

Professional Librarians Unit (LX) Contract/MOU, effective 10/1/13-9/30/18 Article 5 - Personnel Review Action Procedure	University of California, San Francisco Implementation of LX Contract, Article 5
<p>A. Local campus procedures shall provide for the selection of members of a review committee to advise the designated University official on the merit increases, promotions, and career status actions for members of the Librarian series in this bargaining unit. Appointees holding titles in the series shall comprise the majority of this committee.</p>	<p>The local review committee is designated as the Committee for Appointment, Promotion and Advancement for Librarians (CAPA). CAPA members shall be selected in accordance with the LAUC-SF Bylaws.</p>
<p>B. The performance of each appointee shall be reviewed periodically and the review shall include participation by a review committee. 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. Service at the top of the Associate Librarian or Librarian rank may be of indefinite duration, therefore, an abbreviated review may be conducted every two (2) years for Associate or three (3) years for Librarian.</p>	<p>On-time action is calculated within the UCSF Advance system, the web application used to manage Academic review at UCSF. An overview of on-time actions within the unit is available to the Human Resources (HR) Service Center and Review Initiators.</p>
<p>C. All members of the librarian bargaining unit shall be informed in writing, on a yearly basis, of their eligibility for review.</p>	<p>Notification shall be issued outside of Advance by the HR Service Center in consultation with the Review Initiator and CAPA.</p>
<p>D. The CALL for merit increases, promotions, reviews, and career status actions and the calendar of action due dates for the review process shall be issued and distributed each year to every member of the librarian series. The calendar shall establish deadlines that are designed to ensure that all reviews will be completed and salary actions can be processed to take effect at the start of the next fiscal year. The calendar shall be adhered to by all parties. Deadlines may be extended upon the mutual agreement of the parties.</p>	<p>The CALL shall be issued outside of Advance by the HR Service Center in consultation with the University Librarian and Review Initiator(s).</p>
<p>E. There shall be one (1) designated review initiator for a candidate, who shall make a recommendation for a personnel action which will be included in the review packet. Comments prepared by persons at higher levels of supervision (e.g., department heads, section heads, Assistant/Associate University Librarians) may be included in the academic review file.</p>	<p>The candidate's direct supervisor in the Library is designated as the Review Initiator (RI).</p>
<p>F. The candidate shall be given the opportunity to ask questions and to supply information and evidence to be evaluated in the review according to the calendar established in the CALL.</p>	<p>Evidence provided by the candidate shall be included in the Advance review packet by the HR Service Center.</p>
<p>G. The University may solicit letters evaluating the candidate from qualified persons, including a reasonable number of persons whose names have been provided by the candidate. The decision from whom to solicit letters shall not be subject to grievance and arbitration.</p> <ol style="list-style-type: none"> 1. The candidate may provide in writing to the review initiator or other appropriate person, names of persons who in the view of the candidate, for reasons provided by the candidate, might not objectively evaluate in a letter or on a committee, the candidate's qualifications or performance. Any such statement provided by the candidate shall be included in the academic review file. The University decision regarding the requested disqualification shall not be subject to grievance and arbitration. 2. In soliciting letters of evaluation or following the receipt of an unsolicited letter related to the review, the University may send a statement regarding confidentiality of such letters. 3. All such letters used in the review, even if unsolicited, shall be included in the academic review file. 4. Redacted copies of solicited letters shall be provided to the candidate upon receipt. 5. Unsolicited letters related to the review will be subject to redaction, if received by the University with the understanding that the identity of the author will be held in confidence to the extent permissible by law. Redacted copies of such letters will be provided to the candidate. 	<p>The candidate may input referee contact information directly into the Advance review packet or may send this information to the HR Service Center to be inputted into the Advance review packet on his/her behalf. Referees shall be solicited by the HR Service Center via the Advance system, which provides to referees the required confidentiality statement. The candidate shall have direct access to solicited references submitted via the Advance system during the 7-day candidate review period of the Advance review packet. Both unredacted and redacted versions of unsolicited references shall be uploaded to the Advance review packet by the HR Service Center. Redacted versions of unsolicited references are directly available to the candidate throughout the Advance review process and can be provided to the candidate upon request once the Advance review packet has been completed.</p>

