary positions following Guideline Two Searches. A Guideline Two Recruitment is required for temporary appointments which are full time for one year or more, with titles in the Librarian Series.

2. Normally, interviews will be more abbreviated than for Potential Career/Career Status positions.

3. TEMPORARY APPOINTMENT PERFORMANCE REVIEWS

   a. Temporary appointees are expected to perform their duties with the same proficiency as Potential Career or Career Status appointees.

   b. When the length of appointment permits, temporary appointees are reviewed following the same procedures and review cycles set forth for reviews of Potential Career/Career Status appointees.

VI. GROUPS OF APPENDICES

Group I. Documents and Forms in Initial Packet Furnished to Review Initiators (RI) and Candidates (C) by LHR

1. Memorandum to Review Initiators and Candidates for Current Year Academic Reviews (RI, C)
2. Academic Review Actions Calendar (RI, C)
3. Letter of Evaluation Request Forms:
    a. Candidate's Request (C)
    b. Review Initiator's Requests (RI)
4. Copy of Candidate's most recent *Academic Biography* form on file in LHR (C)
5. *Academic Review Action Summary*, with 'Present Status' portion completed (C)
6. *Checklist A* (Librarian Series) (C)
7. Cover Sheets:
    a. Candidate's Performance Review Cover Sheet (C)
    b. Review Initiator's Evaluation Cover Sheet (RI)
8. Range of Options for Current Review Cycle (RI, C)

Group II. Documents in Completed File original retained in LHR

1. Documents Furnished by CANDIDATE:
    a. Names of person(s) from whom Letters of Evaluation are suggested, if any, on *Candidate's Letter of Evaluation Form.* Note: Letters are recommended only for reviews with a requested action of promotion, greater than standard merit increase, or career status. This form also may be used to request optional secondary evaluators. (Signatory: C)
    b. Updated Statement of Primary Responsibilities (Signatories: C, RI)
    c. Updated *Academic Biography* Form (Signatory: C)
    d. Candidate's Statement of Professional Achievement (Signatories: C, RI)

2. Documents Furnished by REVIEW INITIATOR:

    a. Names of persons from whom Letters of Evaluation are requested, if any, on Review Initiator's *Letter of Evaluation to be Requested for Review File* Form. Note: Letters are recommended only for reviews for promotion, greater than standard merit increase, or career status. (Signatory: RI)

    b. Organization Chart (required)

    c. Secondary Evaluation(s) (if applicable) Procurement of a secondary evaluation will be the responsibility of the Review Initiator. (Signatories: C, Secondary Evaluator)

    d. Review Initiator's Evaluation (Signatories: C, RI)

    e. Review Initiator's Recommendation for Personnel Action as entered in the 'Action Proposed' portion of *Academic Review Action Summary* (Signatory: RI)

    f. *Checklist A* (Signatories: C, RI)

3. Documents Added to file by LIBRARY HUMAN RESOURCES:

    a. Range of Options for Current Academic Review Cycle

    b. Copies of Letters soliciting Letters of Evaluation

    c. All Letters of Evaluation received (originals) in response to request(s). Note: Not to be shown to Candidate except in redacted form.

    d. Copy of *Request Form*, if any, soliciting additional documentation

    e. Additional documentation received in response to requests

    f. Redacted copies of any additional confidential documentation added to file after program level review Checklist B (*Appendix II).* (Librarian Series), and Appendix XII, signed and dated, if any additional documentation was added

4. Documents Furnished by AD HOC REVIEW COMMITTEE:

    a. *Request Form*, if any, to LHR asking that additional documentation be requested

b. Ad Hoc Committee Report Form

5. Documents Furnished by CAPA-L:

   a. *Request Form*, if any, to LHR asking that additional documentation be requested

   b. *CAPA-L Committee Report* (Note: CAPA-L's recommendation to approve, disapprove, or modify the Review Initiator's recommendation is also entered on the *Academic Review Action Summary* form.)

6. Documents Furnished by UNIVERSITY LIBRARIAN:

   a. UL's unsigned letter to the Candidate outlining the reasons behind the UL's preliminary assessment asking for further information that might support a different decision in cases where the tentative decision is contrary to the recommendation of the Ad Hoc Committee and/or CAPA-L (if applicable)

   b. The Committee(s)' response to the UL's tentative decision (if applicable)

   c. Copy of UL's Final Decision letter (UL's signature and final decision to approve, disapprove, or modify the Review Initiator's recommendation is also entered on the *Academic Review Action Summary* form.)

