

***University of Washington Libraries***

**Librarian Personnel Code**

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## CHAPTER I. Introduction

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### **Librarians at the University of Washington**

The University Libraries constitutes a vital instructional arm of the University of Washington and acts as an essential element in the University's curricular, teaching, research and clinical functions. As the University's major information resource, the University Libraries enhances and extends students' classroom and laboratory experience, and facilitates the research conducted by faculty, staff and students. The University Libraries is an integral part of the University's mission to sustain an atmosphere in which information and ideas are readily accessible and freely exchanged.

In keeping with the policy of the University of Washington, the appointment and promotion policies of the Librarian Personnel Code are designed to contribute to the academic and scholarly excellence of the University by the maintenance of high standards of librarianship. To fulfill this responsibility, librarians at the University of Washington are responsible for developing local library resources and collections, for providing access to information resources world-wide, and for facilitating use by students, faculty and staff of this accumulation of the world's knowledge. Librarians serve as the link between the University's instructional and research programs and the University Libraries' resources by providing reference and information services, offering user education and information management training, and assisting with the establishment and use of automated information resources. Beyond the responsibilities associated with their assigned positions, librarians contribute to the administration of the University and share in the shaping of University Libraries policies. They also serve on University and University Libraries committees, councils and task forces, and act as partners in the academic enterprise and learning community.

Librarians hold appointments as academic personnel at the University of Washington as do teaching, research and clinical faculty. The chief academic officer, the Provost, is responsible for the interpretation and implementation of University policies and procedures for academic personnel and has delegated to the Dean of University Libraries the responsibility for administering the Librarian Personnel Code. Librarians must have a graduate degree from a program accredited by the American Library Association or an equivalent graduate library science, information studies or archival studies degree for appointment; and appointment is made with rank and status appropriate to the appointee's qualifications and experience.

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## CHAPTER II. Rank and Status

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All librarians are appointed with a specific rank dependent upon their qualifications, and a specific status dependent upon those qualifications and source of funding. Rank reflects the individual's cumulative record of achievement and level of responsibility, and is distinct from the position held. Librarians are eligible to apply for promotion to the next highest rank after a specified period. Factors which are relevant to this process are illustrated in Chapter IV. The Librarian Advisory Program [see Appendix D] describes additional assistance for newly appointed librarians and for librarians who are working to achieve permanent/continuing status.

As a component of a peer recognized structure within the academic environment, rank acknowledges the growth and expertise attained during an active professional career. Status represents the conditions and term of appointment and will be either for a specific or indefinite period. Appointment status is dependent upon the qualifications of the individual and the source of funding for the position held. All appointments are subject to earlier removal for cause, for reasons of programmatic change or program elimination, or financial emergency [see Chapter IV, Guideline E].

### SECTION A: Rank

Librarians are appointed at the rank of Assistant Librarian, Senior Assistant Librarian, Associate Librarian, or Librarian dependent upon their qualifications. Each rank carries with it different levels of responsibility and librarians are expected to fulfill the responsibilities associated with their ranks and their positions. However, supervisory and management responsibilities are not requirements for promotion in any rank.

Librarians may be promoted from Assistant Librarian to Senior Assistant Librarian, from Senior Assistant Librarian to Associate Librarian, and from Associate Librarian to Librarian. Persons holding the rank of Associate Librarian are not required to pursue promotion to the rank of Librarian.

The qualifications, responsibilities and expectations for appointment and promotion at each rank are described in the following section. Within this section, whenever this document refers to the duration of an appointment year, a year is one University academic year (July 1 through June 30) and for purposes of rank and status, the librarian's initial appointment period is defined as beginning on July 1 following the date of hire.

#### 1. Assistant Librarian

- a. **Criteria for Appointment to Assistant Librarian.** This rank is for librarians who have received the appropriate graduate degree from a program accredited by the American Library Association or an equivalent graduate library science, information studies or archival studies degree, and have little or no professional experience in librarianship. Generally, appointment to Assistant Librarian will be made for those individuals with fewer than two years of experience as a librarian.

- b. Expectations for Rank.** Librarians at this rank are generally at the beginning of their career. They are expected to fulfill at a consistently high level the responsibilities described in the position description. Assistant Librarians become familiar with library functions, operations and policies. They demonstrate an interest in and an ability to contribute to the workings of their individual unit, department or user community. They show evidence of an interest in pursuing their own professional development and in making contributions to the profession beyond the work environment.
- c. Appointment Status.** The appointment as Assistant Librarian is always with provisional/non-continuing status and is for a period of two years only, exclusive of time granted for extension of appointment in accordance with Chapter IV, Guideline A. Assistant Librarians do not hold permanent/continuing appointment status. They qualify for promotion to Senior Assistant Librarian after the first completed year of their initial two-year appointment as Assistant Librarian.
- d. Promotion to Senior Assistant Librarian.** Not later than October 1 of the second year of the provisional or non-continuing appointment, an Assistant Librarian may apply for promotion to Senior Assistant Librarian with provisional/non-continuing status. If the Assistant Librarian does not apply for promotion, the appointment will expire on the following June 30.

When the Assistant Librarian applies for promotion to Senior Assistant Librarian, the librarian will be notified, no later than June 30 of the second year of the appointment, of one of the following actions:

1. Promotion to Senior Assistant Librarian with provisional/non-continuing status effective the beginning of the next academic year; **or**
2. Nonrenewal of appointment at the end of the next academic year.

## 2. Senior Assistant Librarian

- a. Criteria for Appointment to Senior Assistant Librarian.** This rank is for librarians who generally have at least two years of demonstrated competence as an Assistant Librarian in the University of Washington Libraries; or have established an equivalent record in comparable professional positions at other institutions; or have established a cumulative equivalent record at the University of Washington Libraries and other institutions.

Librarians promoted to or appointed at the rank of Senior Assistant Librarian have met the position responsibilities and expectations of Assistant Librarians. They have demonstrated the ability to master the foundations, theory and practice of librarianship, to develop an understanding of library operations beyond their immediate assignment and to recognize the role of the Libraries in the University, and the role of serving the wider research and learning community. They have demonstrated the capacity for continued growth and development in the profession.

- b. Expectations for Rank.** Librarians at this rank fulfill responsibilities requiring the utilization of the professional skills and techniques of the trained and experienced librarian. Senior Assistant Librarians contribute to and/or initiate projects and programs within their units, and may contribute to projects outside the assigned units as members of a Library, University or other

user community task force, council or committee. They are accountable for performing assigned position responsibilities in a consistently excellent manner. They contribute constructively to recommendations concerning library functions, operations and policies, and to the implementation and success of policies, programs, and services of the University Libraries, the University and other user communities. They show evidence of substantive professional development which includes participation in professional activities beyond the work environment.

- c. Appointment Status.** The appointment as Senior Assistant Librarian is always with provisional/non-continuing status and is for an initial period of three years, exclusive of time granted for extension of appointment in accordance with Chapter IV, Guideline A. Senior Assistant Librarians may apply for a renewal of their appointment for an additional, and final, three-year period. Senior Assistant Librarians do not hold permanent/continuing appointment status. They qualify for renewal/reappointment or for promotion to Associate Librarian after the second complete year of their initial three-year appointment as Senior Assistant Librarian.
- d. Renewal of Appointment Status or Promotion to Associate Librarian.** Not later than October 1 of the third complete year of the initial appointment as Senior Assistant Librarian, the librarian must either:
1. Apply for renewal of appointment with provisional/non-continuing status; **or**
  2. Apply for promotion to Associate Librarian with permanent/continuing status. Candidates applying for promotion must document that they meet the criteria stated in Chapter II.A.3.a.

If one of the above actions is not taken, the initial appointment will expire on the following June 30.

If the Senior Assistant Librarian applies for renewal of provisional/non-continuing appointment for an additional, and final, three-year period, the librarian will be notified not later than June 30 of the third year of one of the following actions:

1. Renewal of provisional/non-continuing appointment for an additional, and final, three-year renewal period effective the beginning of the next academic year; **or**
2. Nonrenewal of appointment at the end of the next academic year.

If the Senior Assistant Librarian applies for promotion, the librarian will be notified not later than June 30 of the third year of one of the following actions:

1. Renewal of provisional/non-continuing appointment for an additional, and final, three-year period effective the beginning of the next academic year; **or**
2. Promotion to Associate Librarian with permanent/continuing status effective the beginning of the next academic year; **or**
3. Nonrenewal of appointment at the end of the next academic year.

If a Senior Assistant Librarian has had a provisional/non-continuing appointment renewed for an additional, and final, three-year period, the Senior Assistant Librarian may apply for promotion to Associate Librarian with permanent/continuing status during the first and second years of this

renewed three-year appointment. If the Senior Assistant Librarian does not apply for this promotion by the third year of the renewed appointment, the appointment will expire on the following June 30.

The Senior Assistant Librarian will be notified of one of the following actions not later than June 30 of the third year of the renewed appointment:

1. Promotion to Associate Librarian with permanent/continuing status effective the beginning of the next academic year; **or**
2. Nonrenewal of appointment at the end of the next academic year.

### 3. Associate Librarian

- a. Criteria for Appointment to Associate Librarian.** This rank is for librarians who generally have at least five years of demonstrated competence in the University of Washington Libraries; or have established an equivalent record in comparable positions at other institutions; or have established a cumulative equivalent record at the University of Washington Libraries and other institutions.

Librarians promoted to or appointed at the rank of Associate Librarian have met the position responsibilities and expectations of Senior Assistant Librarian; have achieved an understanding of the interrelationships of library functions and operations; and have made substantial and sustained contributions to their user communities or to the libraries in which they have gained their experience.

Librarians promoted to or appointed at the rank of Associate Librarian also demonstrate substantial growth in their profession, and have made sustained and significant contributions in professional activities beyond the work environment. Such activities should enhance the individual's value and contributions to the University Libraries, the University, the research and learning community, user communities or the profession. Associate Librarians also demonstrate excellent potential for a sustained and substantive professional career.

- b. Expectations for Rank.** The rank of Associate Librarian is indicative of sustained excellence in professional performance and achievement. Associate Librarians contribute significantly toward the development and implementation of projects and programs in their assigned units. They contribute to and/or initiate projects with broad scope outside their assigned units, either individually or as members of a committee or task force. They are accountable for performing assigned responsibilities in a consistently excellent manner, for making thoughtful and innovative recommendations concerning library functions, operations, and policies, and for the implementation and success of new or existing policies, programs, and services. Associate Librarians may contribute to the University, the research and learning community or user community through service on councils, committees or task forces. They show evidence of sustained, substantive professional development, which includes significant participation in professional activities beyond the work environment.
- c. Appointment Status.** Promotion to the rank of Associate Librarian is always made with permanent/continuing status. Initial appointment in the University of Washington Libraries at



the rank of Associate Librarian may be made without permanent/continuing status for one three-year period. Associate Librarians appointed with provisional/non-continuing status may apply for permanent/continuing status during the first and second years of their three-year appointment. Associate Librarians appointed with provisional/non-continuing status must apply for permanent/continuing status no later than October 1 of the third year after the date of initial appointment. If the Associate Librarian does not apply for permanent/continuing status by the third year of their appointment, the appointment will expire on the following June 30. The Associate Librarian will be notified of one of the following actions not later than June 30 of the third year of the renewed appointment:

1. Permanent/continuing status effective the beginning of the next academic year; **or**
2. Nonrenewal of appointment at the end of the next academic year.

- d. Promotion to Librarian.** An Associate Librarian may request promotion to the rank of Librarian after the second year of appointment as Associate Librarian with permanent/continuing status. Applications for promotion to the rank of Librarian must be received not later than October 1 of any academic year. The Associate Librarian will be notified whether the promotion has been granted or not by June 30 of the same academic year. If the promotion is granted, it will become effective the beginning of the next academic year. If the promotion is not granted, additional applications may be made in future years. Persons holding the rank of Associate Librarian are not required to pursue promotion to the rank of Librarian.

#### 4. Librarian

- a. Criteria for Appointment to Librarian.** This rank is for librarians who have at least eight years of demonstrated professional competence in the University of Washington Libraries; or have an equivalent record in comparable positions at other institutions; or have a cumulative equivalent record at the University of Washington Libraries and other institutions.

Librarians promoted to or appointed at the rank of Librarian must have a record of substantial constructive impact on library services through active decision-making, setting priorities and policies, and developing programs. Librarians promoted to or appointed at the rank of Librarian must also have the demonstrated ability to continue this substantial level of contribution throughout the remainder of their careers. Significant service within the University or user community may also be evident.

The rank of Librarian is indicative of a career which is exemplary in its evidence of professional competence, achievement, and influence. It manifests a record of superior achievement in the librarian's specific areas of concentration, of contributions to their user community or the libraries in which they have gained their experience, and in the practice of and significant contributions to the profession.

- b. Expectations for Rank.** Librarians are accountable and responsible for the development and implementation of University Libraries policies, programs and services. Librarians, regardless of position assignment, exert leadership or influence within the University Libraries, and may do so within the University or research and learning community. To this end, they serve on, and contribute to committees, task forces, or other special projects, within the University Libraries,

research or learning communities or user communities. Librarians, by their sustained exemplary performance of their position responsibilities, serve as models of professional excellence for other librarians at the University of Washington, as well as regionally, nationally or internationally. Librarians must have a substantial record of contributions to the profession and of sustained professional development. This rank is reserved for those librarians whose careers are exemplary in their evidence of professional competence, achievement, leadership or influence.

- c. **Appointment Status.** Promotion to the rank of Librarian is with permanent/continuing status. Appointment to the rank of Librarian is with permanent/continuing status.

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## SECTION B: Status

The appointment status for librarians can be provisional, permanent, non-continuing, continuing or temporary, dependent upon the qualifications of the librarian and whether they are supported by state-appropriated funds or other than state-appropriated funds. If an appointment is supported by state funds that are not under the jurisdiction or control of the University Libraries, the appointment will be equivalent to appointments supported by other than state-appropriated funds. Appointment status applies to all librarians.

### 1. Appointment Status – Supported by State-appropriated Funds

- a. **Provisional Appointment.** A provisional appointment is a specific term appointment exclusive of time granted for extension of appointment in accordance with Chapter IV, Guideline A for positions which are entirely supported by state-appropriated funds. Provisional appointments are always made for the ranks of Assistant Librarian and Senior Assistant Librarian and may be made for initial appointment at the rank of Associate Librarian. Provisional appointments are generally made for all librarians who have less than five years of experience or who have not yet sufficiently demonstrated that they have met the expectations for permanent/continuing appointment at the University of Washington Libraries.
- b. **Permanent Appointment.** Permanent appointment is based on the achievements of the individual and carries with it the right of librarians to hold their rank without reduction of salary, except for the grounds and in the manner provided in Chapter IV, Guideline E. Permanent appointment is not affected by transfer or reassignment from a particular position or administrative appointment.

Permanent appointment shall be granted to those librarians whose training, ability, and contributions are of sufficient significance to warrant a commitment on the part of the University to employ them for the remainder of their professional careers. Such a policy requires that the granting of permanent appointment be considered carefully. It is a specific action which is exercised after careful consideration of the candidate's qualifications and accomplishments in relation to the qualifications and responsibilities contained in Chapter II, Section A.

Permanent appointment is made at the ranks of Associate Librarian or Librarian for those librarians appointed to positions of .5 FTE or more, entirely supported by state-appropriated

funds. Permanent appointment is not possible if a librarian only holds a temporary, provisional, non-continuing or continuing appointment. If a librarian holds an appointment which is funded by a combination of state-appropriated funds and other than state-appropriated funds, only the state-funded portion of the appointment is subject to change from provisional to permanent status. If a librarian with continuing appointment subsequently is selected through normal appointment procedures for a position funded entirely by state-appropriated funds, then the appointment status will change from continuing to permanent.

## 2. Appointment Status – Supported by Other than State-appropriated Funds

- a. **Non-Continuing Appointment.** Non-continuing appointment is made for an Assistant Librarian or Senior Assistant Librarian whose position is supported either wholly or in part by other than state-appropriated funds and is dependent upon continuation of such funding. The regulations for provisional appointments for Assistant Librarian and Senior Assistant Librarian apply to individuals having those ranks with non-continuing appointment. Initial appointment in the University of Washington Libraries at the rank of Associate Librarian may be made with non-continuing status.
- b. **Continuing Appointment.** Continuing appointment is granted to those librarians whose positions are supported either wholly or in part by other than state-appropriated funds. Continuing appointment implies the same rights and privileges as permanent appointment, except that the duration of the appointment is determined by and dependent upon continuation of support as determined by the University Libraries of salary funding available from other than state-appropriated funds. Librarians whose salaries are supported by other than state-appropriated funds may be considered for continuing appointment on the same basis as is applied in granting permanent appointment, but are subject to removal upon expiration of such funding. If a librarian with continuing appointment subsequently is selected through the normal appointment procedures for a position supported by state-appropriated funds, then the appointment status will change from continuing to permanent.

## 3. Appointment Status – Temporary

- a. **Temporary Appointment.** A temporary appointment shall have a specified date of expiration and shall generally be limited to two years or less. Temporary appointments may be supported by state-appropriated funds or supported by other than state-appropriated funds, and may be made for any position at an appropriate rank when it becomes necessary to employ temporary staff. This type of appointment may also be used when it is necessary to employ temporary replacements for vacant positions. Under no circumstances is the appointment period to exceed the period of time for which funds have been made available. Librarians with temporary appointments are not eligible for promotion, and are not eligible to serve on the Librarian Personnel Committee or review committees. Librarians with temporary appointments are also not eligible to vote for representatives to the Librarian Personnel Committee.
- b. **Re-employment Upon Retirement.** Librarians with permanent status who meet the eligibility requirements for retirement may elect to retire and request consideration on an annual basis to be considered for re-employment by the Libraries for not more than 40 percent of their appointment status for up to five years after the date of retirement. The request for approval for re-employment for the first year must be made in advance of retirement and approval for

any or all of the additional four years must be requested on an annual basis. Requests for re-employment must be approved in advance by the Dean of University Libraries and the Provost. Librarians who have been re-employed upon retirement are not eligible to participate in the merit review process, are not eligible to serve on the Librarian Personnel Committee or review committees, and are not eligible to vote for representatives to the Librarian Personnel Committee.

#### **4. Appointment Status – Emeritus**

- a. Emeritus Appointment.** The emeritus appointment may be recommended by the University Libraries for a retired librarian whose professional performance and achievements have been meritorious. Such recommendation requires approval by the Dean of University Libraries and the President of the University. The normal criteria for appointment with the emeritus title are at least ten years of prior service as a member of the University Libraries and achievement of the rank of Librarian or Associate Librarian.

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## CHAPTER III. Committees

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**Librarian Personnel Committee** - The Librarian Personnel Committee of seven members provides representative-based oversight in the support, implementation and revisions of the Librarian Personnel Code.

**Review Committees** - Review committees of nine members make recommendations to the Librarian Personnel Committee regarding a librarian's qualifications for promotion, appointment status, renewal of appointment and promotion.

**Ad Hoc Review Committees** - Ad Hoc Review committees of five members make recommendations to the Librarian Personnel Committee on initial rank and appointment, excluding temporary appointments.

**Merit Review Committee** - The Merit Review Committee of five members provides librarian oversight by reviewing the merit documentation and forwarding its recommendations to the Dean of University Libraries.

**Librarian Advisory Program Committee** - The Librarian Advisory Program Committee of five members coordinates the Librarian Advisory Program and reports to the Dean of University Libraries.

**Adjudication Committee** - The Adjudication Committee of five members is a standing committee which presides over Comprehensive Adjudications and is appointed by the Dean of University Libraries.

### SECTION A: Librarian Personnel Committee

The role of the Librarian Personnel Committee is to provide representative-based oversight in the support, implementation and revisions of the Librarian Personnel Code. The Librarian Personnel Committee ensures librarian involvement in the review of rank, appointment status, renewal of appointment and promotion. The Librarian Personnel Committee also contributes to professional development by commenting on, and making recommendations for future improvements of, candidate's documentation materials (e.g., organization, writing style, addenda, and content).

