GLOSSARY

ACADEMIC APPOINTEES within the University of California are defined as those engaged primarily in one or more of the following: teaching, research, and public service, and whose duties are closely related to the University’s instructional and research functions. Included in this group are academic administrative officers, faculty, student appointees, medical residents, research appointees, Cooperative Extension and University Extension appointees, and librarians. (APM 110(4)(2))

ACADEMIC PERSONNEL MANUAL (APM). Policies and procedures that pertain to the employment relationship between academic appointees and the University of California. For academic appointees covered by the Memorandum of Understanding (MOU, see below), the APM applies only to the extent provided for in the MOU.

ACADEMIC PERSONNEL RECOMMENDATION. Required form signed by the candidate, the review initiator, the unit or department head, and the supervisory assistant or associate university librarian that summarizes all proposed peer review actions (except appointments). (see Form 2-A)

AD HOC COMMITTEE. A 3-person review group formed expressly to review the file of an individual candidate. The membership of Ad Hoc Committees is known only to the CAPA Chair, Chair-Elect, and, for purposes of administering the Ad Hoc Committees within OPUS, the Assistant Director of Academic Human Resources, and a Library Human Resources Administrative Analyst.

AFFILIATED UNIT. Generally, an affiliated unit is a collection or other center, such as a library or archive, which is administered by a campus department or an organized research unit. An affiliated unit does not report to the University Librarian but rather to the Dean or Director of the campus entity that has administrative and budgetary oversight for the affiliated unit.

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

1. not in the employ of the University; or
2. in the employ of the University, but not with a title in this series.
3. in the employ of the University in the Librarian Series, but at another campus.

ASSISTANT DIRECTOR OF ACADEMIC HUMAN RESOURCES (ADAHR). The ADAHR is responsible for providing support to facilitate the peer review process and assists the Director of Library
Human Resources with other academic personnel matters.

**ASSISTANT OR ASSOCIATE UNIVERSITY LIBRARIAN (AUL).** A Library administrative officer who reports to the University Librarian OR to an Associate University Librarian (Assistant University Librarians may report to an Associate University Librarian). Supervisory AULs act as the review initiators (see below) for librarians who report directly to them. When a librarian does not report directly to the supervisory AUL, the review initiator is responsible for the recommendation; the supervisory AUL may submit comments as well.

**CANDIDATE FOR APPOINTMENT.** An applicant for a position who has been recommended for appointment in the Librarian Series.

**CANDIDATE UNDER REVIEW.** A person currently employed in the Librarian series for whom a personnel action (e.g. advancement, career status, promotion) is being considered.

**CANDIDATE’S CERTIFICATION STATEMENT.** Required form signed by the candidate that certifies that he or she was given every possible opportunity to contribute to the peer review process, to respond to statements made about his/her performance, and to make amendments to the peer review file. The Candidate’s Certification Statement – Exclusions (Form # 3-A) is a confidential document that allows candidates under review to exclude CAPA members or to exclude librarians from serving on Ad Hoc Committees if they so desire (see Appendix H and Form 3).

**CAREER STATUS.** A librarian in a potential career appointment may be awarded career status following careful and periodic review of performance, professional competence, achievement, and promise.

Career status is achieved upon successful completion of a suitable trial period in potential career status (MOU, Article 4(E)(1)(a); APM 360(8)(f). Possession of career status guarantees that a review will be conducted before a librarian is terminated for unsatisfactory performance (MOU Article 4(D)(5)(g); APM 360(17)(b). It is also a factor, after other considerations, in determining the order of layoff for librarians covered by the Memorandum of Understanding. Both the criteria and procedures for a separate career status review are identical to those of a normal merit review.

**COMMITTEE ON APPOINTMENTS, PROMOTIONS & ADVANCEMENTS (CAPA) is a standing committee elected and appointed by LAUC-LA in accordance with the LAUC-LA Bylaws. CAPA was created by LAUC-LA to advise the University Librarian on appointments, promotions, merit increases, and career status actions in the Librarian Series. This ensures that professional, as well as organizational, considerations are fairly and consistently taken into account when weighing each recommended action in relation to all others.

**CONFIDENTIALITY.** It is the basic responsibility of all involved in the peer review process to scrupulously respect the confidentiality of all deliberations and maintain the confidentiality of all records and documents examined, both during and after the peer review process has been
completed. A breach of confidentiality is considered to be a serious ethical violation. Refer to the University of California Statement of Ethical Values and Standards of Ethical Conduct, available at: http://policy.ucop.edu/doc/1100172/EthicalValuesandConduct

**CRITERIA FOR APPOINTMENT, MERIT INCREASE, AND PROMOTION.** All personnel actions in the Librarian series are based upon specific criteria which are enumerated in Section VI of the CALL.

**DATA SUMMARY.** The Data Summary provides a history of the academic and professional career of the candidate under review. (see Appendix D and Form 4)

**DEFERRED REVIEW OR DEFERRAL** may be requested only when there is insufficient evidence to evaluate performance due to prolonged absence since the last personnel review, or other unusual circumstances. A deferral delays the review for one year. A deferral is a neutral action, which can only be initiated with the written agreement of the candidate under review. Requests for deferrals must be submitted in writing to the University Librarian and may be submitted by the candidate and/or review initiator.