Group III. Documents and Forms Used in Review Process but Not Included in Completed File

1. Instructions to members of Ad Hoc Committees

Group IV. Documents Not Included in the Review File

1. Personal, financial, medical, or court records or records of political activity

2. Other personal information not relevant to the evaluation of professional performance

3. Letters of Evaluation, unless requested by LHR, by the Review Initiator, or by the Ad Hoc Committee or CAPA-L. Unsolicited letters received during the review period regarding the Candidate's performance may be placed in the file by the Candidate, the Review Initiator or a member of the Library Administrative Team, but must be included as part of the initial review file. The Candidate will see these letters as part of the Review Initiator's review.

VII. APPENDICES

- APPENDIX I – CHECKLIST A: Certification Checklist for Review of Librarians
- APPENDIX II – CHECKLIST B: Certification Checklist for Additional Information added to the file
- APPENDIX III – Range of Options for Current Academic Review Cycle
- APPENDIX IV – Statement of Professional Achievement (SOPA)
- APPENDIX V – Review Initiator's Evaluation Cover Form
- APPENDIX VI – UC Policy on Access to Academic Personnel Records
- APPENDIX VII – Guidelines and Expectations for Merit Increases
- APPENDIX VIII – Ad Hoc Committee Report
- APPENDIX IX – CAPA-L Committee Report
- APPENDIX X – Academic Review Action Summary
- APPENDIX XI – Career Summary Form
- APPENDIX XII – Response to Materials added to File (can be used with Checklist B)
- APPENDIX XIII – Statement of Primary Responsibility (SOPR)
- APPENDIX XIV – Candidate's Confidential Letter of Evaluation Request Form
- APPENDIX XV – Review Initiator's Request for Letters of Evaluation
- APPENDIX XVI – Review Initiator's Request for Secondary Evaluator Form

APPENDIX I—CHECKLIST A: CERTIFICATION CHECKLIST FOR REVIEW OF LIBRARIANS

NAME OF CANDIDATE: _____ DEPARTMENT: _____

Candidate initials and dates the below-listed items to certify that these obligations have been fulfilled in this current academic review.

Before the academic review file was assembled:

___1. The Candidate was notified of the impending action.
___2. The Candidate was informed about the entire review process and was made aware of APM 210-4 and 360, the CALL or, as applicable, the MOU.
___3. The Candidate was given an opportunity to ask questions.
___4. The Candidate was asked to provide the following information:
- ___a. Academic Review Action Summary Form (required)
- ___b. Candidate's Letters of Evaluation Request Form (required)
- ___c. Candidate's Statement of Professional Achievement (required)
- ___d. Current Statement of Primary Responsibilities (required)
- ___e. Previous Statement of Primary Responsibilities (as applicable) ____ number
- ___f. Current Biography for Academic Personnel Form (required)
- ___g. Candidate's Career Summary (as applicable)
- ___h. Other information that the Candidate wishes to have included in the review file (optional)

Before the file was submitted to LHR:

___5 The Candidate was provided the opportunity to discuss, inspect, and submit a written response to all documents to be included in the file, other than confidential documents.
- ___a. Review Initiator Evaluation (required)
- ___b. Secondary Evaluation(s) (required if applicable)
- ___ c. The AUL's Comments
- ___ d. Appendix XII: Candidate's written statement(s), if any, included in file.

___6 The Candidate was given a redacted copy of each solicited letter included in the file.

CERTIFIED BY:

Signature of Candidate	Date	Signature of Review Initiator	Date

_____

APPENDIX II—CHECKLIST B: CERTIFICATION CHECKLIST FOR ADDITIONAL INFORMATION ADDED TO THE FILE

NAME OF CANDIDATE _____

Candidate initials and dates the items listed below to certify that these obligations have been fulfilled with respect to information and material added to the current personnel review file of the above-named Candidate.