The Librarian Personnel Committee is elected. All librarians (except the Dean of University Libraries, Associate Deans, and the Administrative Officer Responsible for Personnel) serving .5 FTE or more with permanent or continuing status, with twenty-four months experience with the University of Washington Libraries at the time of the election, are eligible to serve on the Librarian Personnel Committee. Elections will be conducted by the Administrative Officer Responsible for Personnel. The Librarian Personnel Committee appoints and receives recommendations from review committees for each personnel group of the University Libraries to ensure librarian involvement in all personnel actions for which the Committee is responsible. For the list of personnel groups see Appendix A.

The Librarian Personnel Committee in consultation with the Administrative Officer Responsible for Personnel will monitor changes to University policies, procedures and codes to identify areas of the Librarian Personnel Code that may require revision. The Administrative Officer Responsible for Personnel will seek to bring these changes to the attention of the Chair, Librarian Personnel Committee.

In addition, the Librarian Personnel Committee makes recommendations to the Dean of University Libraries on: rank and appointment status (excluding temporary appointments), promotion, renewal of appointment, and permanent/continuing status. The Committee is informed by the Dean of University Libraries of the rank assigned to a temporary appointee. The Librarian Personnel Committee appoints and receives recommendations from review committees considering promotion, renewal of appointment, and permanent or continuing status.

The chair of the Librarian Personnel Committee appoints members for each ad hoc review committee when appropriate. Appointment procedures are described in Chapter III, Section C. Ad Hoc review committees make recommendations on initial rank and appointment (excluding temporary appointments).

In its review of supervisory, review committee and other documentation, the Librarian Personnel Committee determines whether there is consistency in the use of criteria within a personnel group and on a University Libraries-wide basis. The Librarian Personnel Committee maintains a record of the membership of review committees and forwards a copy of that record to the Administrative Officer Responsible for Personnel. It questions perceived inequities or discrepancies; recommends appropriate corrective action, and records and forwards its recommendation and all documentation on each individual to the Dean of University Libraries. In arriving at its recommendations, the Committee uses its knowledge to form independent assessments of the case. Recommendations must be based on the documentation presented. If the Librarian Personnel Committee has questions about the review committee recommendation, the Librarian Personnel Committee may ask to meet with the chair of the review committee to ask for clarification. The Dean of University Libraries is responsible for the final decision. The deliberations of the Librarian Personnel Committee as they apply to specific personnel cases are confidential.

The Librarian Personnel Committee consists of seven members and reports to the Dean of University Libraries. Members are elected for two year terms to represent the personnel groups within the University Libraries. All members of the Librarian Personnel Committee, regardless of rank and status, may vote on all cases before the Committee, except where precluded by the Librarian Personnel Code. Each year the Librarian Personnel Committee will elect its own chair and additional officers as necessary to conduct its business. A Librarian Personnel Committee member will not be present during consideration of the documentation and recommendations concerning individuals in the Committee member's supervisory line, or for deliberations on the member's own candidacy. Four members of the Librarian Personnel Committee constitute a quorum.

Each personnel group will have two elected representatives who will serve staggered two-year terms. Each personnel group will elect its own representatives. In addition, there will be one member-at-large elected every two years. Candidacy for the member-at-large will rotate through the personnel groups and the member-at-large will be elected by all librarians eligible to vote. Members may serve no more than two succeeding terms at one time on the Librarian Personnel Committee. If a Librarian Personnel Committee member resigns, a special election will be held to select a member from the same personnel

group, or if a member who has resigned is a member-at-large, from this member's personnel group, to complete the term.

**Election Procedures for the Librarian Personnel Committee.** Elections for the Librarian Personnel Committee will be held during the Autumn Quarter, with the process to be completed by the end of Autumn Quarter. Terms of office will begin on January 1. Elections will be conducted by the Administrative Officer Responsible for Personnel who will prepare the slate of all eligible candidates. These individuals constitute the slate of candidates and, if elected, are requested to serve unless extenuating circumstances dictate otherwise.

The vote will be taken by ballot under the direction of the Administrative Officer Responsible for Personnel. All librarians with a .5 FTE or more are eligible to vote, except those librarians holding temporary appointments. Every year they will elect a representative from their personnel group. Every other year they will vote for a member-at-large. The Administrative Officer Responsible for Personnel and continuing members of the Librarian Personnel Committee will be responsible for tallying the ballots.

Librarians with split assignments must choose with which personnel group they wish to participate at the time of initial appointment. The personnel group chosen will apply to all subsequent elections and review committee meetings while the individual holds that position.

The librarian in a personnel group who receives the most votes is elected to the Librarian Personnel Committee. In the case of a tie vote, those candidates with the highest number of votes in the personnel group will be candidates in a runoff election. The candidate in the runoff who receives the most votes is elected. If a tie vote is the result of the runoff, a representative will be selected using a random method (e.g., by drawing lots) under the direction of the Administrative Officer Responsible for Personnel.

In the event that the same person is selected as a member-at-large and as a representative from that person's respective personnel group, the individual will be designated as the member-at-large. The individual with the second highest number of votes from the personnel group will be designated the representative.

## **SECTION B: Review Committees**

Annually, the Librarian Personnel Committee appoints Review Committees for the personnel actions of promotion, renewal of appointment, and for the granting of permanent or continuing status to serve for a one year term. These committees are charged to review the documentation and make recommendations to the Librarian Personnel Committee regarding a librarian's qualifications for promotion, renewal of appointment, and permanent or continuing status. These committees can also contribute to professional development by commenting on, and making recommendations for future improvements of, candidate's documentation materials (e.g., organization, writing style, addenda, and content).

Each Review Committee reviews the documentation and records [see Chapter IV, Guideline A], and forwards its recommendation and all documentation on each individual to the Librarian Personnel Committee. Recommendations must be based on the documentation presented. A candidate's documentation should be a complete and accurate reflection of the candidate's career to ensure that any librarian reading it will have a full understanding of the candidate's performance. Committee

discussion is documented by summarizing the substantive issues and their resolution. This report becomes a part of the candidate's documentation. If a committee has identified any recommendations concerning the improvement of future documentation, they shall include a separate memo with those comments to the Librarian Personnel Committee detailing these recommendations. As noted in Chapter IV, Section A, Part 2, the Librarian Personnel Committee will forward these recommendations to the Administrative Officer Responsible for Personnel. After the promotion cycle, the Administrative Officer Responsible for Personnel will forward any comments received from the Librarian Personnel Committee regarding future improvements to the candidate's documentation to the candidate and the candidate's immediate supervisor and others in the supervisor line, as appropriate. The deliberations of the Review Committees as they apply to specific personnel cases are confidential.

All librarians with permanent or continuing status and with twenty-four months experience in the University of Washington Libraries at the time of the election (except the Dean of University Libraries and the Administrative Officer Responsible for Personnel) are eligible to serve on Review Committees. Librarians with the rank of Senior Assistant Librarian or Associate Librarian with Provisional or Non-Continuing Status and with twenty-four months of experience in the University of Washington Libraries at the time of election are eligible to serve on Review Committees for Assistant or Senior Assistant Librarians. Since the purpose of the Librarian Personnel Committee is advisory and to provide oversight of the Librarian Personnel Code, current members of the Librarian Personnel Committee may not serve on Review Committees. Any eligible librarian may be appointed and should serve unless extenuating circumstances dictate otherwise. Librarians may not serve on more than two Review Committees at the same time. Librarians may not succeed themselves on the same peer committee, with the exception of a Review Committee for promotion to the rank of Librarian. In the event the above conditions cannot be met to ensure appropriate review group composition, the Librarian Personnel Committee will have the responsibility to make the necessary adjustments.

**Review Committees for the Ranks of Senior Assistant and Associate Librarian.** The Librarian Personnel Committee will appoint one or more Review Committees, at its discretion, for each personnel group as defined in Appendix A to review the documentation and make recommendation on a librarian's promotion or renewal of appointment for the ranks of Senior Assistant and Associate Librarian, and additionally, permanent or continuing status for the rank of Associate Librarian, within that personnel group. A Review Committee for the ranks of senior assistant and associate librarians is composed of nine librarians and, whenever possible, will include:

- 6 librarians from the same personnel group where the candidate has major responsibilities and
- 3 librarians from other personnel groups.

Whenever possible, two librarians with the rank of Senior Assistant Librarian will serve on a Review Committee that includes Senior Assistant appointments. They may review the documentation and be present at the consideration of promotion, renewal of appointment, and permanent or continuing status at the rank of Associate Librarian, but they are not allowed to vote on personnel recommendations for Associate Librarians.

**Review Committees for Promotion to the Rank of Librarian.** For consideration of promotion to the rank of Librarian, the Librarian Personnel Committee will appoint one or more system-wide Review Committees, at its discretion, consisting of nine members at the rank of Librarian. Whenever possible, all personnel groups will be represented on a Review Committee(s) for promotion to the rank of Librarian.



**Conduct of Review Committees.** A Review Committee will elect its own chair, proceedings recorder and additional officers as necessary to conduct its business. Five members of a committee constitute a quorum and must be present for all deliberations concerning promotion, renewal of appointment, and permanent or continuing status. A Review Committee member will not be present during consideration of the documentation and recommendations concerning individuals in the Committee member's supervisory line, or for deliberations on the member's own candidacy. The Chair of the Committee must be at the rank where the Chair can participate in all of the discussions, deliberations, and decisions for all of the candidates under review.

If a Review Committee determines that additional information would contribute significantly to more informed deliberations, the committee can request it through the Librarian Personnel Committee. It is the responsibility of the Librarian Personnel Committee, in consultation with the Administrative Officer Responsible for Personnel, to evaluate the request and provide the requested information when appropriate.

The chair of a Review Committee working with the proceedings recorder prepares a separate written recommendation on each librarian under consideration based on the documentation and discussion. Each committee reviews the proceedings documentation before the chair forwards it to the Librarian Personnel Committee.

### **SECTION C: Ad Hoc Review Committees**

An ad hoc review committee may be appointed at the discretion of the Librarian Personnel Committee when appropriate for an initial appointment recommendation. The responsibility of an ad hoc review committee is to review the documents pertaining to the background, experience and professional activities of the candidate proposed for appointment and make a recommendation to the Librarian Personnel Committee regarding the determinations of rank and status of appointments, excluding temporary appointments. The ad hoc review committee can consult with the chair of the search advisory committee for assistance in making its recommendation.

Ad hoc review committees must consist of five librarians selected by the chair of the Librarian Personnel Committee or the chair's designate. An ad hoc review committee, whenever possible, is composed of librarians at the proposed new rank, or higher. It is preferred that an ad hoc review committee will include:

- 3 librarians from the same personnel group where the candidate will have major responsibilities and
- 2 librarians from other personnel groups.

### **SECTION D: Merit Review Committee**

The role of the Merit Review Committee is to provide review oversight for the merit review process. Primarily, the Merit Review Committee is charged to carefully review all no-merit recommendations, and split recommendations. The guidelines for determining salary increases based on merit and Merit Review Committee responsibilities are described in Chapter IV, Guideline D.

**SECTION E: Librarian Advisory Program Committee**

The Librarian Advisory Program Committee coordinates, monitors, reviews and evaluates the Librarian Advisory Program and reports to the Dean of University Libraries. The Librarian Advisory Program is designed to assist in the advancement of the University Libraries' mission to develop a quality staff and to contribute to the library profession. The program is meant to support librarians beyond the University Libraries' general orientation and initial orientations taking place in individual units. The Librarian Advisory Program is described in Appendix D.

**SECTION F: Adjudication Committee**

The Adjudication Committee shall be a standing committee consisting of five members with no more than two members from the same personnel group. The members shall be appointed by the Dean of University Libraries upon the recommendation of the Librarian Personnel Committee. The Adjudication Committee will elect its own chair and additional officers as necessary to conduct its business. The Adjudication Committee presides over Comprehensive Adjudications. The adjudicative procedures are described in Chapter IV, Guideline G.

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## CHAPTER IV. Guidelines

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### A. Guidelines for Appointment, Renewal of Appointment and Promotion

#### 1. Appointment

Librarians at the University of Washington are appointed, promoted and granted permanent/continuing status solely upon their qualifications consistent with Executive Order No. 31.

Appointment to a part-time (at least .5 FTE) or temporary position and the promotion or permanent/continuing appointment of a part-time librarian requires the same qualifications as set forth for full-time appointments.

The creative and educational functions of the University of Washington require the appointment of librarians with outstanding qualifications who are committed to achieving the objectives of the University to preserve, to increase, and to transmit knowledge.

A graduate degree from a program accredited by the American Library Association or an equivalent library science, information studies or archival studies degree constitutes the primary credential for librarians and is considered the terminal degree. Determination of the equivalency of a graduate degree from a librarianship program outside the United States and Canada will be made by the Administrative Officer Responsible for Personnel in accord with the resources provided by the American Library Association.

- a. **Appointment Procedures for Librarians.** Once a decision has been made to recommend a candidate for appointment to a position on the staff of the University Libraries, the Administrative Officer Responsible for Personnel will assemble the necessary documentation pertaining to the background, education, experience, and professional activities of the candidate. The documentation shall include, but not be limited to, the letter of application, curriculum vitae, pertinent background information, letters of reference and the recommendations for rank and appointment status from the supervisor, and those in the supervisory line. In making a recommendation, these individuals refer to and carefully consider the qualifications and responsibilities as contained in Chapter II.
  - The Administrative Officer Responsible for Personnel will forward the documentation to the Librarian Personnel Committee on behalf of the Dean of University Libraries.
  - Ad hoc review committees may be appointed at the discretion of the Librarian Personnel Committee when appropriate for an initial appointment. In that event, the Librarian Personnel Committee chair will convey the documentation to the appropriate ad hoc review committee.

- If established, an ad hoc review committee will review the documentation and make a recommendation to the Librarian Personnel Committee regarding the rank and status of the appointment. In making its recommendation, the ad hoc review committee refers to and carefully considers the qualifications and responsibilities as contained in Chapter II.
  - The chair of the respective ad hoc review committee transmits the committee's recommendation to the Librarian Personnel Committee, specifying a proposed rank and status of appointment for the candidate.
  - The Librarian Personnel Committee reviews the recommendation taking into consideration, the material contained in Chapter II, and the rank and status of appointment of recent appointees. The Librarian Personnel Committee may either concur with the ad hoc review committee's recommendation or make its own recommendation. The chair of the Librarian Personnel Committee will notify the respective ad hoc review committee if its recommendation differs from that of the ad hoc review committee.
  - The chair of the Librarian Personnel Committee submits its recommendation and all accompanying documentation to the Dean of University Libraries. The Dean of University Libraries will decide the matter and will determine if an offer of appointment will be extended, and shall determine the terms of the appointment.
  - If the Dean's determination varies from the recommendation of the Librarian Personnel Committee, and after the offer has been accepted, the Dean of University Libraries will inform the Librarian Personnel Committee of the Dean's action. If it varies from the recommendation of the Committee, the Librarian Personnel Committee may wish to meet with the Dean of University Libraries. The chair of the Librarian Personnel Committee will be responsible for notifying the respective ad hoc review committee (when one is appointed) of the Dean's decision. The Administrative Officer Responsible for Personnel will notify the supervisory line of the Dean of University Libraries' decision.
- b. Temporary Appointment Procedures.** When the decision has been made to appoint a librarian with the status of temporary appointment, the immediate supervisor and those in the supervisory line will make a recommendation to the Dean of University Libraries regarding the appropriate rank for the temporary appointee. The Dean of University Libraries will determine the rank of the temporary appointee. In determining the appropriate appointment rank, the Dean of University Libraries refers to and carefully considers the qualifications and responsibilities as contained in Chapter II, Section A. If a librarian holding a temporary appointment is selected to fill a position eligible for determination of rank and status, the procedures in Chapter IV, Guideline A will be followed.

The Dean of University Libraries will inform the Librarian Personnel Committee in writing regarding the rank awarded to the temporary appointee, providing pertinent background information on the temporary appointee. The Administrative Officer Responsible for Personnel will notify the supervisory line of the Dean of University Libraries' decision.

## **2. Promotion, Renewal of Appointment, and Permanent/Continuing Status**

Promotion, renewal of appointment, and granting of permanent/continuing status will be based upon the degree to which the criteria, qualifications and expectations described in Chapter II under the appropriate ranks are met. These actions will be taken without regard to position.

Candidates for promotion will be expected to demonstrate that they have met the criteria, qualifications and expectations for the rank and status for which they are applying. Candidates applying for renewal of appointment as Senior Assistant Librarian must demonstrate growth and achievement in that rank.

Librarians may be promoted from Assistant Librarian to Senior Assistant Librarian; from Senior Assistant Librarian to Associate Librarian; and from Associate Librarian to Librarian.

A person in a temporary appointment is not eligible for promotion.

Renewal of appointment applies only to Senior Assistant Librarians as described in Chapter II, Section A.

Associate Librarians who were initially appointed with provisional/non-continuing status may apply for permanent/continuing status as defined in Chapter II, Section B.

The calendar for the promotion, renewal of appointment and permanent/continuing status procedures will be established annually prior to the beginning of Autumn Quarter by the Dean of University Libraries, within University guidelines and requirements.

- a. **Procedures.** Prior to the beginning of Autumn Quarter, all librarians eligible for promotion or for renewal of appointment, and those Associate Librarians eligible to apply for permanent/continuing status, and their supervisors will be notified by the Administrative Officer Responsible for Personnel. This notification will specify what action is required from the individual and what documentation must be assembled. Not all librarians notified will choose to apply in a given year. While the ultimate responsibility for initiating a promotion request by the dates indicated in this policy rests with each individual, supervisors should encourage qualified librarians to seek promotion at the appropriate time.

In assembling the required documentation, each candidate will be expected to demonstrate that the candidate is pursuing a career which enhances the effectiveness and standing of the University of Washington Libraries, supports the mission of the University Libraries, the University and/or learning community, and enhances and contributes to the profession. Complete and accurate documentation is essential to support a request for promotion, permanent/continuing status, or renewal of appointment. Candidates for whom an action is not required may withdraw their request any time prior to the submission of all documentation to the Librarian Personnel Committee.

The candidate must submit documentation to the Administrative Officer Responsible for Personnel in accordance with the calendar established by the Dean of University Libraries (see Appendix E (Documentation Checklist for Reappointment, Promotion and Permanent/Continuing Appointment) for information regarding the contents of the documentation).

**The Administrative Officer Responsible for Personnel, in accordance with the calendar established by the Dean of University Libraries, will:**

- **Solicit Letters of Reference**

Solicit letters of reference from those individuals listed in the candidate's documentation. These individuals will be asked to provide specific documentation that the candidate has performed in a manner which:

1. Enhances the effectiveness and standing of the University of Washington Libraries;
2. Demonstrates the candidate's ability to meet the responsibilities of the desired rank;
3. Enhances and contributes to the profession.

- **Identify an External Reviewer**

In addition, for promotions to Associate Librarian or Librarian, or for individuals holding the rank of Associate Librarian without permanent/continuing status who are seeking permanent or continuing status, the Administrative Officer Responsible for Personnel, in consultation with the candidate and supervisors, will identify an individual from outside of the University of Washington to serve as the external reviewer of the file. The external reviewer is chosen for the reviewer's ability to evaluate the candidate's professional accomplishments and activities. The Administrative Officer Responsible for Personnel will send the external reviewer the file which consists of the candidate's letter requesting consideration for promotion, documentation, position descriptions; and the Libraries policies and procedures for promotion; and a copy of the Libraries' mission statement.

A cover letter from the Administrative Officer Responsible for Personnel will include any additional questions to be covered in the external review. The external reviewer will also be asked to provide evaluative comments on whether the candidate has performed in a manner which:

1. Enhances the effectiveness and standing of the University of Washington Libraries;
2. Demonstrates the candidate's ability to meet the responsibilities of the desired rank;
3. Enhances and contributes to the profession.

