

**ARTICLE 4**  
**DEFINITION, CRITERIA, TERMS OF SERVICE FOR APPOINTMENT, MERIT**  
**INCREASE, PROMOTION, AND CAREER STATUS**  
**(May 29, 2014—Final)**

**A. DEFINITION**

The Librarian Series is used for academic appointees who provide professional services in the University libraries in support of the University's educational, research, and public service functions. These services include:

1. Selection and development of resources;
2. Bibliographic control of collections and their organization for use;
3. Reference and advisory services;
4. Development and application of specialized information systems;
5. Library non-managerial administrative duties as defined by HEERA; and

**HEERA is the State of California's Higher Education Employer-Employee Relations Act. For additional information see:**  
[www.perb.ca.gov/laws/heera.aspx](http://www.perb.ca.gov/laws/heera.aspx)

6. Research where necessary or desirable in relation to the foregoing.

**B. CRITERIA FOR APPOINTMENT**

1. A candidate for appointment shall have a professional background of competence, knowledge, and experience to assure suitability for appointment to this series. Such background will normally include a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.
  - a. Selection of an individual to be appointed to the rank of Assistant Librarian is based upon the requirements of the position with due attention to the candidate's demonstrated competence, knowledge and experience. A person appointed as Assistant Librarian without previous professional library experience should normally be appointed at Step 1 or the first salary point. A person who has had previous experience relevant to the position may be appointed to one of the higher salary steps/points in this rank, depending on the candidate's aptitude, the extent of prior experience, and/or the requirements of the position.

- b. A candidate with extensive previous relevant experience and superior qualifications may be appointed to one of the two higher ranks in the series.

### **C. CRITERIA FOR MERIT INCREASE, PROMOTION AND CAREER STATUS ACTIONS**

1. At the time of original appointment to a title in this series, each appointee shall be informed that continuation, advancement, or promotion is justified only by demonstrated superior professional skills and achievement. Promotion may also depend upon increased responsibility as well as growing competence and/or contribution in the candidate's position. This is assessed through objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for continuation or advancement, there is no obligation on the part of the University to continue, advance or promote. Promotion may also be tied to position change. The assumption of administrative responsibilities is not a necessary condition for promotion.
2. In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of the criteria listed below. A candidate for merit increase or promotion in this series shall be evaluated on the basis of the first of the following criteria, and, to the extent they are relevant to the candidate's career path, on at least one or more of the last three:
  - a. Professional Competence and Quality of Service within the Library  
Although contribution in each of the following areas will vary considerably from person to person depending on each person's primary functions as a librarian, performance and potential shall be reviewed and evaluated in any or all of the six major areas of librarianship

#### **Refers to Article 4.A.1-6.**

Additionally, librarians should be evaluated on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.

Evidence of effective service may include, but is not limited to, the opinions of faculty members, students, or other members of the University community as to the quality of a collection developed, for example, or the technical or public service provided by the candidate; the opinions of professional colleagues, particularly those who work closely or continuously with the appointee; the opinions of librarians outside the University who function in the same specialty as the candidate; the effectiveness of the techniques applied or

procedures developed by the candidate; and relevant additional educational achievement, including programs of advanced study or courses taken toward improvement of language or subject knowledge.

b. Professional Activity outside the Library

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

c. University and Public Service

Evaluation of a candidate's University and Public Service should take into account University-oriented activities including but not limited to the following: membership or chairmanship of administrative committees appointed by the Chancellor, University Librarian, or other university administrative officers; and memberships or chairmanship of other University committees, including those of student organizations and of departments and schools other than the Library such as service on thesis or dissertation portfolio committees. Public service includes professional librarian services to the community, state, and nation.

d. Research or Other Creative Activity

Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. Librarian engagement in academic research enhances their ability to relate their functions to the more general goals of the university. It is therefore appropriate to take research into account in measuring a librarian's professional development. The evaluation of such research or other creative activity should be qualitative and not merely quantitative and should be made in comparison with the activity and quality appropriate to the candidate's areas of expertise. Note should be taken of continued and effective endeavor. This may include authoring, editing, reviewing or compiling books, articles, reports, handbooks, manuals, and/or similar products which are submitted or published during the period under review.