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<p>H. An academic review file shall be prepared for each candidate who is being considered for a merit increase, promotion, or career status action. The review initiator is responsible for preparing the candidate's academic review file, which consists of the review initiator's recommendation together with pertinent additional letters, if any, including those letters solicited from individuals, as provided for above, and required documents.</p> <p>The review initiator's recommendation, without disclosing the identities of sources of confidential documents, shall discuss the proposed personnel action in light of the criteria and substantiated by supporting evidence contained in the file. The recommendation shall provide a comprehensive assessment of the candidate's performance, together with detailed evidence to support the evaluation. The recommendation may also present a report of consultation with appropriate members of the professional library staff and others in a position to evaluate performance and may include any dissenting opinions.</p> <p>The review initiator's final recommendation shall be provided to the candidate, along with all documents to be included in the academic review file. The candidate must be allowed a reasonable period of time, seven (7) consecutive calendar days, to review and respond to the file. By mutual agreement of the parties, this period of time may be extended. The candidate may submit for inclusion in the record a written statement in response to or commenting upon material in the file.</p>	<p>The academic review file shall be prepared in Advance by the HR Service Center in consultation with the RI.</p> <p>The RI's recommendation and report shall be provided in the Chair Letter page of the Advance Review packet.</p> <p>The HR Service Center shall initiate the 7-day candidate review period of the Advance review packet, during which the time the candidate shall have direct access to all of the non-confidential materials, including the report and recommendation of the RI, and to redacted copies of any confidential material included in the Advance review packet. (cf. LX Contract, Article 6 - Personnel Files)</p> <p>The HR Service Center may coordinate with the Office of Academic Affairs (OAA) to reset the 7-day candidate review period should an extension be agreed.</p> <p>The candidate may upload a written statement to the Advance packet during the 7-day review period or may ask that the HR Service Center upload the statement on his/her behalf.</p>
<p>I. Upon completion of the procedures described above, a Certification Statement shall be signed by the candidate certifying that the prescribed procedures have been followed. A Documentation Checklist listing the contents of the academic review file shall also be signed by the candidate. The Certification Statement and the Documentation Checklist shall be included in the academic review file.</p>	<p>The candidate shall sign the Certification Statement and Documentation Checklist and submit offline to the HR Service Center.</p> <p>The HR Service Center shall upload these documents to the Advance review packet.</p>
<p>J. Decisions and recommendations of the review committee(s) shall be based solely upon material within the academic review file.</p>	<p>The OAA shall provide CAPA with direct access to all of the materials included in the Advance review packet.</p>
<p>K. If during subsequent review the academic review file is found to be incomplete or inadequate, additional information may be solicited through the designated University official who will inform the candidate that such new material is being added to the review file. The candidate shall have access to all non-confidential material added to the file. A redacted copy of the confidential documents shall be provided to the candidate. The candidate shall also be provided the opportunity to submit a written statement in response to the additions to the review file, which shall become part of the file. The review shall then be based upon the academic review file as augmented.</p>	<p>The OAA would send official requests for additional information via the Advance system on behalf of the designated University official (University Librarian (UL) and/or Vice Provost for Academic Affairs (VPAA)).</p> <p>The HR Service Center would upload any additional information to the Advance review packet.</p> <p>The candidate would be provided with an additional 7-day review period during which he/she could upload a written statement directly to the Advance review packet.</p>
<p>L. No documentation other than the recommendation(s) of the review committee(s) may be added to the academic review file without annotation of the Certification Statement and the Documentation Checklist.</p>	<p>The candidate would sign the annotated Certification Statement and Documentation Checklist.</p> <p>The HR Service Center would upload the annotated documents to the Advance review packet.</p>