- **Solicit Internal Letters**

Distribute to University Libraries' employees a list of candidates and their requested action. Library staff who wish to comment on an individual candidate may submit a signed letter to the Administrative Officer Responsible for Personnel which speaks to the requested action of that candidate as outlined in these guidelines. These internal letters will become part of the candidate's documentation. No anonymous internal letters will be accepted.

- **Forward Documentation through Supervisory Line for an Evaluation and Recommendations**

Forward the documentation submitted by the candidate, letters of reference and the statement of evaluation by the external reviewer solicited by the Administrative Officer Responsible for Personnel, and the internal letters through the supervisory line for an evaluation and recommendation from the supervisor and recommendations, as applicable, from the Department Head, Director, or other appropriate unit head and from the appropriate Director or Associate Dean. Evaluations from former supervisors who have supervised the candidate within the previous year of application should also be requested by the Administrative Officer Responsible for Personnel.

- **Forward Evaluation and Recommendations to Candidate**  
Copies of the evaluation and recommendations made by the supervisor, others in the supervisory line, and former supervisors, and any internal letters will be added to the candidate's documentation and provided to the candidate two weeks prior to the submission of the documentation to the Librarian Personnel Committee. Letters of reference and the statement of evaluation by the external reviewer solicited by the Administrative Officer Responsible for Personnel will not be made available to the candidate. Candidates will have two weeks to review the documentation with evaluations and recommendations. Within those two weeks, any candidate who does not concur with the evaluation and recommendation, and/or the internal letters may submit a statement to the Administrative Officer Responsible for Personnel explaining the points of dispute accompanied by supporting details. This statement will become part of the candidate's documentation. A copy of the candidate's statement also will be made available to the supervisory line. If a candidate for whom an action is not required decides to withdraw the candidate's request, it must be done at this time.
- **Submit all Documentation to the Librarian Personnel Committee**  
Submit all documentation, including a cover letter stating what action is being requested by the individual and specific alternative actions which are permissible under the Librarian Personnel Code, to the Librarian Personnel Committee.
- **Forward any Documentation Comments**  
After the promotion cycle, the Administrative Officer Responsible for Personnel will forward any comments received from the Librarian Personnel Committee regarding future improvements to the candidate's documentation to the candidate and the candidate's immediate supervisor and others in the supervisory line as appropriate.

**The Librarian Personnel Committee will:**

- **Transmit the Documentation to the Appropriate Review Committee**  
The Librarian Personnel Committee will transmit all documentation to the appropriate review committee for review.
- **Review Documentation and any Documentation Comments**  
The Librarian Personnel Committee will review the documentation and the review committee's recommendation for each candidate. The Librarian Personnel Committee will also review any review committee comments recommending improvements to the documentation.
- **Submit its Recommendation and Supporting Documentation to the Dean of University Libraries**  
The Librarian Personnel Committee may either concur with the review committee's recommendation or make its own recommendation. The chair of the Librarian Personnel Committee submits its recommendation and all supporting documentation to the Dean of University Libraries. In addition, if the Librarian Personnel Committee has received review committee recommendations concerning a candidate's documentation, it will forward this

information to the Administrative Officer Responsible for Personnel. The Librarian Personnel Committee may also choose to incorporate these recommendations in a separate memo.

**The Review Committee will:**

- **Review Documentation**

The review committee will review the documentation and make a recommendation for a specific action to the Librarian Personnel Committee. In making its recommendation, a review committee refers to and carefully considers the qualifications, responsibilities and other pertinent information relating to promotion, renewal of appointment, or granting or permanent/continuing status as stated in Chapter II. The chair of each review committee transmits its recommendation to the Librarian Personnel Committee. The review committee may also include a separate statement to the Librarian Personnel Committee detailing possible improvements for the candidate's future documentation.

**The Dean of University Libraries will:**

- **Make the Final Recommendation**

The Dean of University Libraries will make the final recommendation and discuss it with the Committee if it varies from the Committee's recommendation.

- **Transmit Recommendations to Provost**

The Dean of University Libraries' recommendations for promotion or granting of permanent/continuing status will then be transmitted to the Provost. Recommendations for renewal of appointment do not need to be reviewed by the Provost.

- **Notify Supervisory Line and Candidate of the Final Decision**

After the Provost's decision has been received, the final decision for each individual will be made known to the immediate supervisor and others in the supervisory line as well as the chair of the Librarian Personnel Committee, prior to the Dean of University Libraries notifying the individual. The chair of the Librarian Personnel Committee will inform the Committee and the respective review committees, once the candidates have been notified. When a librarian has been unsuccessful in achieving the requested action, the Dean of University Libraries will work with the immediate supervisor, the appropriate Director or Associate Dean, and others in the supervisory line to assist the librarian in understanding the current situation and in planning for future options (assuming the action is not terminal). The Librarian Advisory Program will also be utilized.

**3. Extension of the Appointment Period for Promotion and Permanent/Continuing Appointment**

- a. **Purpose.** The University of Washington Libraries has a critical interest in attracting and retaining librarians of the highest quality. This interest is enhanced by ensuring that librarians are reviewed and promoted in ways that are fair and conducive to a healthy work/life balance. To ensure fairness and equity in administering the system of academic permanent/continuing appointment, the Libraries must provide consistent conditions and standards while supporting members in balancing personal and family obligations with professional achievement. For these reasons, extensions of the probationary period for librarians seeking promotion and permanent/continuing appointment are reserved for compelling circumstances which impair the



ability of an individual to establish the stature expected of librarians at the University of Washington within the normal time frame.

- b. Conditions.** Approvals of extensions of the appointment period are never automatic but may be granted when circumstances cause substantial impairment of a candidate's ability to pursue the candidate's professional activities. Such circumstances may include severe personal illness, bereavement, childbirth, adoption of a child, or other significant obligations to a member of the family or household.

The probationary period may not be interrupted for more than one year per event, with a maximum extension of two years.

If an extension is granted, no additional requirements for permanent/continuing appointment can be imposed on the candidate by virtue of the extension. The candidate continues to be subject to the same requirements that the candidate would have been subject to without the extension.

- c. Procedure.** Requests for an extension of the appointment period must be made in writing and submitted to the Administrative Officer Responsible for Personnel, who will review the request. Candidates should consult with their supervisors prior to requesting an extension. Any supporting documentation should be included with the request. Requests are not granted automatically and each will be considered on a case-by-case basis. Generally, however, every effort will be made to accommodate a request when it becomes clear that circumstances, consistent with this policy, will substantially impede the librarian's progress toward achieving promotion, renewal, or permanent/continuing appointment. Next steps are as follows:

- Within five working days of receiving the request, the Administrative Officer Responsible for Personnel will forward it to the Librarian Personnel Committee for their review as to whether the request meets the conditions outlined above and a recommendation to extend or not extend the appointment period.
- Within 10 working days, the Librarian Personnel Committee will forward its recommendation to the Dean of University Libraries for approval or disapproval.
- If approved by the Dean, it will be referred to Academic Personnel for final approval.
- The Administrative Officer Responsible for Personnel will inform the candidate of the decision as soon as it is finalized.

Librarians may approach their unit heads or the Administrative Officer Responsible for Personnel for information concerning the policy or with individual requests for extension.

Annual evaluations will continue to occur on a regular basis and are unaffected by this policy.

## **B. Guidelines for Activities Supporting Reappointment, Promotion, and Permanent/Continuing Appointment**

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Librarians at the University of Washington contribute to the Libraries' vision and mission by performing effectively with regards to three criteria- Position Expectations, Professional Development, and Contribution and Service to the University Libraries, the University and the Community. While the primary emphasis for reappointment, promotion and permanent/continuing appointment is placed on performance in regard to a librarian's position expectations, professional development and service also are essential components of successful academic librarianship.

### **Position Expectations**

Since excellence in position responsibilities weighs more heavily in consideration for reappointment, promotion and permanent/continuing appointment, the performance in one's position must meet high standards of academic librarianship. The following examples provide evidence of effectiveness in performance; not all will apply to every position nor is effective performance restricted to these activities.

- Mastery of the professional knowledge required for the position.
- Positive interaction with members of the library staff and library users.
- Creative response to assigned responsibilities and emergent needs.
- Initiation of new projects, procedures, or functions which improve services of the unit, University Libraries, or other user communities.
- Effective instructional and communication skills.
- Demonstrated ability in report writing and analytical skills, such as:
  - Preparation of written materials such as staff manuals.
  - Development of in-house guides, bibliographies, etc., which improve the use of library resources.
  - Analysis of data relating to library collections, functions, and use.
- Effective participation in policy formulation at the departmental and/or libraries-wide level.
- Performance of managerial duties with demonstrated abilities in:
  - Leadership of the department or area.
  - Organizational skills.
  - Supervisory skills.
- Professional growth with an on-going commitment to mastery of new skills in one's specialty and knowledge of current developments in the profession.

### **Professional Development**

Librarians are expected to demonstrate a sustained commitment to professional development throughout their careers. They show evidence of this commitment in a variety of ways. Depending on the librarian's position, interests, and professional goals, a librarian should pursue active participation in professionally-relevant associations, scholarly associations, research, publishing, additional education, and/or other professionally-relevant, creative or service activities. Such activities should constitute a substantive contribution to the profession or to scholarship, or should significantly enhance the

individual librarian's ability to carry out the librarian's professional responsibilities. A list of sample activities follows. No individual librarian is expected to have engaged in every activity listed, nor is the list exhaustive.

- Participation in professional associations at the local, state, regional, national, and/or international levels.
  - Membership and active participation in professional organizations that result in professional development.
  - Active participation in or chairing committees of professional or scholarly societies.
  - Presentations, including such things as papers, lectures, displays, and poster sessions and other professional forums.
  - Active participation in governance of professional or scholarly societies.
  - Organization of workshops and meetings at state, regional, national and/or international levels.
  - Service as a consultant or advisor on professional matters.
- Scholarly and library-related publications relating to librarianship or other academic disciplines (regardless of format).
  - Books
  - Articles published in formats such as, but not limited to: books, recognized professional journals, and electronic publications.
  - Edited works or compilations, indexes, or translations of published works; service on editorial boards; editor of journals.
  - Bibliographies
  - Software packages, video/interactive programs.
  - Shorter works such as reviews and columns.
  - Online content such as blogs, wikis, and web sites.
- Contributions to the profession.
  - Instructions, lectures, workshops, or seminars other than those performed as a part of regularly assigned activities.
  - Development of innovative procedures, standards, or new technologies which improve library service.
  - Moderator of a listserv.
- Creative activities.
  - Preparation of scholarly exhibits.
  - Other examples of creative activities relating to librarianship.
- Proposals for research submitted and/or funded; grant writing.
- Serves as reviewer for library-related grant application.
- Additional education.
  - An advanced degree or progress toward a degree in an academic discipline other than library science/information studies/archival studies or certification in a professionally-related field.
  - An advanced degree or progress toward a degree in library science/information studies/archival studies beyond the MLS.

### **Contributions and Service to the University Libraries, the University and the Community**

Service to the University Libraries, the University and the community are important aspects of librarianship. The purpose of the service criteria is to provide evidence of contributions which extend beyond effective performance in one's position. Such contributions may include, but not be restricted to:

- Productive service on University Libraries' committees and task forces, and in the activities of the Association of Librarians of the University of Washington.
- Active participation in University activities including but not limited to committees, councils, task forces, organizations, or instruction, particularly where opportunities exist to enhance the standing of the University Libraries, or of the profession. Examples might include active involvement in curriculum revision at the department, college, or University level, or in the integration of technology into teaching and learning environments, or interdepartmental or outside teaching as defined in section J of this chapter, "Guidelines for Interdepartmental Teaching and Outside Professional Work."
- Active participation in or support of student activities, particularly where opportunities exist to enhance the standing of the University Libraries, or of the profession. Examples might include serving as an advisor to a student publication, or participating in a formal mentoring program for students interested in becoming librarians.
- Service to the scholarly community that enhances the stature of the University Libraries and the University. Examples might include serving on the board of a museum or historical society, speaking on a topic of professional interest, or consulting in an area of professional expertise.
- Community service that enhances the stature of the University Libraries and the University. Examples might include serving on the board of a community library or as a literacy volunteer.
- Participation in job exchanges at the local, state, regional, national and/or international levels.

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### **C. Guidelines for Performance Evaluations**

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The purpose of a performance evaluation is to establish an annual dialogue between librarians and supervisors of librarians. It is also a means to assist individuals in improving their performance and thereby improving the quality of library service. The evaluation helps to reinforce mutual awareness between librarians and their supervisors regarding performance expectations, position requirements, and University Libraries and unit priorities.

The evaluation process should take into account all aspects of the librarian's duties and position performance. The process should lend support for continued growth by emphasizing the accomplishments of the previous year and making constructive suggestions for further development in the year ahead.

There are two parallel evaluation structures. For librarians who hold provisional or non-continuing appointments including temporary appointments, there is an annual written performance evaluation.

Librarians with permanent/continuing status including re-employed librarians will have an annual progress discussion with their supervisor, supplemented at least every third year by a written performance evaluation. During years when they are not scheduled for a written evaluation, librarians may receive one on request; supervisors may also elect to perform a written evaluation of a librarian in unscheduled years.

The evaluation period for performance evaluations and the calendar for conducting evaluations are determined by the Dean of University Libraries, within University guidelines and requirements.

1. **Eligibility.** A performance evaluation (formal written or informal discussion) will be conducted for each librarian who has been in the University Libraries system for four months or more by the end of the established evaluation period. This includes individuals in temporary positions who have been in the system four months or more and retirees who have been re-employed. An individual who has been notified that the individual's appointment will expire in the coming year will not be evaluated. Whenever possible, written evaluations should be conducted when a librarian changes positions, if the librarian's supervisor has served in that capacity for four months or more in accordance with the established evaluation schedule. These written evaluations are particularly important if the librarian is on a schedule during which an overall written performance evaluation is required.
2. **Responsibilities of the Librarian.** Librarians are responsible for reporting on their activities to their supervisor on an ongoing basis and for documenting their accomplishments and goals for the performance evaluation process. See Appendix B for the Activities Review Documentation.
3. **Responsibilities of the Supervisor.** Supervisors must be knowledgeable about the performance of the librarians they supervise and must provide encouragement in their professional growth as well as guidance, when necessary, to help individuals correct deficiencies in performance.

Supervisors need to seek information about the performance of librarians they supervise. In particular, they need to be knowledgeable about the librarian's contributions to teams, committees and other University Libraries or respective unit activities. Committee and task force chairs, team leaders and others should be prepared to provide such information to supervisors as requested. Supervisors must provide encouragement to their supervisees' professional growth, as well as guidance, when necessary, to assist individuals correct deficiencies in performance.

4. **Procedures.** The calendar for the performance evaluation process will be established annually by the Dean of University Libraries, within University guidelines and requirements.

*Provisional/Non-Continuing Status.* Librarians with provisional/non-continuing status or with temporary status prepare documentation covering accomplishments of the previous academic year, using the Activities Review Documentation form. Performance documentation should include a current position description and any other position descriptions valid for that review period.

*Permanent/Continuing Status.* Librarians with permanent/continuing status and librarians who have been re-employed upon retirement prepare the same documentation in those years when they are subject to written evaluations. In other years they report on the previous year's accomplishments and prepare a list of goals for the coming year for discussion with their supervisors.

*Review Process.* Librarians who are undergoing promotion/reappointment/status review are not expected to submit the Activities Review Documentation during the year in which they are undergoing a promotion/reappointment/status review. These librarians will report on the previous year's accomplishments and prepare a list of goals for the coming year for discussion with their supervisors. No written annual evaluation is required that year.

Upon receipt of the completed Activities Review Documentation, supervisors prepare the written evaluation and distribute a copy to the librarian undergoing the written evaluation. In the preparation of the written evaluations, supervisors include the name of the librarian, date and place for the signature of both the supervisor and librarian on the evaluation form. A copy of the written evaluation is given to the librarian prior to the evaluation discussion. Evaluation sessions are held between supervisors and the librarians they supervise. All evaluations are signed by librarians and supervisors, and forwarded through the supervisory line to the Dean of University Libraries. A librarian's signature implies neither agreement nor disagreement with the evaluation. A librarian may write a response to the supervisor's review that then must be signed by both the librarian and supervisor and added to the performance evaluation that is forwarded through the supervisory line. Upon completion of the evaluation process, a copy of the evaluation is provided to the librarian.

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## **D. Guidelines for Determining Salary Increases Based on Merit**

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Merit recognition serves as a reward for productive professional performance and an incentive for continued professional growth. Productive professional performance includes those responsibilities described in the librarian's position description and in Chapter IV, Guidelines B and J.

Merit recognition is not a premium to retain especially skilled librarians, to meet competitive salary levels or reward length of service or to correct inequity. While merit is not based on significance of the position in the system, per se, expectations are appropriate to the level of the position, and rank and professional experience of the individual. Merit salary increases are permanent increases unless identified otherwise by the University.

At the discretion of the Dean of University Libraries and if University instructions permit, a portion of funds allocated for merit salary increases may be used to minimize salary inequities.

The purpose of these guidelines is fivefold:

1. to define meritorious performance;
2. to define the categories for consideration of merit;
3. to describe the responsibilities of librarians and supervising librarians in the merit review process;
4. to describe the responsibilities of the Merit Review Committee which provides a mechanism for equitable review; and

5. to outline the procedures for the merit review process.

The merit review process will be activated by the Dean of University Libraries upon notification by the President that funds for salary increases based upon merit will be available. In the years in which the available funds are inadequate for meaningful distribution, the Dean, in consultation with the Librarian Personnel Committee, may determine an appropriate alternative procedure.

### **1. Definition of Meritorious Performance**

Merit is earned by a sustained high-quality performance which is expressed as an integrated contribution to the University Libraries, University, and the research and learning community during the merit review period. The term "integrated contribution" signals the expectation that librarians will balance all aspects of their position descriptions including that portion which refers to professional development and community service. The performance of one's professional duties within the University of Washington Libraries is the anchor of any librarian's overall position performance. However, no performance is complete without evidence of continuing professional development and/or community service. While it is unlikely that every aspect of one's performance will be uniformly excellent in any given review period, it is expected that over an extended period of time a high-quality performance in each area will be achieved.

Meritorious performance is characterized by: the disciplined management of time and resources to sustain timely, appropriate service; innovation; resourcefulness and responsiveness in dealing with library users and staff; willingness to accept and promptly execute various assigned responsibilities; accountability; understanding the direction of the University Libraries' programs; support of the University Libraries' policies and goals; maintenance of a system-wide view; recognition of the obligation to promote the professional development of oneself and one's colleagues; and a creative awareness of opportunities to enhance individual performance and the University Libraries' programs so as to make contributions to the University Libraries, University, research and learning community, user community and profession.

### **2. Categories for Merit Consideration**

The following list describes the categories for merit consideration.

- a. **Merit Salary Increase:** The merit salary increase category is supported by a sustained high-quality level of productive professional performance. Librarians who give a meritorious performance during the merit review period will receive a merit salary increase.

Listed below are performance characteristics which illustrate a high-quality level of productive professional performance. A meritorious performance will be recognized when such characteristics are predominant and applicable to the librarian's professional performance.

- Accepts and efficiently carries out responsibilities as defined in the position description; produces high quality work; is accountable for actions taken; manages time and resources effectively; shows a willingness to perform whatever tasks are required to accomplish unit or University Libraries' objectives.
- Applies professional knowledge and experience to responsibilities; deals independently and successfully with problems without undue involvement by supervisors.