**DEPARTMENT OR UNIT HEAD.** The individual who has primary responsibility for the library unit to which a Librarian Series position is assigned. The department head shall work closely with the review initiator throughout the course of the review period. In some cases, the unit or department head may be the review initiator. The recommended personnel action remains the responsibility of the review initiator. Where department or unit heads are not the review initiator, they may submit separate comments. (see Form 7)

**DIRECTOR OF LIBRARY HUMAN RESOURCES (DLHR)** is the Library officer with administrative oversight for academic personnel issues for the Librarian Series at UCLA.

**EXTENSION** is a granting of additional time by the University Librarian within the current peer review cycle by extending the Peer Review Calendar deadlines in particular actions. An extension is not a deferral, which delays the review for one year. Requests for extension must be submitted in writing to the University Librarian and may be submitted by the candidate and/or review initiator.

**EXTERNAL FUNDS.** For the purposes of the UCLA Librarians’ CALL, external funds are defined as funds outside of the library budget.

**EXTRAMURAL FUNDS.** For the purposes of the UCLA Librarians’ CALL, extramural funds are defined as external funds from outside the UC or UCLA, including gifts, grants, and contracts.

**GRIEVANCE (ADMINISTRATIVE REVIEW OF THE FINAL DECISION).** A claim “of a violation of a provision of applicable University Rules, regulations, or Academic Personnel policies which adversely affects the appointee’s existing terms or conditions of employment” (APM 140-4(a)). Only procedural errors may be grieved.
LETTERS OF ASSESSMENT OR REFERENCE. Confidential letters of assessment on performance from individuals knowledgeable about the candidate’s contributions are required in cases where the candidate is being considered for Promotion or Merit with Exceptional Performance. Letters may be solicited in other cases as well. Non-confidential letters of assessment on performance are requested of former review initiators when applicable. Review initiators are responsible for soliciting letters of assessment or reference, and, in the case of confidential letters, must include the UC policy statement on confidentiality and redaction (see Appendix F).

LIBRARY HUMAN RESOURCES (LHR) serves as the office of record for personnel actions for the Librarian Series and coordinates the annual peer review process and appointments to the Librarian Series as part of its oversight of academic personnel issues for the Librarian Series at UCLA.

MEMORANDUM OF UNDERSTANDING (MOU). Memorandum of Understanding, University of California and University Council—American Federation of Teachers (formerly University Federation of qualifications of candidates are described in the MOU and in the APM. These criteria must form the basis for determining and recommending actions. There are two types of merit actions:

a. Merit Increase. A normal, or standard, Merit Increase will usually result in an increase of two (2) salary points on the applicable scale for Assistant and Association Librarian ranks, and three (3) salary points on the applicable scale for the Librarian rank;
b. Merit with Exceptional Performance. A Merit with Exceptional Performance may result in an increase of more than two or three salary points (as outlined above), based on the nature of the outstanding performance as evidenced in the peer review file.

NO ACTION. A no action is:

a. A neutral, non-prejudicial action for those at the top salary point of the Associate Librarian or Librarian rank;
b. An action intended to address performance issues and the actions required to improve that performance for those at any rank and salary point.

NON-REPRESENTED LIBRARIANS. Non-represented librarians are not in the collective bargaining unit and are covered solely by the Academic Personnel Manual (APM).

OFF-CYCLE REVIEW. An off-cycle review is a review that occurs in a different year than that in which a candidate is normally eligible at his or her particular rank. An off-cycle review must adhere to the same calendar as all other reviews submitted in a given peer review cycle. Note: For the life of the current MOU (October 2013-September 2018) represented librarians may not self-initiate an off-cycle review. However, a review initiator can initiate an off-cycle review for a represented librarian.
POTENTIAL CAREER STATUS refers to a trial period for all new appointments in the UC Librarian Series who are not temporary appointees. New appointees at any rank who are not in temporary appointments are in potential career status. The length of the trial period varies according to rank.

PROMOTION is an advancement of a librarian to the next higher rank within the Librarian Series. There are two types of Promotion actions:

a. Promotion. A normal, or standard, Promotion will result in advancement to the next rank and a salary increase equivalent to two (2) salary points for Assistants advancing to the Associate Rank, or three (3) salary points for Associates advancing to the Librarian Rank;

b. Promotion with Exceptional Performance. A Promotion with Exceptional Performance will result in advancement to the next rank and a salary increase greater than two (2) salary points for Assistants moving to the Associate Rank, or greater than three (3) salary points for Associates moving to the Librarian Rank, based on the nature of the outstanding performance as evidenced in the peer review file.

RECOMMENDED ACTION is the type of review action recommended by the review initiator for the candidate under review.

RECOMMENDING OFFICER. For librarian appointments, the recommending officer is the person making the hiring decision for the unit. This may be the review initiator, the unit or department head, or the supervisory AUL OR the department chair, director, or dean in an affiliated unit. For merits and promotions, the person making the recommendation is termed the review initiator.