Initial	Date		
_____	_____	1.	The Candidate has requested in writing and been provided redacted copies of new confidential material.
_____	_____	2.	The Candidate has been given the opportunity to make a written statement for inclusion in the personnel review file.
_____	_____	3.	The written statement, if any, is attached.
_____	_____	4.	Review Initiator's comments on the new material are attached.
_____	_____	5.	Candidate has been shown any new material submitted by the Review Initiator.
_____	_____	6.	Candidate has been shown any new material submitted by a secondary evaluator if it relates to the activity being evaluated.

CERTIFIED BY:

_____ _____
Signature of Candidate Date

_____ _____
Signature of Review Initiator Date

RANGE OF OPTIONS FOR CURRENT ACADEMIC REVIEW CYCLE

Date Submitted:
Period Covered:

Name:
Academic Title:
Functional Title (s)
Supervisor:

Note: The following are the range of options possible for this review period. They are also listed on the Academic Review Action Summary, which the Review Initiator will mark.

- Merit Increase
- Promotion
- Career Status
- No Action
- Termination

APPENDIX IV – STATEMENT OF PROFESSIONAL ACHIEVEMENT (SOPA)

Statement of Professional Achievement

Date Submitted:
Period Covered:

Name:
Academic Title:
Functional Title (s)
Supervisor:

_____ _____
Signature of Candidate Date

_____ _____
Signature of Review Initiator Date

APPENDIX V – REVIEW INITIATOR'S EVALUATION COVER FORM

REVIEW INITIATOR'S EVALUATION COVER SHEET

Date Submitted:
Period Covered:

Name:
Academic Title:
Functional Title (s)
Supervisor:

_____ _____
Signature of Candidate Date

_____ _____
Signature of Review Initiator Date

APPENDIX VI—UC POLICY ON ACCESS TO ACADEMIC PERSONNEL RECORDS

a. The following University of California, Riverside governing documents include some information regarding access to academic personal records:

    1) MOU Article 6: Personnel Files

    2) MOU Article 5.G, J-N: Personnel Review Action Procedure

    3) APM 160-20: Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of

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

b. The principle embodied in these documents is that the individual should have the opportunity to be informed about the **content** of the personnel review file, including:

At the program level

1) The right of access to all non-confidential records and to receive automatically a redacted copy of confidential academic review records in the file;

2) The right to comment on the file; and subsequently:

3) The right to have access, upon request, to records in the file as augmented during later stages of the review.

Definitions of documents used in librarians' academic reviews:

1. Non-confidential academic review records:
    a) The written evaluations - RI evaluation and any Secondary Evaluations.

    b) The Review Initiator's recommendation.

    c) The report of CAPA-L and/or the Ad Hoc Committee (with signatures redacted).

    d) The UL's final letter.

    e) The VPAP's final decision on contested files, as applicable

2. Confidential academic review records:
    a. External evaluations: Letters of evaluation received by the University with the understanding that the identity of the author will be held in confidence to the extent permissible by law.

b. Information placed in the personnel review file that provides reference to the scholarly credentials of individuals who have submitted letters of evaluation or their relationship to the Candidate.

Access by the individual

1. All documents other than confidential academic review records shall be accessible to the individual to whom the record pertains. Confidential academic review records shall be accessible, upon request, in **redacted** form. Records shall be redacted as follows:

    a. External referees: The removal of identifying information (including name, title, institutional affiliation and relationship to the Candidate) contained 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 the letter is available to the individual.**

APPENDIX VII—GUIDELINES AND EXPECTATIONS FOR MERIT INCREASES

Evaluation Guidelines and Expectations

I. A Candidate who receives a positive review, which is predicated on a demonstration of high achievement and excellent performance, can expect an action of merit increase. Typically, a positive review results in a merit increase of two salary points on the applicable scale for Assistant and Associate Librarian ranks, and three salary points on the applicable scale at the Librarian rank. An individual who is promoted typically will receive an increase of two salary points above their previous salary at the Assistant Librarian rank, and three points above their previous salary at the Associate Librarian rank. The University is not precluded from granting merit increases of a greater number of points. (Summarized from *MOU Article 13.C.2*).

II. In accordance with *MOU Article 4.C* and *APM 360-10*, a Candidate for a merit increase or promotion is evaluated on the basis of the first of the following criteria, and, to the extent they are relevant, on one or more of the last three:

A. Professional competence and quality of service within the library;
B. Professional activity outside the library;
C. University and public service; and
D. Research and other creative activity.