- Demonstrates initiative, is willing to be innovative and takes risks; uses current and emergent concepts to develop and apply new techniques; conceptualizes problems and their solutions.
  - Maintains an affirmative approach; supports unit goals and programs actively and verbally; works toward system-wide objectives by supporting the unit and the unit's role within the system; represents the University Libraries in a positive manner to the University, research and learning community, or profession.
  - Demonstrates resourcefulness and responsiveness in dealing with users and staff; represents needs of users and staff to unit or system; works well with subordinates, peers and supervisors; demonstrates leadership as appropriate; accepts direction; gives, accepts and acts positively on constructive criticism; communicates adequately and clearly with users and colleagues both verbally and in writing.
  - Serves responsibly and productively on unit, University Libraries, or University or other professional committees, task forces, teams and groups as appropriate.
  - Assumes responsibility for one's own professional development related to position performance and supports that of colleagues and subordinates, librarians and staff.
- b. No-Merit:** The no-merit recommendation is supported by a failure to achieve sustained high-quality level of productive professional performance. All no-merit recommendations will be reviewed by the Merit Review Committee.

Librarians who are recommended for no-merit will not receive a merit salary adjustment.

### 3. Eligibility

Librarians who have been in the University Libraries system four months or more will submit a Merit Review Documentation form. The date for the four month eligibility will be set by the Dean of University Libraries when the merit review process is activated. Librarians who are eligible to submit merit review documentation are eligible to stand for election to the Merit Review Committee, except the Dean of University Libraries, the Administrative Officer Responsible for Personnel, and those librarians currently serving on the Librarian Personnel Committee. All librarians who are eligible to submit merit review documentation are eligible to vote in this election.

### 4. Responsibilities of Librarians

Librarians are responsible for performing their assigned position responsibilities and actively conducting themselves in a meritorious manner described as "sustained high quality productive professional performance." Librarians' professional responsibilities include reporting on their activities to their supervisors and documenting their accomplishments and goals when requested during the merit review process. If a librarian elects to not submit merit review documentation, it will be considered the same as a request to be considered for no merit.

### 5. Responsibilities of Supervisors



Supervisors must know and understand their responsibilities as managers. They must also know and understand: the unit's and University Libraries' mission, objectives and activities; the requirements of the positions of each of the individuals they supervise and how each individual's activities fulfill those requirements. Supervisors should assess the librarian's entire performance during the merit review period and not focus on isolated events. In cases where there is more than one supervisor, comments should be made for the time period during which the supervisor-supervisee relationship existed. In making their recommendations, supervisors should pay careful attention to each librarian's position description, rank, and the Merit Review Documentation form, as well as the "Procedures for Determining Salary Increases Based Upon Merit (Section 7)."

Supervisors need to seek information about the performance of librarians they supervise. In particular, they need to be knowledgeable about the librarian's contributions to teams, committees and other University Libraries' or respective unit activities. Committee and task force chairs, team leaders and others should be prepared to provide such information to supervisors as requested. Supervisors must provide encouragement in their supervisees' professional growth as well as guidance when necessary to help individuals correct deficiencies in performance. In addition, supervisors must be able to thoroughly and clearly document the level of activity and quality of the librarian's professional performance so that the merit recommendation can be weighed for accuracy, consistency and appropriateness. In the event the supervisor does not receive the completed merit review documentation from a librarian, the supervisor will initiate the review process by completing the supervisor's portion of the form.

## **6. Responsibilities of the Merit Review Committee**

The role of the Merit Review Committee is to provide librarian oversight for the merit review process. Primarily, the Merit Review Committee is charged to carefully review all no-merit recommendations and split recommendations. Should the Merit Review Committee determine a need to place any performance in context, it may choose to review all or a selection of merit recommendations. The Merit Review Committee may also request additional supporting documentation to assist with its analysis.

When reviewing recommendations for no-merit, the Merit Review Committee looks for evidence of consistency in applying criteria within departments and system-wide, and for evidence that the criteria for a meritorious performance have not been met. To fulfill this assignment the Merit Review Committee may call for and review all available supporting documentation. This review process may include a selection of merit recommendations in order to place the librarian's performance under consideration in context. When the Merit Review Committee reviews merit documentation in context and with its professional knowledge, the committee may determine that there are discrepancies between merit recommendations. The Merit Review Committee should forward the merit documentation under question to the Dean of University Libraries for review.

The Merit Review Committee records its recommendations for the cases under review and forwards them as a packet to the Dean of University Libraries who is responsible for the final decision. The Dean of University Libraries will consult with the Merit Review Committee regarding any concerns about the consistency or accuracy of any recommendation for salary increases based on merit (merit salary increase or no-merit), but consultation is not required. Should the Dean of University Libraries reverse any of the Merit Review Committee recommendations, the Dean shall inform the Merit Review Committee of these changes.

When the Dean of University Libraries receives notification regarding the merit money allocation, the chair of the Librarian Personnel Committee and the Administrative Officer Responsible for Personnel will hold an election for each personnel group [see Appendix A] to elect its representative to the Merit Review Committee. Librarians eligible for the merit review shall stand for election to the Merit Review Committee, except the Dean of University Libraries, the Administrative Officer Responsible for Personnel, and those librarians currently serving on the Librarian Personnel Committee. All librarians eligible for merit review may vote in this election.

Each personnel group elects one representative. The candidate with the most votes is elected to the Merit Review Committee. In the case of a tie vote, a representative will be selected using a random method (e.g., by drawing lots) under the direction of the Administrative Officer Responsible for Personnel.

The chair of the Librarian Personnel Committee will select two additional members from the Librarian Personnel Committee to serve on the Merit Review Committee. The Merit Review Committee will consist of five members and will select its own chair. The members of the Merit Review Committee will serve only for that merit review period. Members of the Merit Review Committee will recuse themselves during their own reviews or the review of those in their supervisory line. Subsequent to its election, the Merit Review Committee will meet to determine that it has sufficient membership to carry out its responsibilities. If an elected member of one of the personnel groups cannot serve for emergency reasons, the chair of the Librarian Personnel Committee may appoint another representative from that same personnel group.

## **7. Procedures for Determining Salary Increases Based Upon Merit**

The merit review process followed by the University Libraries is undertaken within the guidelines set by the University of Washington. The President allocates funds for across-the-board and merit salary increases for librarians. Since the allocation of funds is tied to the budget cycle, it is possible that merit salary increases will not be available in each academic year and that notification of their availability may come at different times during any year in which they are available. The merit review period will either cover the period since the last merit review period, or the merit review period will be set at the discretion of the Dean of University Libraries in consultation with the Librarian Personnel Committee.

The following procedures will apply:

- Upon such notification by the President, the Dean of University Libraries will request that the Administrative Officer Responsible for Personnel distribute the Merit Review Documentation form to all librarians. The Dean of University Libraries will establish the calendar and implementation procedures for each merit review period. The Administrative Officer Responsible for Personnel will coordinate information meetings to assist librarians, supervisors and Directors/Associate Deans in preparation and evaluation of the Merit Review Documentation.
- Librarians will submit their Merit Review Documentation form to their supervisors as outlined in the calendar and implementation procedures.
- The immediate supervisor will complete the Merit Review Documentation form and return it to the librarian for the librarian's signature. The immediate supervisor will then forward the form, including the librarian's job description, up the administrative line to the level of Directors/Associate Deans. Supervisors at each level will record their own recommendations on

the Merit Review Documentation form. The Directors/Associate Deans will record their recommendations and forward to the Administrative Officer Responsible for Personnel. If the librarian has held more than one position during the review period, a separate Merit Review Documentation Form must be submitted by the immediate supervisor for each position.

- The Office of the Administrative Officer Responsible for Personnel will inventory the documentation packets and sort them by recommendation: merit; no-merit and split-recommendations. A copy of the Merit Review Documentation form with the supervisors' recommendations will be given to each librarian under review by the Merit Review Committee. At this time each librarian will be provided with an opportunity to submit a statement to accompany the merit review. The librarian will respond within seven working days. A copy of this statement will be forwarded to those in the supervisory line. When all the packets are completed, the documentation will be forwarded to the Merit Review Committee.
- The chair of the Librarian Personnel Committee will convene the initial meeting of the Merit Review Committee at which the members of the Merit Review Committee elect a chair. The chair of the Merit Review Committee will convene all subsequent meetings. After careful review, the chair of the Merit Review Committee will record the Committee's recommendations on each form and forward the recommendations to the Dean of University Libraries as outlined in the calendar and implementation procedures.
- The Dean of University Libraries will review the recommendations with the Directors/Associate Deans as appropriate.
- The Dean of University Libraries will decide the matter and transmit the decisions as recommendations to the Provost.
- The Dean of University Libraries will consider salary increases based on merit for Directors/Associate Deans and those librarians reporting directly to the Dean and shall recommend the decision to the Provost.
- The Provost makes the final decisions and communicates these decisions to the Dean of University Libraries.
- The Provost's decision for salary increases based on merit will be transmitted to the individual librarian by the Office of the Administrative Officer Responsible for Personnel. At the same time, the Office of the Administrative Officer Responsible for Personnel informs the supervisory line of each librarian so notified.
- The Directors/Associate Deans, in consultation with the Dean of University Libraries and those in the supervisory line, will review the merit decision with librarians who received no merit.
- The Provost shall determine the salary increase based on merit for the Dean of University Libraries.

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## **E. Guidelines for Resignation, Retirement and Involuntary Termination**

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Resignation is considered voluntary termination of employment for any reason. Retirement is considered an ending of employment at the University of Washington for age, because of condition of health or when the individual meets the University's definition of eligibility. Involuntary termination is

considered an ending of employment at the University of Washington as the result of removal for cause, for reasons of programmatic change, program elimination, or for financial emergency.

## 1. Resignation

Librarians may voluntarily resign by submitting to the immediate supervisor a written notice of resignation addressed to the Dean of University Libraries.

### Procedures for Resignation

- The letter of intent to resign should include the date of separation for payroll purposes and, if different, the last actual working day. Individuals have a professional obligation to give a minimum of one month's notification prior to the effective date of the resignation.
- The immediate supervisor will forward the letter of resignation through the supervisory line for acknowledgment by the Dean of University Libraries. The Dean will forward the letter to the Administrative Officer Responsible for Personnel for inclusion in the personnel file.

## 2. Retirement

Retirement from the UW Libraries is controlled by the definition in the retirement plan in which Librarians are enrolled:

- Retirement from the UWRP is defined in the UWRP Plan Document: <http://www.washington.edu/admin/hr/benefits/forms/retire/uwrp/plandoc.pdf>
- Retirement from PERS 3 is defined in: <http://www.drs.wa.gov>

Additional information is available from the University Benefits Office.

Librarians participating in other retirement systems (e.g., Public Employees Retirement System (PERS)), should consult published brochures or contact the University Benefits Office for more information on retirement.

**Re-employment Upon Retirement:** For procedures describing re-employment upon retirement, see Chapter II, Section B.3.

## 3. Involuntary Termination

### a. Removal for Cause

To warrant a removal for cause, suspension, or reduction of salary, conduct falling within the following categories must in a substantial way adversely affect the librarian's or the victim's academic, scholarly, or professional ability to carry out University responsibilities.

A librarian may be removed for cause from the librarian's position or subjected to suspension or reduction of salary for one or more of the following reasons:

- Incompetence

- Neglect of duty
- Physical or mental incapacity to perform academic duties
- Unlawful discrimination, sexual harassment, or other violation of Executive Order No. 31
- Scientific and scholarly misconduct, consisting of such acts as intentional misrepresentation of credentials, research misconduct (as defined in Executive Order No. 61), abuse of confidentiality, or deliberate violation of regulations applicable to research
- Conviction of a felony
- Intentional and malicious interference with the scientific, scholarly, and academic activities of others

Each librarian notified of removal for cause may appeal this decision in accordance with Chapter IV, Guideline G.

**b. Removal for Reasons of Programmatic Change, Program Elimination or Financial Emergency**

Unless otherwise stated, these guidelines apply to the removal of librarians holding permanent appointments, or the removal of librarians holding provisional appointments

1. prior to the expiration of the term appointment or
2. at the end of the term appointment

when the procedures stipulated in Chapter IV, Guideline A, were not utilized. Such removals shall be termed "Removal for Reasons of Programmatic Change, Program Elimination or Financial Emergency." These guidelines are for programs supported by state-appropriated funds.

Upon declaration of a financial emergency within the University, or a programmatic change or program elimination within the University or University Libraries for budgetary reasons or for reasons of educational policy, the Dean of University Libraries shall determine the appropriate action in consultation with the Libraries Cabinet, the UW Libraries senior leadership group, and the Librarian Personnel Committee.

Appropriate procedures shall be guided by the following principles:

Such procedures shall assure maximum protection for the academic programs of the University and the educational needs of its students, consistent with the role and mission of the University.

Such procedures shall protect the University's commitment to permanent appointment status, and shall not recommend the removal of librarians with permanent appointments with less than twelve months' notice unless the Dean of University Libraries has concluded based on the terms of the financial emergency that a notice of this length is not feasible.

Such procedures shall protect the University's commitment to affirmative action.

Such procedures shall provide for prompt and explicit notice to librarians to be removed.

Such procedures shall identify the criteria and procedures to be used by the Dean of University Libraries in the identification of programmatic changes to be implemented or programs to be eliminated, and librarians to be removed.

Such procedures shall provide appropriate appeal mechanisms for librarians removed for reason of programmatic change, program elimination or financial emergency. In such appeals, affected librarians may raise any issue related to the criteria and the procedures in, and applied to, the removal.

Such procedures shall include provisions for the placement and reinstatement of librarians with permanent appointment who are removed, including but not limited to the following:

- All efforts shall be made to provide suitable placement of removed librarians with permanent appointment elsewhere in the University Libraries.
- Such procedures shall provide for preferential rehiring of any removed librarians with permanent appointment to fill any vacancy or new position within an appropriate department within five years of the librarian's removal.

**i. Notification**

- Each librarian proposed by the Dean of University Libraries for removal for reasons of programmatic change, program elimination or financial emergency shall be notified in writing by the Dean and the effective date shall be stated.
- Each librarian proposed by the Dean of University Libraries for removal for reasons of programmatic change, program elimination or financial emergency shall be notified at least twelve months in advance of the termination, whenever possible.

**ii. Appeal**

Each librarian notified of removal for reasons of programmatic change, program elimination or financial emergency may appeal this decision in accordance with Chapter IV, Guideline G.

**iii. Placement in Another Unit**

The University Libraries shall make every reasonable effort to place librarians notified of removal for reasons of programmatic change, program elimination or financial emergency in other University Libraries employment for which they are qualified with comparable terms of employment. Priority in such employment shall be given to the librarian notified of programmatic change, program elimination or financial emergency in accordance with University and State employment procedures. In addition to the required notification period, special assignments with pay may be provided to enable the librarian to prepare for changed employment responsibilities.

**iv. Reinstatement**

In the event that the eliminated University Libraries' program is reinstated within a period of five years, new positions shall not be filled through normal appointment search procedures until librarians removed because of programmatic change, program elimination or financial emergency who qualify for positions have been offered reappointment on terms at least

comparable to terms which applied to the position previously held. Such removed librarians shall be given 30 calendar days to accept or decline an offer of reinstatement.

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## F. Guidelines for Professional Leave

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### 1. Purpose and Authority

The purpose of professional leave with pay is to afford the librarians at the University Libraries the opportunity to increase their knowledge, further their scholarship, expand their skills and enhance their professional development. The common objective of all professional leave is to enhance the librarian's capacity for service to the University of Washington Libraries. Professional leave is a privilege granted to those with permanent or continuing status. It may encompass study, teaching, research or service; for example, relocation to another library setting or participation in an exchange agreement. The character of the leave plans as well as the individual's ability to carry out these plans are important considerations in the granting of professional leave. The librarian and University Libraries will assume a cooperative spirit to ensure the success for each professional leave request.

Ordinarily, professional leave with pay will not be granted for the purpose of working toward an advanced degree. Under unusual circumstances, however, librarians with permanent or continuing status may be granted this privilege upon recommendation by the Dean of University Libraries to the President. The authority to grant professional leave rests with the Dean of University Libraries with the approval of the Provost.

### 2. Eligibility

Professional leave with salary may be granted to librarians with permanent or continuing status for up to one year during a seven year period. The leave may be taken all at once or at different times within the seven year time period. A librarian granted professional leave must agree, in writing, to return to the University of Washington Libraries for a period of one year after the leave.

### 3. Salary Support

The Libraries will provide salary support based on an applicant's annual appointment, up to the maximum, for the period of the leave as follows:

- a. Full salary for a leave not exceeding three months; **or**
- b. Three-fourths salary for a leave greater than three months, but not exceeding six months;  
**or**
- c. Two-thirds salary for a leave exceeding six months, but not to exceed twelve months if the applicant's appointment is annual.

If a librarian secures outside grant support which is designated for salary purposes, such funds may be applied to increase the individual's remuneration for the period of the leave to full salary, and thereafter to reduce the Libraries' contribution. The combined remuneration for a person on professional leave ordinarily may not exceed the librarian's regularly established full salary.

If the leave will be spent in a high cost-of-living area or if the nature of the work requires extraordinary expense, a salary which exceeds the regularly established full salary may be approved by the Dean of University Libraries (to be paid from state-appropriated funds, local funds, and outside support).

An individual on professional leave may not accept remunerative employment during the period of the leave except when the purpose of the leave is for gaining experience which cannot be obtained otherwise.

While participating in an exchange agreement, librarians will generally retain their University of Washington benefits and full salary. In terms of salary support, exchange agreements are not considered as professional leave.

#### **4. Application Procedures**

A letter requesting professional leave should be submitted to the immediate supervisor well in advance of the date of the proposed leave; whenever possible, the date of the request should be no less than six months before the date on which the leave is to begin. The letter should address the following:

- A detailed statement of the applicant's plans for utilizing the time requested including such information as the time sequence for the completion of any project.
- The names of foundations or institutions, if any, with which the applicant expects to be affiliated during the leave, an outline of special resources available for the proposed work, and the source and amount of any supplementary grants or salary.
- A statement regarding the value of the applicant's project in terms of benefit to the institution upon return from professional leave.

The immediate supervisor will forward the letter and the recommendation regarding the request through the supervisory line to the appropriate Director or Associate Dean. Supporting letters may be provided by other librarians in the University Libraries. The immediate supervisor will include recommendations about staffing coverage for the librarian requesting professional leave. All requests for professional leave will be forwarded through the supervisory line to the Dean of University Libraries. If the Dean of University Libraries approves, the request will be forwarded to the Provost for final approval.

#### **5. Report of Leave**

A written report of the activity during the leave will be submitted to the Dean of University Libraries and to the Provost within one month after the conclusion of the leave. The report must state how and where the leave was spent and what the principal accomplishments were, including their application to the improvement of library services at the University of Washington Libraries. A verbal report of the leave may also be requested.



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## G. Guidelines for Administrative, Conciliatory and Adjudicative Proceedings for the Resolution of Differences

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These administrative, conciliatory and adjudicative guidelines set forth the procedures to be used in resolving disputes involving librarians that cannot be resolved by informal means. Informal dispute resolution procedures are available at any time during the resolution process, including the time period after a hearing has been requested and before a final decision has been reached. Such procedures include the Conciliation procedures through the University Ombud. The parties are strongly encouraged to use those procedures and/or other informal mediation procedures available through the Libraries Conciliation Board whenever possible.

The adjudicative procedures set forth in this chapter comply with the requirements of the Washington Administrative Procedure Act [RCW Chapter 34.05]. There are two types of adjudication: the Brief Adjudication, held before a Hearing Officer and used in cases that do not warrant an extended fact-finding hearing, and the Comprehensive Adjudication, which uses a Hearing Officer as well as the Adjudication Committee. Results of these adjudications are ultimately appealable to the President, except for cases where the President is a party to the controversy, which are appealable to the Board of Regents. Subject to the provisions of RCW Chapter 34.05 relating to exhaustion of administrative remedies, parties shall avail themselves of these proceedings prior to seeking review beyond the University.