REDACTION. Redaction is the removal of identifying information (including name, title, institutional affiliation, and relationship to the candidate) contained at the top of the letterhead, within the body, and below the signature block of a letter of assessment or reference for a candidate. Both the original and the redacted letters are included in the candidate's review file, although the candidate only receives copies of the redacted versions.

REFEREE. An individual knowledgeable about the candidate’s performance who, in response to a review initiator’s formal written request, submits a confidential letter evaluating the candidate’s work (normally called a letter of assessment).

REJOINDER. A rejoinder is a statement prepared and submitted to the review initiator by a candidate who wishes to comment on her/his evaluation and/or recommendation of the review initiator, and/or comments of the unit or department head, and/or comments of the supervisory AUL. For example, a rejoinder may correct documents deemed to be unwarranted or incorrect, amplify statements deemed inadequate, or add significant achievements to the record, or, the candidate may wish to present a different perspective on her/his performance. A rejoinder may take the form of a self-initiated action for merit increase or promotion in cases
where the review initiator and the candidate do not agree on the proposed action.

**REPRESENTED LIBRARIANS.** Represented librarians are in the collective bargaining unit and are covered by the *Memorandum of Understanding (MOU)* between the University of California and the University Council—American Federation of Teachers (UC-AFT).

**REQUEST FOR RECONSIDERATION.** A librarian who feels aggrieved by a decision concerning a merit, promotion, or career status decision may petition for reconsideration by the University Librarian. (See Section IX.B of the CALL.)

**REVIEW INITIATOR (RI).** The individual who is the immediate supervisor of the candidate for review and is the person responsible for the recommended action. For appointments, the person making the recommendation is termed the Recommending Officer. (see Form 6)

**REVIEW INITIATOR’S CERTIFICATION STATEMENT.** Required form signed by the RI to certify that he or she gave the candidate every possible opportunity to contribute to the peer review process, to respond to statements made about his or her performance, and to make amendments to the peer review file. The form also certifies the dates on which documentation was submitted as specified in the Peer Review Calendar. (see Form 3-C)

**REVIEW PERIOD.** The review period refers to the specific dates that must be covered by the review. This period is normally a two- or three-year period, depending on the individual’s rank. Recent appointees up for their first review may have a review period that is not a full two- or three-year period.

**SELF-INITIATED ACTION.** A candidate may prepare documentation for a merit increase, career status action, or promotion either on or off-cycle when he/she believes such action to be warranted and the review initiator disagrees. Note: For the life of the current MOU (October 2013-September 2018) represented librarians may not self-initiate an off-cycle review.

**SERVICE ELIGIBILITY.** Normal periods of service determining eligibility for merit and promotion actions are shown in the *University of California Librarian Series Salary Scale(s)*. Librarians holding part-time appointments are to be evaluated by the same criteria and on a similar review schedule and as those with full-time appointments.

**STATEMENT OF PROFESSIONAL ACHIEVEMENTS (SOPA).** The SOPA is a statement prepared by the candidate. It is not a self-evaluation, but it provides an opportunity for the candidate to explain what inspires his or her work. This is the candidate’s document to discuss his or her goals, accomplishments, and contributions. It is the candidate who determines the length of her/his documentation in accordance with CAPA’s guidelines as noted in Appendix E and Form 14. However, it is strongly recommended that the candidate prepare concise documentation in support of the action.

**STATEMENT OF RESPONSIBILITIES (SOR).** The SOR is a concise descriptive statement outlining
the candidate’s present responsibilities and should not be a simple task list. The SOR is developed jointly by the candidate and the RI and should be in accordance with Appendix C and Form 15.

SUPPLEMENTAL SUPERVISOR. The individual, who, in addition to the candidate’s review initiator, oversees the candidate’s work in a matrixed or split appointment structure. The supplemental supervisor may be known more formally as a functional lead, functional team lead, or team leader. The candidate reports to their supplemental supervisor for a maximum of 49% of their time. In cases when the candidate under review works in a matrixed or split appointment structure, the review initiator is expected to solicit a non-confidential assessment from the supplemental supervisor if the candidate had such a supervisor for more than six (6) months of the review period. If the supplemental supervisor oversaw the candidate for less than six (6) months of the review period, an assessment is not required but may be requested and included in the candidate’s documentation. (Review initiators should provide supplemental supervisors with Form 6-A for their assessments.)

TEMPORARY APPOINTMENT is an appointment that has a specified date of termination and is normally for a period of two years or less. Depending on the funding source, the library or affiliated unit may secure additional funding and request approval from the University Librarian to extend the temporary appointment.

UNIVERSITY OF CALIFORNIA STATEMENT OF ETHICAL VALUES AND STANDARDS OF ETHICAL CONDUCT is available at: http://policy.ucop.edu/doc/1100172/EthicalValuesandConduct. This policy statement was developed by the University of California Regents. All parts of the peer review process must be in compliance with these Standards.

UNIVERSITY LIBRARIAN is the Library's principal administrative officer and is the individual with authority for the Librarian Series. This authority has been delegated to the University Librarian by the UCLA Chancellor.