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<p>M. The academic review file shall be referred to a review committee. On the basis of all evidence in the academic review file, including the report from an ad hoc review committee, if any, the review committee will submit a comprehensive report and recommendation for action to the designated University official.</p> <ol style="list-style-type: none"> 1. In conducting its review and arriving at its recommendation concerning a candidate, each review committee shall be guided by the criteria in Article 4. 2. The report of the review committee(s) shall be submitted to the University's deciding officer(s). 3. The deliberations and recommendations of the review committees are to be strictly confidential. 4. A person shall disqualify himself/herself if s/he questions his/her ability to make a fair and objective judgment in a particular case or in the case of a possible conflict of interest. 	<p>The OAA shall provide CAPA members with direct access to all of the materials included in the Advance review packet.</p> <p>CAPA shall submit its recommendation and report to the OAA.</p> <p>The OAA shall upload the CAPA report and recommendation as a confidential document to the Advance review packet.</p> <p>The OAA shall provide the designated University official (UL and/or VPAA) with direct access to all materials included in the Advance review packet, including the recommendation and report of CAPA.</p> <p>Each CAPA member would be responsible for self-disqualification in instances of concern regarding objectivity and/or possible conflict of interest.</p>
<p>N. In cases of promotion, conferral of career status, or recommendation for termination of appointment, if the preliminary assessment of the University's deciding officer is contrary to the recommendations of the review committee, the University's deciding officer shall notify the committee with respect to the assessment. The review committee shall be given the opportunity for further comment before the final decision is made.</p>	<p>A disagreement between CAPA and the UL with regards to recommendation is designated as a contested action.</p> <p>The University's deciding officer in a contested action is designated as the VPAA.</p> <p>A confidential communication from the VPAA would be made available to CAPA in the Advance Review packet by the OAA.</p> <p>Further comment from CAPA would be uploaded to the Advance Review packet by the OAA.</p>
<p>O. If the University's deciding officer'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 7, Personnel Files. The candidate and review initiator shall then have the opportunity to respond in writing and to provide additional information and documentation.</p>	<p>The University's deciding officer for decisions to terminate appointment or not to confer career status is designated as the VPAA.</p> <p>A notification regarding the tentative decision of the VPAA would be sent from the Advance system by the OAA.</p> <p>The RI would be provided with direct access to the Advance review packet and could submit a written response to be included in the Academic review packet by the HR Service Center.</p> <p>The candidate would be provided with an additional 7-day review period during which he/she could upload a written statement directly to the Advance review packet.</p>
<p>P. The designated University official shall inform the candidate in writing of the final administrative decision including the reasons for his/her decision. The candidate shall receive a copy of the review committee and any redacted ad hoc committee reports. Such a statement shall not disclose the identities of persons who were sources of confidential documents.</p>	<p>A notification regarding the final administrative decision of the designated University official (UL and/or VPAA) shall be sent from the Advance system by the OAA.</p> <p>The HR Service Center shall provide the candidate with a redacted copy of the completed Advance review packet.</p>

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<p>Q. An arbitrator shall have the authority to determine whether the University has violated a procedure set forth herein. However, in any grievance alleging a violation of this Article, the arbitrator shall not have the authority to review any decision to:</p> <ol style="list-style-type: none"> 1. Initiate an academic review; 2. Award or deny a merit increase; 3. Award or deny a promotion; 4. Award or withhold career status; 5. Terminate a librarian following academic review. <p>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.</p>	<p>Local procedures shall follow the grievance and arbitration processes as defined in LX Contract, Article 24 - Grievance Procedure and Article 25 - Arbitration.</p> <p>Any additions to the Advance packet subsequent to a determined point of violation would be removed and the review process would be repeated starting from this point.</p>
<p>R. Local procedures shall be consistent with the language of this contract.</p>	<p>Local procedures fulfilling the language of the contract are listed above.</p>