### 1. Definitions

The following terms used in the guidelines shall have the meanings set forth below:

- a. **Adjudication Committee:** the standing committee of librarians pursuant to Section 4.b. The Adjudication Committee presides over Comprehensive Adjudications.
- b. **Brief Adjudication:** an informal adjudication used for cases involving a limited number of persons, simple factual issues and minor impact on the persons involved. Section 9 sets forth the types of cases for which Brief Adjudications are used and the procedures to be followed.
- c. **Comprehensive Adjudication:** the formal hearing process used for all cases except the minor cases that are resolved with Brief Adjudications. Sections 10 through 13 set forth the procedures to be followed.
- d. **Libraries Conciliation Board:** appointed by the Chair of the Adjudication Committee; serves as a neutral third party to conduct conciliatory proceedings. Conciliatory proceedings aim at resolving problems by informal means without resorting to the more formal adjudicative proceedings. The members of the Libraries Conciliation Board shall be mutually agreed upon by all parties involved.

- e. **Hearing Officer:** an attorney appointed jointly by the Dean of University Libraries and the Chair of the Adjudication Committee who performs the following functions: (1) for Comprehensive Adjudications, the Hearing Officer coordinates the Comprehensive Adjudication but does not have voting power on the final decision; and (2) for Brief Adjudications, the Hearing Officer conducts the Adjudication without the Adjudication Committee and is the initial decision maker, subject to review by the Adjudication Committee. The Hearing Officers' qualifications and appointment procedure are specified in Section 4.
- f. **Day:** any calendar day. Any time period specified in this chapter shall not include the day of the act or event from which the time period begins to run. If the time period specified is less than five days, then "day" shall include only business days.
- g. **Party:** the person who has requested an adjudication and the person or persons whose actions or failure to act are identified in the petition as having given rise to the grievance. The term "party" as used herein does not include nonparty participants and does not include persons, such as the Dean of University Libraries or the University Complaint Investigation and Resolution Office (UCIRO), who refer a matter to the Provost for possible action pursuant to Section 3.a.
- h. **Administrative party of right:** is a person, not identified in the petition, who, for good and valid reason, is a necessary party by virtue of being immediately superior in administrative rank to a respondent (for example, Associate Dean of a Director who is a respondent) and whose request to participate in the proceedings has been granted by a Hearing Officer. The administrative party of right shall participate as a respondent to the petition and shall have the same rights and be subject to the same responsibilities as a party.
- i. **Nonparty participant of right:** the person or persons who are alleged to be the victims of any harassment, discrimination or other wrongdoing alleged in the Petition.
- j. **Permissive nonparty participant:** any person who has a substantial interest that will be affected by the outcome of a Comprehensive Adjudication and whose request to participate in the proceeding has been granted by the Hearing Officer, pursuant to the provisions of Section 10.a.
- k. **Nonparty participant:** where not specified, this term applies both to nonparty participants of right and permissive nonparty participants.
- l. **Librarian:** any person who meets the definition of librarian as set forth in Chapter I and would be eligible to invoke the adjudication procedures of these guidelines for the resolution of a grievance described in Section 3.b.
- m. **Petition:** the document filed by the person requesting an adjudication, in order to begin the adjudication. The contents of the Petition and the manner of filing are specified in Section 7.

## 2. Administrative and Conciliatory Proceedings for the Resolution of Differences

This section describes the informal proceedings available for the resolution of differences. The proceedings set forth in this section are permissive, not mandatory. A librarian may instead initiate a request for adjudicative proceedings, keeping in mind the time limits described in Section 6. Should the

librarian choose to engage in administrative and/or conciliatory proceedings prior to seeking adjudication, time limits provided in Section 6 shall be extended for the period required for completion of such proceedings. Administrative and conciliatory proceedings are always available, with no time limits.

- a. **Administrative Proceedings:** The librarian may first discuss the issue with the appropriate Director or Associate Dean and, if the librarian so wishes, the Dean of University Libraries. The matter may be concluded by mutual consent at this point.
- b. **Conciliatory Proceedings:** If the process of resolution by mutual consent under Section 2.a. does not take place or fails, the librarian, the Director or Associate Dean of Libraries or the Dean of University Libraries may request the assistance of the Libraries Conciliation Board as a neutral third party by applying to the Chair of the Adjudication Committee for such assistance. Conciliatory proceedings aim at resolving problems by informal means without resorting to the more formal adjudicative proceedings.
  - i. The Chair of the Adjudication Committee shall appoint three librarians who have served on the Adjudication Committee to serve on the Libraries Conciliation Board. The members of the Libraries Conciliation Board shall be mutually agreed upon by all parties involved. The members shall be librarians with permanent or continuing status. No member of the Libraries Conciliation Board shall be assigned to a case arising within the member's own branch or department.
  - ii. The Libraries Conciliation Board is authorized to investigate the matter, to examine and collect documents and other information, and to discuss the issues with both sides with a view to achieving a mutually agreeable resolution. In discussions with the Libraries Conciliation Board, only the parties may participate. The Board may seek advice from the University Ombud.
  - iii. The Libraries Conciliation Board shall act as an intermediary. Although free to advise and assist the parties to the dispute in analyzing the situation and in crystallizing the issues, the Libraries Conciliation Board does not serve as a representative or counsel for any party.
  - iv. Statements and information divulged in the course of the conciliatory proceedings shall be privileged and confidential. They may be shared by the Board only in the course of consultation with the University Ombud. They shall not be used for impeachment purposes nor shall they be discoverable or subject to subpoena or disclosed to anyone else, including the Adjudication Committee conducting a subsequent adjudicative hearing, or the other parties involved, or in any other adjudicative or judicial proceeding, without the written permission of the individual who divulged the original information. All materials shall be returned to the appropriate parties at the conclusion of the conciliatory proceedings.
  - v. Either party may decide to end conciliatory proceedings at any time. Ordinarily the conciliation effort shall conclude within sixty days of the request for conciliation. The Chair of the Adjudication Committee shall keep the parties informed of these time limits. Upon completion or breaking off of the proceedings, the Libraries Conciliation Board shall take one of two possible actions:
    - If a voluntary disposition was achieved, its results and terms shall be given in writing to the parties to the conciliation and filed with the chair of the Adjudication Committee. If consulted, the University Ombud will be informed that a voluntary disposition was achieved; **or**

- If a voluntary disposition was not achieved, the Libraries Conciliation Board shall notify the parties that the conciliatory proceedings have ended and that adjudicative proceedings may be available as described in Section 3. The librarian may seek advice from the University Ombud about these procedures.
- vi. At the termination of a conciliation proceeding, the Libraries Conciliation Board shall report to the Chair of the Adjudication Committee the general nature of the dispute and whether a mutually agreeable resolution was or was not achieved. The Chair of the Adjudication Committee shall inform the Dean of the University Libraries whether a mutually agreeable resolution was or was not achieved. The librarian may seek advice from the University Ombud about these procedures.

### **3. Cases Subject to Adjudications**

- a. If the University Complaint Investigation and Resolution Office (UCIRO) or any other authorized administrative official files with the Dean of University Libraries a written report that claims reasonable cause exists to adjudicate charges that a librarian has violated university regulations or state or federal laws pertaining to the librarian's performance of the librarian's duties, the Dean of University Libraries shall determine whether such reasonable cause exists. If the report is filed by UCIRO, the Dean of University Libraries shall first engage the Adjudication Committee. Based solely on the written record of the investigation, the Adjudication Committee shall assist and advise the Dean of University Libraries in the Dean's evaluation of whether reasonable cause exists. If the Dean of University Libraries believes such reasonable cause exists, then, before taking any disciplinary or punitive action against such librarian, the Dean of University Libraries shall initiate an adjudication for resolution of such charges by filing a petition in the time and manner specified in Section 6 and Section 7.
- b. A librarian may initiate an adjudication under this chapter by filing a petition for adjudication in the time and manner specified in Section 6 and Section 7, for resolution of a dispute which falls within one or more of the following categories:
- i. Cases in which it is alleged that an authorized university official, through action or inaction, has violated university regulations thereby affecting the terms, conditions, or course of employment of the petitioning librarian. Examples of such cases include, but are not limited to, allegations that university regulations were violated in the denial of permanent appointment or promotion or in the process of program elimination.
  - ii. Cases where the right to an adjudication is specifically granted to a librarian under the Librarian Personnel Code.
  - iii. Cases in which the petitioning librarian alleges an injustice resulting from decisions, actions, or inactions of any persons acting on behalf of the University in an administrative capacity and affecting the terms, conditions, or course of employment of the librarian by the University. In cases involving denial of permanent appointment or promotion, program elimination or discriminatory salary reduction, decisions relating to merit or quality of the librarian can be reviewed only to the extent necessary to determine whether the decision being questioned was affected by factors other than the relevant and permissible considerations in making the particular decision being challenged. Such relevant and

permissible considerations are set forth in the sections of the Librarian Personnel Code addressing appointment, promotion and permanent appointment of librarians.

For purposes of this section, "injustice" shall include, but is not limited to: (a) any action taken that was based at least in part on a legally impermissible reason or on any reason that was unfair in light of the decision being made; and (b) any action that was not supported by an articulated reason that can be shown to be fair and relevant to the circumstances.

#### **4. Adjudication Committee**

- a. Brief Adjudications shall be heard by a Hearing Officer who has been appointed under the procedures specified below. Every other adjudication under this chapter shall be heard by a Hearing Officer and the Adjudication Committee, which has been appointed by the Dean of University Libraries under the procedures specified below.
- b. The Adjudication Committee shall be a standing committee consisting of five members. The members shall be appointed by the Dean of University Libraries upon the recommendation of the Librarian Personnel Committee. The number of recommendations from the Librarian Personnel Committee to the Dean of University Libraries shall be twice the number to be appointed.

Any librarian with permanent or continuing status, with twenty-four months experience in a budgeted position, including grants or contracts, and serving half-time or more at the University of Washington Libraries is eligible to be appointed to serve on the Adjudication Committee. Not more than two members of a personnel group [see Appendix A] shall serve on the Adjudication Committee at the same time. Not more than one part-time librarian shall serve on the Adjudication Committee at any given time.

Terms of office for Committee members shall be two years and shall begin on January 1. No Committee member shall serve more than two consecutive two year terms. The terms of any Committee members involved in a review of an appeal or grievance shall extend to the conclusion of that review, even if the extension goes beyond the previously set date the appointment would otherwise expire.

Terms of office for Committee members shall be staggered, with three members being appointed in even numbered years and two Committee members being appointed in odd numbered years. The Adjudication Committee shall elect from its members a chair to serve one calendar year.

In the event a Committee member is absent or otherwise unable to serve any time during the Committee's deliberations with respect to such matter, the remaining members shall complete the hearing. A Committee member shall not be present during consideration of a matter concerning the Committee member or librarians that member directly or indirectly supervises, or a matter in which the Committee member has been directly involved. It is the responsibility of each Committee member to assess the potential conflicts of interest. Absences from Committee deliberations shall be done in consultation with the remaining Adjudication Committee members.

- c. At least one Hearing Officer shall be appointed jointly by the Dean of University Libraries and Chair of the Adjudication Committee. The terms and conditions of a Hearing Officer's appointment shall be determined jointly by the Dean of University Libraries and the chair of the Librarian Personnel Committee. All such Hearing Officers must be attorneys admitted to the practice of law in at least one United States jurisdiction and shall have knowledge of hearings procedures and university and librarian matters. No department chairperson, school director, department director, associate dean or dean shall serve as Hearing Officer.
- d. All Comprehensive Adjudications shall be heard by one Hearing Officer and the Adjudication Committee composed of five members, with the following exception: if there is unanimous consent of the parties, the adjudication shall be heard by the Hearing Officer without the Adjudication Committee.
- e. The role of the Hearing Officer serving with the Adjudication Committee on a Comprehensive Adjudication shall be that of administrative coordinator. The Hearing Officer shall not have a vote on the final decision of the Adjudication Committee or on interim decisions of the Adjudication Committee while the adjudication is pending, except as specifically noted below. The Hearing Officer shall be responsible for communications between the parties and the Adjudication Committee while the adjudication is pending and shall be responsible for conducting the adjudication in compliance with the Librarian Personnel Code and any applicable law. All actions other than the final decision that are to be taken by the Adjudication Committee under this chapter may be taken by the Hearing Officer if so directed by the Adjudication Committee. The Hearing Officer shall make all legal rulings, as specified below, but any such rulings, including procedural decisions and interpretations of the Librarian Personnel Code or applicable law, are subject to revision or reversal by the Adjudication Committee.
- f. The role of any member of the Adjudication Committee shall be that of an impartial fact finder and judge and shall not be that of an advocate for any of the parties to the adjudication.

## **5. Burden and Standard of Proof**

The burden of proof with respect to claims made in the petition that commences an adjudication under this chapter is on the party filing the petition. The burden of proof with respect to any counterclaims made by a party in a responsive pleading is on that party. The applicable standard of proof for all adjudications under this chapter shall be the preponderance of the evidence.

## **6. Time Limitations on Initiating Adjudications**

- a. In order for the Dean of University Libraries to initiate an adjudication pursuant to Section 3.a., the Dean of University Libraries shall file a Notice of Request for Adjudication and a Petition in the form and manner specified in Section 7 within thirty days after receipt by the Dean of University Libraries of the written report alleging that reasonable cause exists to adjudicate charges against a librarian; provided that in cases where the report was filed with the Dean of University Libraries by UCIRO, the Dean of University Libraries shall file the Notice of Request for Adjudication and Petition within 45 days after receipt by the Dean of University Libraries of such report.

- b. In order for a librarian to initiate an adjudication pursuant to Section 3.b., the librarian shall file a Notice of Request for Adjudication and a Petition in the form and manner specified in Section 7 within:
  - i. 90 days after the librarian has received notice of the action, decision or inaction that gives rise to the librarian's right to an adjudication under Section 3.b; **or**
  - ii. 90 days after the librarian has discovered or reasonably should have discovered the action, decision or inaction or the underlying facts regarding such action, decision or inaction that gave rise to the librarian's right to an adjudication, if later than Section 6.b.(1).
- c. Notwithstanding paragraphs a and b of this Section 6, if the parties choose to engage first in informal dispute resolution proceedings, such as mediation or the conciliatory proceedings, as described in Section 2.b, and such proceedings are commenced within the time limits required above for commencement of an adjudication, then the time limits required in this section for commencement of an adjudication shall be suspended until such informal dispute resolution proceedings are completed. If the informal dispute resolution proceedings do not resolve the dispute, then an adjudication must be initiated within 30 days of the conclusion of such proceedings. A party initiating an adjudication shall provide written notice to the Chair of the Adjudication Committee of the dates of the beginning and conclusion of any informal dispute resolution proceeding.
- d. If a party does not file a Notice of Request for Adjudication and Petition within the time limits prescribed in paragraphs a, b, and c above, then the right to an adjudication shall terminate. Notwithstanding the foregoing, if a librarian files a Notice of Request for Adjudication and a Petition after the time limits prescribed in paragraphs in a, b, and c above have expired, and such Notice and Petition allege that circumstances exist which would make it grossly unjust to refuse to grant the adjudication on the basis of untimeliness, then the Chair of the Adjudication Committee shall convene the Adjudication Committee. The Adjudication Committee shall determine whether the adjudication should be granted despite the untimely filing, on the grounds that it would be grossly unjust to refuse to grant the adjudication. In making such determination the following factors shall be considered by the Adjudication Committee:
  - i. The seriousness of the actions, events or decisions from which a claim for relief allegedly arises, and the seriousness of the alleged impact on the person seeking relief.
  - ii. The reasons for the untimely filing and the extent to which they were or were not within the control of the person seeking relief.
  - iii. The degree of probable prejudice to other parties to the adjudication if the adjudication is granted. The Adjudication Committee shall make its determination within 10 days of the filing of the Notice of Request for Adjudication and Petition.

## **7. Manner of Initiating Adjudications**

- a. The person requesting an adjudication shall file a Notice of Request for Adjudication and a Petition with the Dean of University Libraries. The Petition shall set forth with reasonable particularity the reason for the request for adjudication, the relief sought and the facts relied upon as the grounds for the petition and the relief sought. If the Provost is the requesting party,

the Provost shall include a copy of the written report from UCIRO, the Dean, or other administrative official that forms the basis of the request for adjudication. The Dean of University Libraries shall engage the Adjudication Committee. Within 7 days of receipt of a Notice and Petition, the Chair of the Adjudication Committee shall prepare an Adjudication Summary form that sets forth the names of the persons receiving the Notice and Petition, the persons who are required to respond and the time limits and procedure to follow when responding, and shall deliver complete copies of the Notice, the Petition and the Summary to the other parties, nonparty participants of right, if any, and any other librarian, director, dean or official of the administration, student or staff member who is named in the Petition.

- b. Any party against whom relief is sought shall respond to the Petition by filing a Response sent to both the Dean of University Libraries and the chair of the Adjudication Committee, which sets forth which facts of the Petition are accepted and which are contested and any further assertions of fact or reasons why the relief requested should not be granted. The Response shall be filed with the Adjudication Committee within 30 days of receipt of the Notice, Petition and Summary. The Adjudication Committee shall deliver complete copies of the Response within 7 days of receipt to all persons listed on the Summary who have received copies of the Notice and Petition. Notwithstanding the foregoing, the time period for filing the Response shall be suspended upon commencement of informal dispute resolution proceedings after the filing of the Notice and Petition but before the due date of the Response. In the event that informal dispute resolution proceedings have been initiated, the entity that has been requested to conduct the informal dispute resolution proceeding (i.e., the University Ombud or the Libraries Conciliation Board) shall provide written notice to the Adjudication Committee. If the informal dispute resolution proceedings terminate without resolving the dispute, the Response shall be due on the later of (1) ten days after the termination of such proceedings or (2) the expiration of the original 30-day period for filing the Response excluding the days during which the conciliation proceeding was open.
- c. Within 14 days of receipt of the Response, or within 14 days after expiration of the 37 day period following the receipt of the Notice and Petition, whichever is earlier, the Dean of University Libraries and the Chair of the Adjudication committee shall: determine whether the Notice and Petition have been properly and timely filed, and whether a case subject to adjudication has been presented; if so, determine whether a Brief Adjudication is appropriate under the provisions of Section 9 below; and if so, appoint a Hearing Officer under the provisions of Section 4.c, to conduct the adjudication; identify the parties and the nonparty participants of right, if any, to the adjudication; if a Comprehensive Adjudication is required, appoint the Hearing Officer under the provisions of Section 4.c.

Once the above specified determinations are made, the Dean of University Libraries shall promptly notify the person who filed the Notice and Petition and all persons who are entitled to receive a copy of the Notice and Petition, as specified above, of such determinations and the identity of the Hearing Officer and Adjudication Committee members. The Dean of University Libraries shall give copies of all documents filed in the matter to the Hearing Officer and each member of the Adjudication Committee. The Dean of University Libraries shall also deliver to any nonparty participants of right a statement of their rights of participation in the adjudication.

- d. At any time after the Petition has been filed, if the Dean of University Libraries believes there are compelling circumstances, such as danger to the health or safety of members of the



University community, that warrant the suspension of the librarian from the librarian's duties pending resolution of the adjudication, the Dean of University Libraries may, in consultation with the Provost and with the Adjudication Committee, suspend the librarian for a period not to exceed the duration of the adjudication and assign the suspended member to other duties as the Dean of University Libraries deems appropriate. The librarian's regular salary, benefits and other privileges shall continue during such suspension. A decision to suspend a librarian shall comply with the requirements of RCW 34.05.479, including the requirements of maintaining an official record and preparing a written order with findings of fact, conclusions of law and policy reasons.

## **8. Disqualification of Hearing Officer and Adjudication Committee Members**

- a.** A member of the Adjudication Committee, or the Hearing Officer, shall disqualify oneself upon own initiative immediately upon discovery of a cause for disqualification. Cause for disqualification shall include:
  - i. reason to believe that some personal consideration or relationship might interfere with the Hearing Officer's or Adjudication Committee member's ability to reach an unbiased decision; **or**
  - ii. the Hearing Officer or Adjudication Committee member, outside of the proceedings, receives communications or obtains information which creates a significant risk of substantial unfairness; **or**
  - iii. the matter directly involves a departmental or a divisional colleague of the Adjudication Committee member or the Hearing Officer.
  