## **D. TERMS OF SERVICE**

1. An appointment in this series may be an explicitly temporary appointment, a potential career appointment, or a career appointment, depending on the circumstances as described below. However, an initial appointment to a title at any rank in this series may only be a temporary appointment or a potential career appointment. The status of career appointment is achieved only after a trial

period in potential career status. Under an exceptional circumstance, such as individuals who have already acquired career status or the equivalent, the Chancellor or Chancellor's designee may grant career status upon hire.

2. A potential career appointment is distinguished from an explicitly temporary appointment by the fact that no definite date of termination of the appointment is specified and by the fact that the appointee is regarded as one who may qualify, after a suitable trial period and careful review, for a continuing career appointment.
3. Potential career appointees in the librarian series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian.
4. Temporary appointees are eligible for merit increases on the same basis as potential career and career status appointees and judged on the major areas of librarianship. Temporary appointees whose next successful review would move them to another rank must provide a review file prepared in accordance with library and campus guidelines and procedures. Temporary appointees are not eligible for career status.
5. The following principles and procedures shall be applied to appointments, promotions, and terminations of potential career or career appointees.
  - a. An individual holding the rank of Assistant Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for the period of the appointment in this rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and potential for further professional growth. If, after such reviews, the appointee is promoted from the rank of Assistant Librarian to a higher rank in this series, the individual is thereby moved to career status. On the other hand, an Assistant Librarian is subject to termination after due notice if, after thorough review and a reasonable trial period (not more than six years), he or she is not deemed worthy of further advancement.
  - b. An individual whose initial appointment in this series is to the rank of Associate Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for a trial period of not more than four years and not less than two years in the rank, unless promoted sooner to the rank of Librarian. During potential career status, the individual shall be subject to periodic review of performance, professional competence, achievement, and potential for further professional growth. The trial period will be brought to a close with one of three decisions made after appropriate review as specified in campus peer review procedures: place the appointee in career status with the rank of Associate Librarian; promote to the rank of

Librarian with career status; or terminate the appointment after due notice.

- c. An individual who is promoted from career status as an Associate Librarian to the rank of Librarian is thereby continued in career status. However, there is no obligation on the part of the University to promote an Associate Librarian to the rank of Librarian solely on the basis of years of service.
  - d. An individual whose initial appointment in this series is to the rank of Librarian and whose appointment is not explicitly temporary is considered to be a potential career appointee for a trial period of not more than three years and not less than two years in rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and potential for further professional growth. The trial period will be brought to a close with one of two decisions made after appropriate review as specified in campus peer review procedures: place the appointee in career status with the rank of Librarian; or terminate the appointment after due notice.
  - e. An appointee in career status either as an Associate Librarian or as a Librarian, having successfully passed the trial period of service in either one of the ranks or having been promoted to one of these ranks from a lower rank, is expected to continue to perform the duties of the position at a satisfactorily high standard.
  - f. In the event of an intercampus transfer, the following provisions shall apply to the status of potential career and career appointees: the normal period of potential career status shall not be lengthened as a result of an intercampus transfer; career status acquired on one campus shall be continued upon transfer to another campus; and promotion in rank at the time of an intercampus transfer shall confer career status.
  - g. Reviews of career status appointees will be conducted at regular intervals to determine if a merit increase or promotion is indicated. If there is reason to doubt that the career appointee is performing satisfactorily, the appointee will be provided with a written remediation plan to address the perceived deficiency. After a reasonable remediation period, a review of the appointee to coincide with a regularly scheduled review will be conducted. If a review results in an unfavorable evaluation, the appointee may be subject to termination after due notice. Otherwise, the appointment will be continued. If such a review does not coincide with a regularly scheduled review, an off-cycle review will be conducted in accordance with established campus review procedures.
6. The effective dates of an appointment is the initial date of the change for purposes of payroll and record keeping and indicates the first day on which the payment begins for appointments. The effective date of merit increases and promotions as a result of the review process will normally be July 1. The effective

date of the merit increase is subject to the collective bargaining process. Exceptions may be approved by the designated campus official.