III. Reasonable flexibility is exercised in weighing the comparative relevance of these criteria. If a librarian has assumed new responsibilities in Criterion a but not relinquished his/her other responsibilities (often due to staffing reductions), and the increased workload "made it difficult to sustain or expand activities in one or more of the other three criteria," then "Candidates and Review Initiators should explicitly acknowledge constraints inhibiting outside professional activities, and other reviewers should demonstrate requisite flexibility when evaluating professional activities beyond the primary assignment." Everyone involved in the review process should also "give due weight to accomplishments that involved mastering new and enlarged responsibilities in the primary assignment and in system-wide activities."[1]

IV. Further, the APM and MOU specify guidance relevant to Candidates and Review Initiators:

APM 210-4 e (3)
[Some portions of the APM text have been removed for brevity (…), and other text made **bold** to highlight relevant passages. See also equivalent text in MOU Article 4.C.]

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

(a) Professional Competence and Quality of Service Within the Library — Although contribution in each of the following areas will vary considerably from person to person depending on each person's

[1] Language excerpted from UC Berkeley's 2012 document "Peer Review Standards in a Time of Increased Workload."

primary functions as a librarian,…., **librarians should be judged on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.** Evidence of effective service may include the opinions of professional colleagues, particularly those who work closely or continuously with the appointee; the opinions of faculty members, students, or other members of the University community

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

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

(d) Research and Other Creative Activity — Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. It is therefore appropriate to take it into account in measuring a librarian's professional development. **The evaluation of such research or other creative activity should be qualitative and not merely quantitative and should be made in comparison with the activity and quality appropriate to the Candidate's specialty. Note should be taken of continued and effective endeavor.** Reports, handbooks, manuals, and similar documents may be considered under this heading only if they present new ideas or incorporate research; otherwise, they should be regarded solely as evidence of professional service.[2]

2. When applying the above guidelines, the Review Initiator should make the case for the Candidate by discussing specific evidence that speaks to superior performance, including such parameters as:

[2] Source: http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-210.pdf, pp 21-22http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-210.pdf, pp 21-22http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-210.pdf, pp 21-22http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-210.pdf, pp 21-22

1) Effectiveness
2) Quality
3) Visibility
4) Continued growth
5) Measureable impact(s)
6) Productivity
7) Innovation

3. These parameters are merely provided here as examples of the dimensions of performance that should be taken into account. **Evaluators are not limited to only these features, nor are these parameters required.**

Guidelines for Recommendation of Additional Salary Points

1) When a Candidate receives a positive review, his/her recommended merit increase may include additional salary points beyond the minimum levels described in the MOU (Articles 4.E.1.b and 13.C.2.d).

2) The recommendation of additional salary points is directly related to the degree of achievement greater than expected for normal advancement and should be reserved only for cases of unusual performance or exceptional contribution.

3) Sections of the APM discuss the possibility of accelerated advancement. While the UC Riverside Library no longer uses the term "acceleration," the description in these documents of how to handle an accelerated action may provide some guidance as to when a recommendation of additional salary points is warranted. [Some portions have been removed for brevity (…), and other text made **bold** to stress importance.]

   a. *APM 210-4.d(2)*
      Assessment of Evidence: The review committee shall assess the adequacy of evidence submitted. If ... there is evidence of **unusual achievement and exceptional promise of continued growth**, the committee should not hesitate to endorse or propose a recommendation for accelerated advancement.

   b. *APM 210-4.e(2)*
      Accelerated promotion is possible **if achievement has been exceptional**. An appointee will be eligible for promotion only if there are **demonstrated superior professional skills and achievement**.

4) A recommendation of additional salary points should provide detail that articulates clearly the Candidate's extraordinary contributions, unusual achievement and/or exceptional promise of continued growth. Exceptional achievement should be evident in all aspects that would be considered for a normal merit increase, including *Criteria b*, *c*, or *d* as appropriate. As with standard merit reviews, reasonable flexibility is to be exercised in weighing the comparative relevance of these criteria.