- b.** Any party or nonparty participant to the adjudication may challenge any Adjudication Committee member, or the Hearing Officer, for cause for the reasons stated in Paragraph A above. If the facts supporting the disqualification are then known to the party or nonparty participant, the challenge must be made in writing to the Chair of the Adjudication Committee within seven days after receipt of notice that the person being challenged is the assigned Hearing Officer or an Adjudication Committee member. A copy of the written challenge shall also be provided to the Hearing Officer, Adjudication Committee, and all parties and nonparty participants. If the facts supporting the disqualification are discovered after notice of the person's appointment, the challenge shall be made in the same manner described above within seven days of discovery of such facts, and the written challenge shall include a statement regarding the circumstances of discovery of such facts. The Chair of the Adjudication Committee shall review any such challenge and decide whether there is sufficient cause to disqualify the challenged Adjudication Committee member or Hearing Officer.
  
- c.** A Hearing Officer, after consultation with the Chair of the Adjudication Committee, may disqualify any member or the Chair of such Adjudication Committee for failure or inability to make oneself available for the necessary proceedings, for repeated absences from the Adjudication Committee meetings required under this chapter or for failure to be familiar with the record of the adjudication or the necessary procedures.
  
- d.** If an Adjudication Committee member is disqualified, the Adjudication Committee will continue the adjudication with the remaining Adjudication Committee members. If the Chair of the

Adjudication Committee is disqualified, the remaining Adjudication Committee members will select a new chair.

## 9. Brief Adjudications

- a. The Dean of University Libraries shall, pursuant to Section 7.c., determine that a Brief Adjudication be used for all cases whose principle issue is one of the following:
  - i. The allocation of discretionary or merit salary increases;
  - ii. The allocation of space, support staff, or other resources or materials;
  - iii. Job, committee or other assignments within the department or other unit;
  - iv. A conflict between or among librarians, other than claims of sexual, racial or other legally impermissible discrimination or harassment or claims of scientific or scholarly misconduct; **or**
  - v. Any other issue which the Dean of University Libraries determines is appropriate for Brief Adjudication. In making determinations of whether a Brief Adjudication is appropriate for a particular case pursuant to this section, if the Dean of University Libraries determines that
    - the case does not fall clearly within one of the categories specified in 1 through 4 above but which may nevertheless be appropriate for a Brief Adjudication; **or**
    - it is unclear for any other reason whether a Brief Adjudication would be the appropriate procedure, the Dean of University Libraries shall consult the Adjudication Committee. The Adjudication Committee shall review the matter, confer and make a decision whether a Brief Adjudication is appropriate for the case at issue. The review shall include consultation with any librarian whose interests would be directly affected by the adjudication and review of records of any previous Adjudication Committee decisions for similar cases. The decision shall be made with sufficient speed so that the Dean of University Libraries may make the necessary determinations and appoint a Hearing Officer, if necessary, within the time limits specified in Section 7.c. The Chair of the Adjudication Committee shall prepare a written report summarizing the nature of any case submitted to the Adjudication Committee, the decision made as to the type of adjudication to be used and the basis of such decision and shall include such report in the records of the Adjudication Committee.
  
- b. Notwithstanding the foregoing, a Brief Adjudication shall not be appropriate for a case in which any one of the following factors is present:
  - i. Complex factual issues that require a formal fact finding process for resolution;
  - ii. A significant sanction or other significant adverse impact on the librarian, such as discharge of employment or revocation of permanent status, if the decision is adverse to the librarian;
  - iii. Significant impact on the affected librarian's academic career;
  - iv. A relatively large number of persons involved in the dispute or affected by its outcome;
  - v. A series of actions or non-actions that taken alone are not significant but together exhibit a pattern of unfairness;
  - vi. Allegations of unlawful discrimination; **or**
  - vii. The protection of the public interest requires notice and an opportunity to participate to be given to persons other than the parties, including persons who would qualify as nonparty participants under the definition herein.

- c. Upon appointment, the Hearing Officer shall review the documents on file in the matter and conduct an investigation of the matter. The initial investigation, at the discretion of the Hearing Officer, may include any of the following: meeting with the parties, together or separately; communicating with the parties through mail or by telephone; communicating with any other person that the Hearing Officer thinks can provide information relevant to the dispute; and requesting relevant documents from any person. As part of the investigation, the Hearing Officer must contact each of the parties and give each of them an opportunity to present written and/or oral evidence (determined at the discretion of the Hearing Officer) supporting the party's position in the matter and a written or oral statement of the party's position. The decision to restrict the parties' responses to written submissions and the decision of whether an informal hearing where all parties are present and are allowed to present oral statements and evidence are at the sole discretion of the Hearing Officer. If the Hearing Officer determines that an informal hearing is appropriate, the Hearing Officer shall schedule such hearing at a time convenient for all the parties that is at least 10 days and no more than 14 days following the date of appointment of the Hearing Officer. At least 5 days prior to such a hearing, the Hearing Officer shall notify the parties in writing as to the issues that may be addressed at the hearing, the evidence that will be relevant at the hearing and the general procedures to be followed at the hearing. The hearing shall be either recorded (sound only or video) or transcribed by a court reporter, as determined by the Hearing Officer. The Hearing Officer shall make a contemporaneous written record of any oral communication (in person or by telephone) relating to the investigation which is not heard by a party and shall distribute such written record immediately to all parties and to the person with whom the communication occurred. If the person with whom the communication occurred has a different recollection of the conversation, that person shall immediately deliver to the Hearing Officer a written statement detailing the differences. The Hearing Officer shall immediately deliver such a statement to the parties and shall include such statement in the written record of the proceeding.
- d. If the Hearing Officer discovers in the course of investigation that the issues are sufficiently complex or there are other factors that indicate that a Comprehensive Adjudication is required for fair resolution of the matter, the Hearing Officer will immediately notify the Dean of University Libraries, the Chair of the Adjudication Committee and the parties of such determination. Upon receipt of such notification, the matter will proceed as a Comprehensive Adjudication. At any time during the course of a Brief Adjudication a party may request that the adjudication be converted to a Comprehensive Adjudication by giving notice to the Hearing Officer and the other parties of such request together with a statement of the reasons why a Comprehensive Adjudication is required for a fair resolution of the matter. The Hearing Officer will rule on such a request within 2 days of receipt. If the Hearing Officer rules against such conversion, the Brief Adjudication will proceed and the party requesting the conversion may again request a Comprehensive Adjudication during the appeal process of the Hearing Officer's decision, as provided below in Section 14.
- e. Within 30 days of appointment, the Hearing Officer will render a written decision to the parties, together with a statement as to the reasons for the decision and a statement of the parties' rights to appeal the decision.
- f. The record of a Brief Adjudication shall consist only of the following:

- i. The Notice and Petition filed by the party initiating the adjudication, all Responses filed by other parties, and the Adjudication Summary prepared by the chair of the Adjudication Committee;
- ii. Evidence received or considered;
- iii. All written statements submitted by persons and parties, all written records of oral communication prepared by the Hearing Officer and circulated to the parties and all amendments thereto that have been submitted;
- iv. The transcript or recording of any hearing held during the course of the adjudication; and
- v. Any other document regarding the matter that was considered or prepared by the Hearing Officer or the Adjudication Committee during review of the Hearing Officer's decision.

#### **10. Comprehensive Adjudications - Nonparty Participants**

- a. The Hearing Officer may grant a petition filed at any time for participation as an administrative party of right upon determining that the petitioner is a necessary party or by virtue of being immediately superior in administrative rank to the respondent. Such person's status as an administrative party of right shall commence only upon issuance of an order from the Hearing Officer allowing such person's participation.
- b. In addition to the persons who may be nonparty participants of right, the Hearing Officer may grant a petition filed by any person at any time for permissive nonparty participation, upon determining that the petitioner has a substantial interest that will be affected by the outcome of the adjudication, that participation by such party in the adjudication is necessary to protect that interest and participation by that party will not unduly delay or prejudice the determination of the rights of the parties to the adjudication. Such person's status as permissive nonparty participant shall commence only upon issuance of an order from the Hearing Officer allowing such person's participation. The Hearing Officer has the discretion to impose conditions on such person's right to participate and may limit that person's rights to participate, either at the time that the right to participate is granted or at any subsequent time. For a comment on nonparty participants' right to be represented by counsel, see Section 11.g below.
- c. All nonparty participants, both of right and permissive, in addition to the right to challenge the Hearing Officer or a member of the Adjudication Committee for cause as provided above, shall have the following rights of participation in the adjudication:
  - i. Right to receive copies of all documents filed in the adjudication, within the same time limits as such copies are required to be delivered to the parties in the adjudication.
  - ii. Right to timely notice of date, place and time and to attend the Prehearing Conference, the hearing, and any interim proceedings.
  - iii. Right to file written independent statements and responses to documents filed by the parties at any time prior to the hearing (including written statements and responses regarding a pending motion for summary disposition under Section 11.d.), provided that any such statements or responses are delivered by the nonparty participant to each party to the adjudication within two days of delivery to the Adjudication Committee. In addition to the above listed rights, a nonparty participant may, at the discretion of the Hearing Officer and the Adjudication Committee, be granted the following rights of participation:
  - iv. Right to have counsel accompany them to all proceedings.

- v. Right to be represented by counsel during the proceedings, provided that if the parties choose not to be represented by counsel [see Section 11.g.], than a nonparty participant may not be represented by counsel.
- vi. Right to cross-examine witnesses, introduce evidence and call additional witnesses during the hearing, either on their own behalf or through counsel, subject to the limitation in Section 10.b.5.
- vii. Right to give opening and closing statements, either on their own behalf or through counsel.
- viii. If unable to be present at the hearing or any preliminary proceeding, the right to be represented at the hearing and all preliminary proceedings by a special representative chosen by the nonparty participant and approved by the Hearing Officer.
- ix. Such other rights of participation in the adjudication as the Hearing Officer or Adjudication Committee determines to be conducive to a fair and efficient hearing.

A nonparty participant shall have the rights specified in 4 through 9 above only to the extent the Hearing Officer or Adjudication Committee has determined to be conducive to a fair and efficient hearing and which would aid in the Adjudication Committee's resolution of the matter.

The Hearing Officer shall make an initial determination prior to the Prehearing Conference as to the additional rights of participation, if any, that shall be given to the nonparty participant. The nonparty participant and any party may file a written request with the Hearing Officer prior to the Prehearing Conference regarding the extent of a nonparty participant's participation rights, and may make an oral request regarding participation rights at the Prehearing Conference. The determination of the extent of a nonparty participant's participation rights shall be made by the Hearing Officer, subject to revision by the Adjudication Committee, and shall be included in the Prehearing Order.

#### **11. Comprehensive Adjudications - Preliminary Proceedings**

- a. At the request of any party or on the Adjudication Committee's own motion at any time after the response has been received, the Adjudication Committee may determine that the adjudication or a particular claim or issue material to the adjudication should be resolved by summary disposition without a fact-finding hearing.
  - i. If the answering party alleges or the Adjudication Committee preliminarily concludes that the Petition does not present a controversy under Section 3 that entitles the petitioner to a hearing when all factual allegations are viewed in the light most favorable to the petitioner, the Adjudication Committee shall give notice to the parties and any nonparty participants of a) the deadline for submission of written offers of proof by affidavit or otherwise, and for submission of argument, and b) at the Adjudication Committee's option, a hearing concerning the proper interpretation and scope of Section 3. The Adjudication Committee shall issue a decision to grant or deny summary disposition within five days after the submission of the written materials or the conclusion of any hearing. If summary disposition is granted the Adjudication Committee shall dismiss the petition and issue a decision pursuant to Section 13.
- b. As soon as possible after the appointment of the Hearing Officer, the Hearing Officer and the Adjudication Committee shall review the pleadings filed, identify the issues and discuss an initial plan for the conduct of the hearing. Such plan shall include the preliminary determination of the extent to which any nonparty participant will be allowed to participate. The Hearing Officer and

Adjudication Committee shall immediately consult with the parties and any nonparty participants as to a convenient time and place to hold the Prehearing Conference.

- c. Within ten days after the appointment of the Hearing Officer, the Hearing Officer, at the direction of the Adjudication Committee, shall prepare and deliver to the Adjudication Committee, the parties and nonparty participants a Notice of Prehearing Conference, specifying the time and place of the Prehearing Conference. Such notice shall inform the parties as to the Hearing Officer's and Adjudication Committee's initial plan for the hearing and preliminary determinations, such as the extent of participation rights of nonparty participants and identification of issues, including all issues that the Hearing Officer and Adjudication Committee view as uncontested or irrelevant to resolution of the dispute. Such notice may further identify the evidence, including documents and witness testimony, that the Hearing Officer and Adjudication Committee consider necessary at the hearing. The Prehearing Conference shall be held no later than twenty days after appointment of the Hearing Officer, or after review of requests for summary disposition.
- d. All parties and nonparty participants and their legal counsel (if otherwise allowed) shall be entitled to be present at the Prehearing Conference. The Hearing Officer and the Adjudication Committee shall be present. The Hearing Officer shall preside over the Prehearing Conference. At the Prehearing Conference, the Hearing Officer, the Adjudication Committee and the parties shall discuss and agree upon the evidence to be presented and the issues to be addressed at the hearing. The Hearing Officer, the Adjudication Committee and the parties shall also agree upon any issues that can be settled by the parties before the hearing, or are uncontested or irrelevant to the adjudication, provided that if the parties cannot reach agreement on these matters the decision of the Adjudication Committee shall control. The Hearing Officer, Adjudication Committee, and the parties shall also discuss the feasibility of informal dispute resolution procedures to attempt settlement of the dispute before the hearing. If the parties agree to informal dispute resolution procedures, then the adjudication process shall be suspended while such procedures are pursued. Any nonparty participants present at the Prehearing Conference shall be allowed to participate in the discussion and the decision making to the extent determined by the Hearing Officer and Adjudication Committee.
- e. Unless the adjudication has been disposed of completely by Summary Disposition, the Hearing Officer, at the direction of the Adjudication Committee, shall issue a prehearing order within 15 days of the Prehearing Conference, which shall set forth the issues to be addressed at the hearing, the factual issues which are uncontroverted, the witnesses to be called and the other evidence to be presented, the extent to which any discretionary rights to participate will be given to nonparty participants, the extent to which depositions, requests for admission and any other form of discovery will be allowed and any other matters the Adjudication Committee shall deem appropriate in setting the procedure to be followed at the hearing. Such notice shall also set the time and place of the hearing and shall contain the information required by RCW 34.05.434. The hearing shall be set no less than 10 days and no more than 30 days after the notice of the Prehearing Conference was issued.
- f. The Prehearing Order shall specify whether the adjudication shall be open or closed. A determination at a later date that the hearing should be closed shall be made by written protective order.

- g.** Any party may be accompanied and assisted by a person of their choosing at any stage of the proceedings. Any librarian who is a party to a proceeding under this chapter shall have the right to be represented by counsel at all stages in the proceedings. Normally, if the librarian chooses not to be represented by counsel at proceedings before the Adjudication Committee and/or the Hearing Officer, the administration will not be so represented, except in cases where the librarian is an attorney. Where the librarian chooses to be represented by counsel, the administration shall not be obligated to reimburse the librarian for the attorney's fees and costs the librarian incurs, except as provided under Section 13.b.
- h.** If after the Prehearing Order is issued, a party shall receive additional information, the party may request that the Adjudication Committee amend the Prehearing Order to allow the presentation of such additional information at the hearing and may request leave to amend its pleadings on file. Such request shall be served on all parties and nonparty participants. The Adjudication Committee has full discretion to allow or deny such request and may grant a continuance if a non-requesting party needs additional time in which to prepare for and respond to the additional information.
- i.** The Hearing Officer may instruct any person who is a party to the adjudication or an administrative officer or administrative employee of the University to appear and to give testimony under oath or affirmation, or to produce a specific document or other thing belonging to a party or to the University relevant to the issues in the adjudication.

  - i.** If the person to whom the instruction is directed is a non-administrative party to the adjudication and that person refuses or fails to appear at the time and place designated to give testimony or to produce the documents or things specified:

    - aa.** If the Hearing Officer finds that the testimony, documents, or things sought are under the control of the non-administrative party to produce and are not privileged for purposes of the adjudication, then the Adjudication Committee may impose such sanctions as are appropriate.
    - bb.** Sanctions may include dismissal of the adjudication or the drawing of inferences, to be stated in the record, with respect to the issues to which the evidence sought would have been relevant, adverse to the position of the librarian or other party to the adjudication.
  - ii.** If the person to whom the instruction is directed is an administrative officer or administrative employee of the University and refuses or fails to appear at the time and place designated to give testimony, or to produce the documents or things specified:

    - aa.** The Hearing Officer shall inform the President in writing of such refusal or failure and of the probable relevance of the testimony or documents or things sought.
    - bb.** Unless the President determines that the information sought is legally privileged from disclosure, or subject to overriding University policies as to confidentiality, the President shall take such steps as may be necessary to enforce compliance with the instruction.
    - cc.** If the President refuses or fails to secure such compliance, and if the Adjudication Committee determines that the testimony, documents, or things sought are not legally privileged or confidential for purposes of the adjudication, then it may impose such sanctions as it deems appropriate. These sanctions may include dismissal of the adjudication or the drawing of inferences, to be stated in the record, with respect to the

issues to which the evidence sought would have been relevant, adverse to the position of the University or administrative officer in the adjudication.

- iii. Statutory powers of subpoena are available to the Adjudication Committee as specified in RCW 34.05.588(1).
- j. In the discretion of the Hearing Officer, and where the rights of the parties will not be prejudiced, all or part of any meeting or conference required hereunder may be conducted by telephone, television or other electronic means. Each participant in the conference or meeting must have an opportunity to participate effectively in, to hear, and if technically and economically feasible, to see the entire proceeding while it is taking place.
- k. The Hearing Officer may at any time issue any discovery or protective orders that the Officer deems appropriate, and such orders shall be enforceable under the provisions of RCW 34.05 regarding civil enforcement of agency actions.

## **12. Comprehensive Adjudication - Procedure at Hearing**

- a. In both open and closed proceedings before a Hearing Officer and the Adjudication Committee the following persons are entitled to be present:
  - i. The parties and nonparty participants of right, and their advisors and representatives, to the extent advisors and representatives are allowed under the other terms of this chapter. Advisors may be present but may not speak on behalf of the parties in the proceedings unless agreed to by both parties.
  - ii. Any permissive nonparty participants and their advisers and representatives, if allowed by the Hearing Officer or the Adjudication Committee.
  - iii. The Hearing Officer, the Adjudication Committee and a secretary or recorder.
  - iv. Persons serving in an advisory capacity to the Adjudication Committee, unless their presence is objected to for cause by either party and the Adjudication Committee sustains the objection.
  - v. Witnesses and their advisors, except that the Hearing Officer may upon a showing of good cause, as specified in the record of the proceeding, exclude witnesses and their advisors from the hearing room except while testifying.
  - vi. Such other persons as specifically authorized by the Hearing Officer or the Adjudication Committee, unless their presence is objected to by either party and the objection is sustained.
- b. The hearing shall either be recorded, audio only or video, or transcribed by a court reporter, as determined by the Adjudication Committee. Such recording or transcription shall be made at University expense. Copies of the recording or transcript shall be made available to any party or nonparty participant of right at University expense upon request.
- c. If the facts in the case or relief requested are in dispute, testimony of witnesses and other evidence relevant to the issues and to the relief requested shall be received if offered. The Hearing Officer may admit and consider evidence on which reasonably prudent people are accustomed to rely in the conduct of their affairs. The Hearing Officer shall give effect to the



rules of privilege recognized by law, shall exclude evidence that is excludable on constitutional or statutory grounds and may exclude incompetent, irrelevant, immaterial, and unduly repetitious evidence, and evidence whose probative value is substantially outweighed by the danger of undue prejudice to any party or nonparty participant. The Hearing Officer and the Adjudication Committee shall refer to the Washington Rules of Evidence as non-binding guidelines for evidentiary rulings. All testimony of parties and witnesses shall be given under oath or on affirmation. Documentary evidence may be received in the form of copies or excerpts or by incorporation by reference. Official notice may be taken of any judicially recognizable facts and codes or standards that have been adopted by an agency of the United States, this state or another state or by a nationally recognized organization or association. Parties and nonparty participants shall be notified either before or during the hearing of the material so noticed and the sources thereof and shall be afforded an opportunity to contest the facts and materials so noticed (except to the extent a nonparty participant's right to do so is limited by the Hearing Officer or Adjudication Committee).