7. The following rules of computation will be observed for determining periods of service at ranks and steps/points in this series. These rules of computation do not apply to the University of California Retirement Plan benefit calculation.
  - a. A period of service is calculated from the beginning of the first complete calendar month of service.
  - b. A fiscal-year appointee with an effective date of appointment in the period of July 1 through January 1 will be credited with one year of service at that rank and step/point.
  - c. A fiscal-year appointee with an effective date of appointment in the period January 2 through June 30 will not be credited with service for that year.
  - d. Completed years of service will be counted regardless of the percentage of time of appointment.
  - e. Any break in service because of leave without salary, layoff, or resignation does not invalidate service prior to the interruption.
  - f. Service on any campus of the University of California is included, although for statistical purposes an intercampus transfer is considered an appointment at the new campus.
  - g. Any leave with salary is included as service, but leave without salary is not included for purposes of determining completed years of service.
  - h. For purposes of review, an appointee must have worked at least six (6) months of the period under review. A period under review may be based on a calendar year or other 12-month period or multiple thereof, in accordance with the review cycles defined in Article 4.E.2.a. [E.g., an appointee with an effective date of appointment in the period January 2 - June 30 and a period of review based on the calendar year could be reviewed at the next review period, depending on the rank of appointment.]
  - i. A temporary appointee whose appointment continues into a new fiscal year will be reviewed according to the review cycles defined above and the guidelines established in this Article.

## **E. PERSONNEL REVIEW ACTION DEFINITIONS**

1. Types of Actions:

- a. Career status is achieved upon successful completion of a suitable trial period in potential career status (Article 4.D.5.), except in the exceptional circumstance outlined in Article 4.D.1.
- b. A merit increase is advancement following a positive review.
- c. A promotion is advancement to the next highest rank within this series (i.e., Assistant Librarian to Associate Librarian and Associate Librarian to Librarian).
- d. A no action is:
  - 1) A neutral, non-prejudicial action for those at the Associate Librarian 7 or Librarian 5 – 7 steps, or the top salary point of Associate Librarian or Librarian ranks; or
  - 2) An action intended to address performance issues and the actions required to improve that performance for those at any step/salary point.
- e. Termination ends the employment of a librarian.

## 2. Types of Reviews:

- a. A standard review is one that takes place every two (2) years at the Assistant and Associate rank and every three (3) years at the Librarian rank.
- b. An off-cycle review is one that takes place earlier than the standard review (2 or 3 years). The review file will be prepared in accordance with campus guidelines and procedures.

### **See Article 13.C.3**

- c. A deferred review is the omission of an academic review during a year when a review would normally take place. It is a neutral action that can only be initiated with the written agreement of the candidate.
  - 1) A review may be deferred if prolonged absence or other unusual circumstances have resulted in insufficient evidence to evaluate performance. Reasons for review deferral must be in writing and all proposed deferrals must be submitted for written approval (or denial) to the designated University official. The University's decisions concerning review deferrals shall not be subject to grievance and arbitration.
  - 2) When a deferral takes place, the review is deferred for one year whether a person's review cycle is 2 or 3 years. A request for a deferral for an additional year should be regarded as a new request and thus subject to the same approval process described in E.2.c.1 above. After the

completion of a review which has been deferred, the review cycle will resume anew at the 2- or 3-year interval. Work conducted during the extended review period shall be reviewed as though it were completed in the normal period.

- d. A librarian may not initiate an off-cycle review during the life of this Agreement.

## **F. GRIEVABILITY and ARBITRABILITY**

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