APPENDIX VIII—AD HOC COMMITTEE REPORT

NAME OF PERSON REVIEWED: _____

TYPE OF ACTION RECOMMENDED BY THE REVIEW INITIATOR:

___ Merit increase ___ Promotion ___ Career Status ___ No action ___ Termination

POINTS: ☐ ☐ ☐ ☐ ☐ ☐ ☐
0 1 2 3 4 5 6

CURRENT RANK/SALARY OF REVIEWEE: _____

PROPOSED RANK/SALARY OF REVIEWEE: _____

_____

_____

We, the Ad Hoc Committee members have evaluated the performance review file of the above-named person and unanimously:

____ Agree ____ Disagree with the recommendation of the Review Initiator.

____ The Ad Hoc Committee did not come to unanimous agreement (See attached statements).

Comments (required):

_____

_____

_____

Ad Hoc Committee Chair

_____

Print Name Signature Date

Ad Hoc Committee Member

_____

Print Name Signature Date

Ad Hoc Committee Member

_____

Print Name Signature Date

APPENDIX IX—CAPA-L COMMITTEE REPORT

NAME OF PERSON REVIEWED: _____

TYPE OF ACTION RECOMMENDED BY THE REVIEW INITIATOR:

___ Merit increase ___ Promotion ___ Career Status ___ No action ___ Termination

POINTS: ☐ ☐ ☐ ☐ ☐ ☐ ☐
0 1 2 3 4 5 6

CURRENT RANK/SALARY OF REVIEWEE: _____

PROPOSED RANK/SALARY OF REVIEWEE: _____

We, the CAPA-L members have evaluated the performance review file of the above-named person and unanimously:

____ Agree ____ Disagree with the recommendation of the Review Initiator, and

____ Agree ____ Disagree with the recommendation of the Ad Hoc (if applicable).

____ CAPA-L did not come to unanimous agreement (See attached statements).

Comments (required):

_____

_____

CAPA-L Chair

_____

Print Name Signature Date

CAPA-L Member

_____

Print Name Signature Date

CAPA-L Member

_____

Print Name Signature Date

APPENDIX X—ACADEMIC REVIEW ACTION SUMMARY

ACTION PROPOSED BY CANDIDATE								**ACTION PROPOSED by REVIEW INITIATOR**							
CANDIDATE DATA:															
Name of Candidate								☐	Merit Increase						
Present Status								☐	Promotion						
Present Rank:								☐	Career Status						
Present Salary								☐	No Action						
								☐	Termination						
Standard Salary Points awarded for merit increase: 2 points for Asst. and Assoc. Librarian, 3 points for Librarian								*Standard Salary Points awarded for merit increase: 2 points for Asst. and Assoc. Librarian, 3 points for Librarian.*							
POINTS	☐	☐	☐	☐	☐	☐		POINTS:	☐	☐	☐	☐	☐	☐	
	1	2	3	4	5	6		☐ No Points	1	2	3	4	5	6	
Requested salary								Proposed Salary:							
Requested Action	☐ Merit Increase							Effective Date							
	☐ Promotion														
	☐ Career Status														
	☐ Associate Librarian														
	☐ Librarian							Review Initiator's Signature						Date	

CONCURRENCE OF REVIEW LEVELS WITH REVIEW INITIATOR'S PROPOSED ACTION

Review Level	**Agree**	**Disagree**	**Note Recommended Action**	**Date**
CAPA-L				
Ad Hoc				

Decision	**Recommended Rank**	**Points**	**Salary**	**Increase**
University Librarian	__ Assistant Librarian __ Associate Librarian __ Librarian __ Career Status			

APPENDIX XI—CAREER SUMMARY FORM

Date Submitted:
Period Covered:

Name:
Academic Title:
Functional Title (s)
Supervisor:

APPENDIX XII – RESPONSE TO MATERIALS ADDED TO FILE
(Can be used in conjunction with Checklist B)

Date Submitted:
Period Covered:

Name:
Academic Title:
Functional Title (s)
Supervisor:

The following items have been added to the current personnel review file of the above-named Candidate.

_____

_____

_____

_____

The following is my response with respect to information or materials added to my current personnel review file.

_____

_____

_____

_____

_____

_____

_____

_____

_____ _____
Candidate Signature Date

APPENDIX XIII - STATEMENT OF PRIMARY RESPONSIBILITIES (SOPR)

Date Submitted:
Period Covered:

Name:
Academic Title:
Functional Title (s)
Supervisor:

1) General Statement of job assignments and responsibilities within the Library

2) Library administration and management

3) Standing committees or task forces undertaken as part of job assignments (if any)

4) Long-term special projects, on-going responsibilities, or other assignments not mentioned above.