- d. The Hearing Officer shall regulate the course of the hearing in conformity with the Prehearing Order and shall not be required to follow formal court procedure. To the extent necessary for full disclosure of all relevant facts and issues, the Hearing Officer shall afford to all parties and nonparty participants the opportunity to respond, present evidence and argument, conduct cross-examination and submit rebuttal evidence, except as restricted by a limited grant of nonparty participation or by the Prehearing Order.
- e. The Adjudication Committee in its discretion may:
  - i. Direct the parties to produce information on specific issues deemed significant by the Adjudication Committee.
  - ii. Proceed on its own initiative to call witnesses to testify or admit evidence on its own motion.
- f. The parties shall have the opportunity to confront all witnesses. In the event that witnesses are unavailable or at the consent of the parties, depositions from witnesses or answers to written interrogatories may be presented or telephone depositions may be made in lieu of personal appearance at the hearing. The Adjudication Committee, in its discretion, may make such information part of the record. The Adjudication Committee may take whatever other steps it deems reasonable and fair to all persons involved to deal with the unavailability of a witness.
- g. The Adjudication Committee, in its discretion, may adjourn the proceedings from time to time to allow the further development of the evidence.

### **13. Comprehensive Adjudication - Decision**

- a. Within thirty days after the conclusion of the hearing, or after the due date of all post-hearing briefs requested, if later, the Adjudication Committee shall make known its decision in writing. The decision shall be made by majority vote of all Adjudication Committee members participating, excluding the Hearing Officer. If at the conclusion of the hearing, there is an even number of Adjudication Committee members remaining due to loss of one or more Adjudication Committee members and the remaining Adjudication Committee members are evenly divided

as to the decision on any issue or award of relief, the Hearing Officer shall cast a vote, but only to the extent necessary to break the deadlock.

- b. In the written decision, the Adjudication Committee shall set forth its findings with respect to each of the material grounds or issues raised and to the relief requested by the parties and state its conclusions regarding those issues. It shall also state specifically any action necessitated by the decision and identify the specific relief to be provided, including but not limited to suspension or dismissal, reprimand or warning, restoration or award of privileges, benefits or status, a cease and desist order, an order that a certain party receive counseling or other medical treatment, and including direction to the Dean of University Libraries or other appropriate party to take such steps as may be necessary to carry out the decision. The Adjudication Committee shall have the authority to recommend the award of compensation for economic relief to a party or nonparty participant of right where such party or nonparty participant of right has made a timely request in the participant's pleadings for such relief and has proven the right to the relief during the course of the proceedings. In addition, the Adjudication Committee has authority to recommend an award of reasonable attorneys' fees to a prevailing librarian if (1) the Administration was the unsuccessful party in the case and the Adjudication Committee determines that the position of the Administration in the case was maintained in bad faith, or (2) the prevailing librarian was obliged to hire legal counsel to represent the librarian in a comprehensive adjudication by virtue of the Administration's failure to waive representation by legal counsel as provided in Section 11.g.
- c. Within 24 hours of the Adjudication Committee's written decision being put in final form, the Adjudication Committee shall deliver copies of the decision to the President, Provost, Dean of University Libraries, all parties and all nonparty participants.

#### **14. Review Procedures**

- a. A decision of a Hearing Officer in a brief adjudication shall be submitted to the Adjudication Committee. If the Adjudication Committee takes no action and no party to the adjudication has filed a petition for review of the Hearing Officer's decision within 21 days of issuance of the decision, then the decision shall become the final decision of the University. If a party files a petition for review or the Adjudication Committee elects to review the decision, all parties shall receive notice of such review. The Adjudication Committee shall exercise all the decision making power that it would have had to decide and enter the decision had the Adjudication Committee presided over the hearing, except to the extent that the issues subject to review are limited by a provision of law or by the Adjudication Committee upon notice to all the parties. In reviewing findings of fact by the Hearing Officer, the Adjudication Committee shall give due regard to the Hearing Officer's opportunity to observe the witnesses. The Adjudication Committee shall afford each party an opportunity to present written argument and may afford each party an opportunity to present oral argument. The Adjudication Committee shall complete its review within 20 days of the decision to review and shall enter a final order concluding the adjudication or remand the matter for further proceedings, with instructions to the Hearing Officer who entered the initial decision. The order shall include a description of any judicial or other review that may be available. Upon remanding a matter, the Adjudication Committee shall order such temporary relief as is appropriate. If no party to the adjudication has filed a petition for review of the Adjudication Committee's final order within 21 days of the mailing of the order to the parties, the order shall become the final decision of the University. Only a final order of the

Adjudication Committee that reverses or amends the decision of the Hearing Officer may be appealed. Any such appeal shall proceed under the procedures of Section 14.b.

- b.** Any order of the Adjudication Committee in a comprehensive adjudication, other than cases where the President is a party in the case, shall become a final decision of the University unless either party files an appeal to the President within 21 days of the date of mailing of the decision to the parties, or unless the President elects to review the decision by giving written notice of intent to review to the parties within 21 days of the date of delivery of the decision to the President. The presidential review shall include consideration of the written record. The President may request the parties to submit additional written arguments on particular issues and may request oral argument from the parties. To the extent that parties are asked to provide written documents, nonparty participants of right shall also have the opportunity to provide written documents and at the discretion of the President, nonparty participants of right may be allowed to give oral arguments. No new evidence shall be considered by the President. Within sixty days of commencement of the review, unless in the President's discretion more time is necessary to consider additional arguments, the President shall make one of the following determinations: (1) affirm the Adjudication Committee's decision; (2) remand for further proceedings. Any decision of the President to remand must be based on findings of the President that the decision of the Adjudication Committee was arbitrary or capricious; the procedures followed by the Adjudication Committee in reaching its decision were materially and prejudicially unfair or not in accordance with the law or University rules, or regulations; and/or the review in which the President has engaged has revealed the importance of evidence which the Adjudication Committee did not adequately consider. The Adjudication Committee then has thirty days to reconsider its decision and the reasons given by the President for remand, and to report back to the President its decision on remand. The President shall then affirm, reverse or amend the Adjudication Committee's decision on remand. Any decision of the President to reverse or amend must be based on findings that the Adjudication Committee's decision was: (1) not supported by a preponderance of the evidence in the record, or (2) was arbitrary or capricious, or (3) the procedures followed were materially and prejudicially unfair or in violation of law or university rules. A decision by the President to affirm, reverse or amend the decision of the Adjudication Committee is a final decision of the University.
- c.** In any case where the President is a party, appeal shall be taken to the Board of Regents, and that body shall act in the stead of the President and in consort with the rules in Section 14.b.
- d.** If upon review a decision is remanded to the Adjudication Committee for further proceedings, the Adjudication Committee shall have 30 days within which to hold such further proceedings as are necessary to comply with the directions from the President (or the Board of Regents) and to respond to the President's (or Board of Regents') action with the results of its reconsideration of the case. Upon receipt of the Adjudication Committee's reconsidered decision, the President or Board of Regents shall have 30 days to make a final determination of the case. In the event that the President or Board of Regents decides to reverse or amend the reconsidered decision of the Adjudication Committee, the final decision shall state the basis of such decision, including specific findings as to why the decision of the Adjudication Committee was arbitrary or capricious, or why the procedures followed by the Adjudication Committee in reaching its decision were materially and prejudicially unfair or not in accordance with the law or University rules or regulations.

- e. Copies of all decisions, opinions, conclusions, instructions, and other written communications issued in the review process shall be sent to all parties, nonparty participants, the Chair of the Adjudication Committee, the President, the Provost, and the Dean of University Libraries. Copies shall be retained in the Adjudication Committee's files.
- f. Within 10 days after an order has become a final order by failure of a party or reviewing body to commence an appeal, or within 10 days after a final order has been served on the parties, whichever is applicable, any party may file a petition for reconsideration. Such petition shall be filed with the person or persons issuing the final order and shall be served on all parties. The filing of such petition suspends the time limitations for filing for further administrative review or for judicial review, if available. Such petition shall set forth the grounds upon which relief is requested. The petition shall be disposed of by the same person or persons issuing the order or decision, if reasonably available. The disposition shall be in the form of a written order denying the petition, granting the petition and dissolving or modifying the final order, or granting the petition and setting the matter for further hearing. The petition is deemed denied if within 20 days from the date the petition is filed the person or persons issuing the final order has not disposed of the petition or served the parties with notice specifying a date of disposition of the petition and the Chair of the Adjudication Committee that it has been confirmed that the person or persons issuing the final order do not intend to act on the petition.

## **15. Time Deadlines**

If a Hearing Officer, the Adjudication Committee, the Chair of the Adjudication Committee, or any reviewing body shall fail to meet any of the deadlines set in this chapter, such failure shall not affect the validity of the procedure, or any decision resulting from an adjudication held pursuant to this chapter, unless the delay was unreasonable and unduly prejudicial to the interests of any party or nonparty participant of right.

## **16. Availability of the Record**

At the conclusion of the proceedings, the record of the hearing shall be maintained by the Adjudication Committee and shall be available for review to persons or organizations not party to the proceedings but having an interest therein, not inconsistent with the tenets of academic freedom and privacy rights of the parties or persons involved, subject to the written approval of both the President and the librarian or librarians involved in the proceeding, or as required by law. Copies of any portion of the record previously transcribed shall be made available at actual duplication cost in accordance with these same provisions.

## **17. Implementation**

Upon completion of the adjudicative proceedings, the President shall instruct the parties to do whatever is necessary to implement the decision and shall take all action necessary to insure that relief awarded is realized in fact. Copies of these communications shall be sent to all parties, nonparty participants, the Hearing Officer, Adjudication Committee, and Dean of University Libraries.

## **18. Report of the Adjudication Committee**

The Chair of the Adjudication Committee shall annually report to the librarians in September the number of brief and comprehensive adjudicative proceedings commenced or concluded during the prior academic year and the action that ensued. Names of the grievant or accused shall not be published.

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## **H. Code of Conduct**

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- 1.** All members of the academic community, including librarians have an obligation to comply with the rules, regulations and policies of the University of Washington, the University of Washington Libraries and their administrative unit.
- 2.** If a librarian is alleged to have violated a rule, regulation, or policy of the University or of the University of Washington Libraries or of the librarian's administrative unit, the librarian's supervisor (e.g., director) shall inform the librarian of the nature and content of the alleged violation and shall offer to meet in order to discuss the alleged violation with the librarian. The librarian may be accompanied by one person during the meeting. The matter may be concluded at this point by the mutual consent of the parties. Allegations involving research misconduct as defined in Executive Order No. 61 shall be handled in accordance with procedures set forth in that UW policy, including but not limited to, the notice and investigation provisions.
- 3.** If a mutually agreeable resolution is not achieved, a senior associate dean or associate dean of University Libraries has the authority to impose immediately corrective and/or disciplinary action(s) if said action(s) is/are less severe than dismissal, reduction in salary, or suspension without pay for more than 120 days. A senior associate dean or associate dean may exercise such authority if the necessary facts of the matter are already established. In other circumstances, before exercising such authority, a senior associate dean/associate dean shall authorize an investigation as provided in paragraphs 4.a or 4.b, as applicable.
- 4.** If a mutually agreeable resolution is not achieved under paragraph 2 and a senior associate dean or associate dean determines that the alleged violation is of sufficient seriousness to justify consideration of the filing of a formal statement of charges that might lead to dismissal, reduction of salary, and/or suspension for more than 120 days and, therefore, paragraph 3 is not applicable, the senior associate dean or the associate dean shall follow one of the following procedures:
  - a.** In cases wherein the primary focus concerns allegations of unlawful discrimination, harassment, sexual harassment or retaliation as defined by Executive Order No. 31, a senior associate dean or associate dean shall request an institutional investigation by the University Complaint Investigation and Resolution Office (UCIRO) as provided in Administrative Policy Statement 46.3.
  - b.** In other types of cases that are not covered by 4.a hereinabove, a senior associate dean or associate dean shall appoint a special investigating committee consisting of three librarians who are not directly involved in the matter being considered and who do not have any other conflict

of interest. The committee shall assist a senior associate dean or associate dean in the informal and confidential gathering of information and documentation and shall advise a senior associate dean or associate dean of its recommendation as to whether there has been a violation as described in paragraph 2 and, if so, the level of severity of the violation. If as a result of the foregoing investigation, a senior associate dean or associate dean concludes that further action is not merited, then the matter shall be concluded.

5. If, after engaging in the procedures specified in paragraphs 4.a or 4.b, a senior associate dean or associate dean concludes that further action is warranted, the senior associate dean or associate dean may request that the Dean of University Libraries invoke the adjudication process as outlined in "G. Guidelines for Administrative, Conciliatory and Adjudicative Proceedings for the Resolution of Differences". However, it is permissible for a senior associate dean or associate dean to impose corrective and/or disciplinary action that is equivalent to that outlined in paragraph 3 in lieu of invoking "G. Guidelines for Administrative, Conciliatory and Adjudicative Proceedings for the Resolution of Differences".
6. If a senior associate dean or associate dean is the individual alleged to have engaged in any of the failures described in paragraph 2, then the Dean of the University Libraries shall be responsible for administering paragraphs 2, 3, 4 and 5 above.

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## I. Guidelines for Revisions to the Librarian Personnel Code

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Revisions to the Librarian Personnel Code are initiated as written recommendations to the Chair of the Librarian Personnel Committee. Any University of Washington librarian may make recommendations. The Librarian Personnel Committee reviews the recommendations, consulting as appropriate with University of Washington librarians and with the Dean of University Libraries and makes recommendations for Code revisions to the Dean indicating one of the following categories.

At least every ten years, the Librarian Personnel Committee, in consultation with the Dean of University Libraries and the Administrative Officer Responsible for Personnel will consider the need to undertake a comprehensive review of the Code.

### 1. Technical Corrections

Revisions which are technical, editorial, or factual corrections to the Code (including appendices) will be adopted by the Librarian Personnel Committee and forwarded to the Dean of University Libraries for information purposes.

### 2. Procedural Corrections and Policy Clarifications

Revisions which are procedural in nature or are clarifications of existing policies will be sent by the Librarian Personnel Committee to all University of Washington librarians for comment. In consultation with the Dean of University Libraries, the Librarian Personnel Committee may incorporate comments in

the revision. The Librarian Personnel Committee will recommend revisions to the Dean of University Libraries for approval. The Dean will then forward approved revisions to the Provost for information purposes.

### **3. Policy Revisions**

Revisions which represent a change of policy will be sent by the Librarian Personnel Committee to all University of Washington librarians for comment. In consultation with the Dean of University Libraries, the Librarian Personnel Committee may incorporate comments in the revision. Policy revisions will be forwarded by the Librarian Personnel Committee to the Administrator Responsible for Personnel who will submit the proposed revisions to the Provost for review. Discussions with the Provost, which may include editing and re-working of the revisions, will involve the Librarian Personnel Committee as needed.

Once the Provost concurs with the proposed policy revisions, the recommendations for final revisions will be voted on by all University of Washington librarians. The Administrative Officer Responsible for Personnel will distribute the proposed revisions and ballots. The Librarian Personnel Committee will determine the deadline for casting ballots and will be responsible for counting ballots. To be approved, a proposed revision shall require an affirmative majority vote of University of Washington librarians who submit ballots. Librarian-approved policy revisions require approval by the Dean of University Libraries and the Provost prior to implementation.

In all cases, University of Washington librarians will be notified by the Administrative Officer Responsible for Personnel of all implemented revisions to the Librarian Personnel Code.

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## **J. Guidelines for Interdepartmental Teaching and Outside Professional Work**

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The first obligation of all University of Washington librarians is the preparation for and carrying out of Libraries duties. Full-time librarians are expected to devote full-time effort to their institutional responsibilities as defined in their position descriptions. At the same time, the Libraries recognize that individuals, the Libraries, the University, and the state benefit from librarian involvement in and support of interdepartmental teaching and outside professional work. These teaching experiences provide librarians opportunities to disseminate expert information outside of their traditional university employment while simultaneously providing individuals with enriching experiences, augmenting their ability to carry out their University responsibilities.

Interdepartmental teaching and outside professional work may be considered in the annual performance evaluation process and as an activity supporting reappointment, promotions, and granting of permanent/continuing appointment. Such activities may also be measured when considering salary increases based on merit.

These guidelines do not duplicate all the relevant information and requirements contained in the UW Policy Directory related to outside professional work. Therefore, use these guidelines in conjunction with applicable policies contained in the UW Policy Directory.

## **1. Definitions**

For purposes of these guidelines, interdepartmental teaching and outside professional work are defined as teaching and other work that falls outside of an individual's normal duties and position description and is beyond the work represented by compensation provided by the Libraries.

Interdepartmental teaching: teaching an occasional course offered by another UW department, college, or school. Frequently these teaching opportunities are accompanied by departmental temporary appointments at the rank of affiliate faculty (see UW Policy Directory, Faculty Code, Chapter 24, Section 24-34). Interdepartmental teaching does not include library instruction, information literacy instruction, and course-integrated or related instruction that are part of the Libraries' service programs.

Outside professional work: includes responsibility for continuing education activities or teaching credit courses that are not under the aegis of the University of Washington.

These guidelines do not apply to librarians whose formal academic appointment (joint appointment) includes ongoing teaching responsibilities in and compensation from a UW college, school, or department.

Questions about interdepartmental or outside professional work may be addressed to the Libraries' Administrative Officer Responsible for Personnel.

## **2. Appointment Issues**

Librarians should be compensated and supported appropriately by the department or institution where they are teaching. Librarians may be compensated in addition to their regular salary with a Temporary Salary Supplement (TPS). Librarians considering interdepartmental teaching appointments should confirm what support is needed and will be provided by the department or institution where they are teaching. Support can include, but is not limited to, office space, graduate assistant support, clerical support, supplies, server space, course preparation and instructional design services, teacher training and orientation, and course evaluation. Librarians should clarify the terms of appointment and compensation to be received, including, but not limited to, salary, role in the department, and academic title.

## **3. Libraries Support**

To be effective and contributing teachers, librarians may need to use Libraries facilities, equipment and/or office services in carrying out their activities. Librarians may use Libraries facilities, supplies, equipment, and office services on a reasonable and occasional basis for interdepartmental teaching. Likewise, librarians may carry out interdepartmental teaching responsibilities during regular working hours on a reasonable and occasional basis. The Libraries relies on the common sense and good judgment of the librarians to keep usage of resources and time reasonable.



Facilities, supplies, equipment, and services that can be used on a reasonable and occasional basis for interdepartmental teaching include, but are not limited to:

- Photocopying
- Office workstation computer and printer
- Postage and mailing services
- General office supplies and paper
- Networked resources

Librarians are expected to request funds from the interdepartmental units where they are teaching to cover expenses that exceed reasonable and occasional use of Libraries resources.

#### **4. Approval Process**

##### **a. Interdepartmental Teaching**

Librarians are to discuss their interdepartmental teaching opportunities with the immediate supervisor as much in advance as possible. Librarians should not make commitments to participate in interdepartmental teaching until Libraries approval is received.