_____ _____
Signature of Candidate Date

_____ _____
Signature of Review Initiator Date

APPENDIX XIV – CANDIDATE'S CONFIDENTIAL LETTERS OF EVALUATION REQUEST FORM)

CONFIDENTIAL:

TO: _____
Review Initiator

FROM: _____
Candidate

RE: Letter of Evaluation for Review File

Action Requested: _____
(Merit Increase, Promotion, Career Status, Associate Librarian, Librarian)

Note: Letters of evaluation are normally requested only in reviews for promotion, career status, or termination. This form is to be included in the review file for this period. **Both portions must be signed by the candidate.**

Candidate:

I request letters of evaluation for my review file from persons selected from the following list (names listed in priority order and addresses attached for off-campus persons.)

Name/Address Activities to be Addressed

1._____

2._____

3 _____

4 _____

5. _____

☐ NONE WANTED

_____
Candidate's Signature Date

CANDIDATE'S CONFIDENTIAL LETTERS OF EVALUATION REQUEST FORM – PAGE 2

In my view, for reasons set forth here, the following person(s) might not objectively evaluate my qualifications of performance:

Name	Reason(s)
_____	_____
_____	_____
_____	_____
	_____
	_____

☐ NONE LISTED

_____

Candidate's Signature Date

APPENDIX XV – REVIEW INITIATOR'S REQUEST FOR LETTERS OF EVALUATION

CONFIDENTIAL:

TO: LIBRARY HUMAN RESOURCES

FROM: _____
Review Initiator

RE: Letter of Evaluation for _____
(Candidate)

Action Requested: _____
(Merit Increase, Promotion, Career Status, Associate Librarian, Librarian)

Note: Letters of evaluation are normally requested only in reviews for promotion, career status, or termination. This form is to be included in the review file for this period and must be signed by the Review Initiator and Assistant/Associate University Librarian. This form is a confidential document and may not be shown to the candidate. The names of persons from whom letters of reference have been requested may not be revealed to the candidate.

Please initial and Date
(Letters requested must include a reasonable number of names requested by the candidate)

RI	AUL	**Letters Requested From**:
_____	_____	Name: _____ Activity: _____ Address: _____
RI	AUL	
_____	_____	Name: _____ Activity: _____ Address: _____
RI	AUL	
_____	_____	Name: _____ Activity: _____ Address: _____
RI	AUL	
_____	_____	Name: _____ Activity: _____ Address: _____
RI	AUL	
_____	_____	Name: _____ Activity: _____ Address: _____

REVIEW INITIATOR'S REQUEST FOR LETTERS OF EVALUATION– PAGE 2

Please initial and Date
(Letters requested must include a reasonable number of names requested by the candidate)

RI	AUL	**Letters Requested From**:
_____	_____	Name: _____ Activity: _____ Address: _____
RI	AUL	
_____	_____	Name: _____ Activity: _____ Address: _____

☐ NONE WANTED

_____
Review Initiator's Signature Date

☐ NONE WANTED

_____
AUL's Signature Date

APPENDIX XVI – REVIEW INITIATOR'S REQUEST FOR SECONDARY EVALUATOR FORM

TO: LIBRARY HUMAN RESOURCES

FROM: _____
Review Initiator

RE: Secondary Evaluation request for _____
(Candidate)

Action Requested: _____
(Merit Increase, Promotion, Career Status, Associate Librarian, Librarian)

Note: A secondary evaluation is usually for those librarians who have additional job responsibilities or functions outside of their home department under the supervision of a designated individual other than the primary Review Initiator. This form is to be included in the review file for this period, and must be signed by the Review Initiator.

Secondary Evaluator Name: _____
Subject Specialist Area: _____

Secondary Evaluator Name: _____
Subject Specialist Area: _____

Secondary Evaluator Name: _____
Subject Specialist Area: _____

Secondary Evaluator Name: _____
Subject Specialist Area: _____

Secondary Evaluator Name: _____
Subject Specialist Area: _____

☐ NONE WANTED

_____
Review Initiator's Signature Date