The immediate supervisor may grant approval for interdepartmental teaching, with the director and/or appropriate Assistant, Associate or Senior Associate Dean as needed. The librarian and supervisor need to discuss the following issues: support and resource issues such as the time commitment to the teaching; position responsibilities; expectations for work schedule changes or alterations; level of Libraries support required for teaching; and any necessary staffing or unit adjustments. After approval is granted, the Assistant, Associate or Senior Associate Dean should notify the Libraries' Administrative Officer Responsible for Personnel.

##### **b. Outside Professional Work**

Prior approval for outside professional work not under the aegis of the UW, must be sought in accordance with current UW policy (e.g., Executive Order No. 57).

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## APPENDIX A: Distribution of Personnel Representation on University Libraries Committees

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Librarians elected to the Librarian Personnel Committee represent personnel groups within the University Libraries. The Librarian Personnel Committee consists of seven members. Cabinet members with librarian appointments, with the exception of Dean and Administrative Officer Responsible for Personnel, will be members of the Personnel Group in which their department is listed. The Administrative Officer Responsible for Personnel will be a member of Personnel Group III.

Personnel Groups		Representatives
I.	<b>Access Services</b> <b>Information Technology Services &amp; Digital Strategies</b> <b>Odegaard Undergraduate Library</b> <b>Reference and Research Services</b> <b>Scholarly Communication &amp; Publishing</b>	2
II.	<b>UW Bothell Library</b> <b>UW Tacoma Library</b> <b>Branch Libraries</b> <b>Health Sciences Libraries</b>	2
III.	<b>Collections &amp; Content</b> <b>Distinctive Collections</b> <b>Office of the Dean</b>	2
	<b>Member at large</b>	1

Librarians with split assignments must choose at time of initial appointment in which personnel group they wish to participate. The personnel group chosen will apply to all subsequent elections while the individual holds that position. If a librarian holding provisional, non-continuing, permanent, or continuing status (e.g. any status other than a Temporary Appointment or Emeritus) undertakes a temporary assignment or is appointed to a temporary position within the Libraries, the librarian will retain the librarian's rank, status, personnel group membership, and all other rights and privileges for the duration of the reassignment.

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## APPENDIX B. ACTIVITIES REVIEW DOCUMENTATION

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The Activities Review Documentation highlights each librarian's performance in that librarian's position in the University Libraries. This document should be no more than 2,500 words in length. Major emphasis should be on meeting the highest standards of academic librarianship. There is no preprinted documentation form. Each librarian is to prepare the documentation using the attached format as a guide.

All position descriptions applicable for the review period (annotated with inclusive dates) must be reviewed and attached by the appropriate supervisor. Selected documentation which addresses the quality of the librarian's work may include, for example, a class evaluation or an unsolicited letter which addresses work performance factors including comprehensiveness, accuracy, subject knowledge, communication skills, leadership, and supervisory skills. Additional selected documentation may also include a copy of a publication or publicly presented paper.

Address the following areas in the documentation:

**Important contributions.** Include important, position-related contributions to your unit, section and the University Libraries, including professional activities as appropriate. Concentrate on why the contributions are important, how they relate to position responsibilities, the work of the department, unit or University Libraries. Cover all areas listed in the position description and include a statement describing FTE, if less than full time.

**Development.** Describe what you have learned this year, focusing on position-related development and professional activities as appropriate. Include skills in communications, leadership, supervision, organization, subject fields, library technology and/or others as appropriate.

**Progress Toward Last Year's Goals.** State how you have fulfilled last year's goals. Give a progress report on goals which you have been unable to complete.

**Position-Related Goals for the Coming Review Period.** In consultation with your supervisor, provide position-related goals for the coming review period. This list should include goals you have a reasonable expectation of achieving during the review period and long-term goals towards which you are making some progress.

**ACTIVITIES REVIEW DOCUMENTATION**

**Review Period** \_\_\_\_\_

Name

Current Position

Dates of your review period (if less than full year)

[Place the following headings before each section. Maximum length: 2,500 words. Sections may vary in length.]

IMPORTANT CONTRIBUTIONS

DEVELOPMENT

PROGRESS TOWARD LAST YEAR'S GOALS

POSITION-RELATED AND PROFESSIONAL GOALS FOR THE COMING REVIEW PERIOD

ATTACHMENTS (IF APPROPRIATE)

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**APPENDIX C. MERIT REVIEW DOCUMENTATION**

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**UNIVERSITY OF WASHINGTON LIBRARIES MERIT REVIEW DOCUMENTATION**

**Merit Review Period** \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_ Dept/Div: \_\_\_\_\_

Title: \_\_\_\_\_ Rank: \_\_\_\_\_

Attach a copy of your position description, including added responsibilities assigned on a temporary basis.

1. **LIBRARIAN'S COMMENTS.**

Briefly state your professional accomplishments during this merit review period. Please limit your comments to 500 words or less.

Consider me for:

**Merit Salary Increase**

**No-Merit**

**Page 2 - Merit Review Documentation**

Librarian's Name: \_\_\_\_\_

**2. SUPERVISOR'S COMMENTS.**

In your evaluation, state your recommendation for merit with supporting justification addressing the nature, scope, and quality of the librarian's performance.

Preliminary recommendations:

- Merit Salary Increase**
- No-Merit**

\_\_\_\_\_  
Librarian's signature

\_\_\_\_\_  
Supervisor's signature

\_\_\_\_\_  
Librarian's name (please print)

\_\_\_\_\_  
Supervisor's name (please print)

[Librarian's signature implies neither agreement nor disagreement with the recommendation.]

**Page 3 - Merit Review Documentation**

Librarian's Name: \_\_\_\_\_

3. DEPARTMENT/DIRECTOR COMMENTS.

Preliminary recommendations:

- Merit Salary Increase**
- No-Merit**

\_\_\_\_\_  
Department/Director's signature                      Dat                      Print name

4. DIRECTOR/ASSOCIATE DEAN COMMENTS.

Preliminary recommendations:

- Merit Salary Increase**
- No-Merit**

\_\_\_\_\_  
Director/Associate Dean's signature                      Dat                      Print name

**Page 4 - Merit Review Documentation**

Librarian's Name: \_\_\_\_\_

5. MERIT REVIEW COMMITTEE COMMENTS.

Preliminary recommendations:

- Merit Salary Increase**
- No-Merit**

\_\_\_\_\_  
Chair, Merit Review Committee's signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name

6. DEAN OF UNIVERSITY LIBRARIES COMMENTS.

Recommendations:

- Merit Salary Increase**
- No-Merit**



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Dean of University Libraries' signature

Date

Print name

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## APPENDIX D. LIBRARIAN ADVISORY PROGRAM

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As part of the Libraries' stated goal to create a workplace of choice, the University of Washington Libraries seeks to develop and retain a highly knowledgeable and diverse staff. There is a need to provide support and encouragement for all librarians on staff, but particularly for newly-hired permanent- and continuing- track librarians as they progress through the promotion procedures outlined in the Librarian Personnel Code.

As the University Libraries applies the highest professional standards in hiring, newly appointed librarians should have every expectation of achieving permanent/continuing status. The attainment of permanent/continuing status is an ongoing process that begins on the first day of employment and continues for several years.

The Librarian Advisory Program is designed to assist in the advancement of the University Libraries' mission to develop a quality staff and to contribute to the library profession. The program is meant to support librarians beyond the University Libraries' general orientation and initial orientations taking place in individual units.

### **1. Goal**

The goal of the Librarian Advisory Program is to support newly appointed and permanent or continuing-track librarians as they participate in the procedures outlined in the Librarian Personnel Code. The program is designed to support an environment within the University Libraries where librarians can achieve success in their careers and contribute to the overall mission of the University Libraries and the University.

The Librarian Advisory Program provides two advisors to support each newly appointed librarian in achieving permanent/continuing status. Librarians at the rank of Associate librarian with permanent or continuing status who wish to pursue promotion may request advisors through the Librarian Advisory Program by contacting the chair of the Librarian Advisory Program Committee. All librarians with permanent/continuing status are expected to serve as advisors when asked. The advisors provide guidance and support in the areas of performance, professional development and contributions and service to the University Libraries, the University, and the research and learning community.

### **2. Librarian Advisory Program Committee**

The Librarian Advisory Program Committee (LAPC) oversees the Librarian Advisory Program (LAP) and reports to the Dean of University Libraries. Each member of the Committee serves a two-year term. Terms of office begin on January 1. The Committee consists of five members:

- Two immediate past members of the Librarian Personnel Committee (LPC). LPC past members serve staggered 2-year terms. LPC representatives are chosen by a process determined by the LPC. At the end of Spring Quarter, the chair of the LAPC will initiate correspondence with the chair of the LPC to ensure that a member is identified and ready to serve by January 1. If either

position is vacated before end of term, LPC will choose a replacement by a process to be determined by LPC.

- One representative of the Association of Librarians of the University of Washington Executive Board. At the end of Spring Quarter, the chair of the LPC will initiate correspondence with the chair of the ALUW Executive Board to ensure that a representative is identified and ready to serve by January 1. If the position is vacated before the end of the term, ALUW will choose a replacement by a process to be determined by the Executive Board of ALUW.
- Two elected at-large representatives, one with provisional/non-continuing status and one with permanent/continuing status. The Administrative Officer Responsible for Personnel conducts elections during Autumn Quarter. The slate of candidates is established by a nominating committee which consists of the Chair, Librarian Advisory Program Committee; the President, Association of Librarians of the University of Washington; and the Chair, Librarian Personnel Committee. The slate of at-large librarians consists of twice the number of open positions. The vote will be taken under the direction of the Administrative Officer Responsible for Personnel. Voting is open to all librarians except temporary or retired librarians. The Administrative Officer Responsible for Personnel and continuing members of the LPC will be responsible for tallying the ballots. Ad hoc elections will be conducted using these same procedures if any at-large positions are vacated before end of term.

Each year the Librarian Advisory Program Committee will elect its own chair and additional officers as necessary. The Librarian Advisory Program Committee will decide when and how often the Committee will meet.

Newly appointed librarians receive information concerning the Librarian Advisory Program from the Administrative Officer Responsible for Personnel upon employment, and after a period of three months, they are contacted by the Librarian Advisory Program Committee regarding their participation in the program. Two advisors are then assigned by the Librarian Advisory Program Committee for a minimum period of one year, except in unusual circumstances.

These advisors are chosen from a pool of all librarians in the University of Washington Libraries with permanent/continuing appointment, excluding the Dean of University Libraries and the Administrative Officer Responsible for Personnel. If possible, one advisor is from the librarian's area of expertise and the second advisor is chosen from outside of the librarian's area of expertise. Both the advisors and the advisee must agree to the arrangement. Librarians in the supervisory line of an advisee may not serve as advisors for that advisee. At the end of one year the advisory arrangement is reviewed, and the advisors and/or the advisee can choose to end the advisory arrangement, or, ideally, the arrangement can continue until the librarian has achieved permanent/continuing appointment with the University Libraries. The advisee or advisor who wishes to make changes in the advisory arrangement should consult the chair of the Librarian Advisory Program Committee. The advisory arrangement review takes into account the needs and preferences of the advisee.

### **3. Roles and Responsibilities**

#### **a. Librarian Advisory Program Committee**

- i. Coordinates, monitors, reviews and evaluates the Librarian Advisory Program.
- ii. Elects its own chair and additional officers as necessary.

- iii. Notifies the chairs of the LPC and ALUW Executive Board when new representatives are needed from these groups.
- iv. Develops a strong knowledge base of the Librarian Personnel Code and the Librarian Advisory Program.
- v. Orients advisors and advisees to the program and expectations of their roles.
- vi. Appoints advisors and makes advisor changes and reassignments as necessary.
- vii. Receives promotion cycle calendar information from the Administrative Officer Responsible for Personnel and plans events in coordination with promotion and tenure cycle.
- viii. Periodically sends reminders to all librarians promoting the services of the Librarian Advisory Program (at least annually).
- ix. Responsible for scheduling and organizing the annual Librarians' Recognition Ceremony.
- x. Submits Annual Report to the Dean of University Libraries.

#### **b. Librarian (Advisee)**

Librarians are responsible for their own success, determining their own levels of performance, professional development and contributions and service to the University Libraries, the University, and the research and learning community as well as for the quality of written documentation.

Within the Librarian Advisory Program, the advisee shall:

- i. Attend quarterly events sponsored by the Librarian Advisory Program.
- ii. Inform advisors of projects, interests and areas of concern or need.
- iii. Ask advisors for suggestions and advice or guidance as needed.
- iv. Consult with the advisee's supervisor.
- v. Continue, terminate or request changes of advising arrangement at the end of the first year.

#### **c. Advisors**

All librarians with permanent/continuing appointments, except the Dean of University Libraries and the Administrative Officer Responsible for Personnel, are expected to participate in the program. The number of advisors needed will vary from year to year. It is recommended that advisors not advise more than two advisees at one time.

- i. Encouraged to attend quarterly information sessions presented by the LAPC.
- ii. Initiate first meeting with advisee within three months of being selected to serve as an advisor.
- iii. Consult with advisee's supervisor to assure coordination of advisory and supervisory roles.
- iv. Offer to advisee suggestions, guidance and/or advice on matters of performance, professional development and contributions and service to the University Library, the University, and the research and learning community.
- v. Offer advice on preparation of promotion documentation.
- vi. Serve as a resource and provide referrals as necessary.
- vii. Continue, terminate or request reassignment of advising arrangement at the end of the first year.

**d. Supervisor**

The librarian's primary source of guidance in the area of performance is the librarian's supervisor. The supervisor will:

- i. Work with the librarian to develop a position description and performance expectations.
- ii. Recommend avenues for professional development, including committee involvement.
- iii. Consult with advisors to assure coordination of supervisory and advisory roles.
- iv. Provide ongoing feedback to the librarian on the progress of the librarian's performance, including conducting the annual performance evaluation.
- v. Help to create an environment where the librarian will have the opportunity to develop in areas of performance, professional development, and contributions and service to the University Libraries, the University, and the research and learning community.

**e. Administrative Officer Responsible for Personnel**

The Administrative Officer Responsible for Personnel will:

- i. Be responsible for promotion cycle calendar.
- ii. Refer names of newly appointed librarians and those whose status has changed to permanent/continuing to the Librarian Advisory Program Committee.
- iii. Include description of program with documentation given to librarians upon appointment.
- iv. Serve as resource for Librarian Advisory Program Committee.
- v. Conduct elections for at-large representatives of the Librarian Advisory Program Committee.

**4. Evaluation**

Every five years the Librarian Advisory Program Committee will conduct a review and evaluation of the program to study its effectiveness and to make recommendations for needed changes or improvement.

**5. Communication**

The chair of LAPC will ensure effective communication with committee members and librarians, as well as the Administrative Officer Responsible for Personnel as noted in the Committee Communication Responsibility Guidelines.

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## APPENDIX E. DOCUMENTATION CHECKLIST FOR REAPPOINTMENT, PROMOTION AND PERMANENT/CONTINUING APPOINTMENT

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Candidates must submit the following items of documentation in order to be considered for reappointment, promotion and permanent/continuing appointment. A candidate's documentation should be a complete and accurate reflection of the candidate's career to ensure that any librarian reviewing it will have a full understanding of the candidate's performance. It is the candidate's responsibility to ensure that all required materials are included. Each candidate should use this checklist and read the Librarian Personnel Code thoroughly before submitting documentation. Candidates are strongly advised to share their documentation with supervisors, advisors, and other colleagues to obtain comments and advice.

The documentation should be submitted to the Administrative Officer Responsible for Personnel (AORP) via flash drive or zip file (the Libraries will provide flash drives through Libraries Supplies) with documents labeled as follows (documents for 11-14 will be added by the AORP as necessary):

- |     |                              |
|-----|------------------------------|
| 1.  | Table of Contents            |
| 2.  | Cover letter                 |
| 3.  | Position descriptions        |
| 4.  | Curriculum vitae             |
| 5.  | Summary document             |
| 6.  | Position expectations        |
| 7.  | Professional development     |
| 8.  | Service contributions        |
| 9.  | Additional materials         |
| 10. | References                   |
| 11. | Internal letters             |
| 12. | Supervisory line evaluations |
| 13. | External reviewer            |
| 14. | Candidate's statement        |

**Table of Contents.** Include a table of contents which lists the documents and other materials you have in each section.

**Cover letter.** The cover letter should be addressed to the Administrative Officer Responsible for Personnel and state what action is being requested.

**Position descriptions.** Position descriptions for each position held at the UW Libraries should be submitted. The current position description should be dated and signed by the candidate and candidate's immediate supervisor.

If the position held is less than full-time, the position description should so indicate. If previous position descriptions are not available, a general description of responsibilities for each position should be provided.

**Curriculum vitae.** An up-to-date curriculum vitae should be included.

**Summary document.** A candidate should use the summary document to write about the candidate's entire career in whatever style or manner the candidate chooses. It is recommended that the document be at least 500 words, but no more than 1,000. There are no guidelines or suggestions. This is the unique part of the documentation. Candidates are advised to have several colleagues (e.g., supervisors and mentors) read drafts of the summary document.

**Position expectations.** Candidates should provide evidence of excellence in position responsibilities and effectiveness in performance. Consult the Librarian Personnel Code (Chapter IV, Section B, Guidelines for Activities Supporting Reappointment, Promotion, and Permanent/Continuing Appointment) for examples.

**Professional development.** Candidates should include copies of scholarly and library-related publications, articles, bibliographies, and other writings. Consult the Librarian Personnel Code (Chapter IV, Section B, Guidelines for Activities Supporting Reappointment, Promotion, and Permanent/Continuing Appointment) for a list of sample activities.

**Service contributions.** Candidates should list and describe service to the University Libraries, the University, and the Community. Candidates should refer to the Librarian Personnel Code (Chapter IV, Section B, Guidelines for Activities Supporting Reappointment, Promotion, and Permanent/Continuing Appointment) for examples of contributions.

**Additional materials.** In this section a candidate may include any other materials that will enhance the documentation. Candidates are urged to use good judgment and common sense as to the types and quantities of material.

**References.** The candidate must include the names of at least three references that are knowledgeable about the candidate's accomplishments. Candidates are responsible for asking individuals to serve as references. Candidates may provide the individuals with information (e.g., curriculum vitae and copy of the documentation) that will help them to write letters of reference. Individuals in the direct supervisory line (those who supervise the candidate or those who are supervised by the candidate) should not be included as references. Those who supervise the candidate will be asked to write letters by the Administrative Officer Responsible for Personnel as part of the process. Those supervised by the candidate may submit internal letters if desired.

For those individuals requesting promotion to the rank of Associate Librarian, or for those individuals holding the rank of Associate Librarian applying for permanent/continuing status at the same rank, there must be at least one reference not employed by the University Libraries who is knowledgeable about the candidate's contributions to the profession.

For those individuals requesting promotion to the rank of Librarian, there must be at least two references not employed by the University Libraries who are knowledgeable about the candidate's contributions to the profession.

Names, addresses, phone numbers, and email addresses of references should be included.

**NOTE:** When the Administrative Officer Responsible for Personnel receives the letters, the letters will be placed in this section.

**Internal letters.** Letters of reference received by the Administrative Officer Responsible for Personnel after the general call to all University Libraries Staff for letters will be placed in this section.

**Supervisory line evaluations.** When the Administrative Officer Responsible for Personnel receives supervisors' evaluations, the letters will be placed in this section.

**External reviewer.** If appropriate to the rank, candidates should submit three names of people outside the Libraries who could serve as the external reviewer. The three individuals will be from outside the University of Washington.

An external reviewer receives a copy of the documentation and is asked to comment on the documentation. Based on the results of conversations with the supervisor and the candidate, the Administrative Officer Responsible for Personnel selects the external reviewer.

The external reviewer is chosen for the reviewer's ability to evaluate the candidate's professional accomplishments and activities. In identifying three proposed external reviewers, the candidate should consider these guidelines:

- The reviewer should be from (or have worked recently at) a comparable institution (e.g., size and scope) in order to understand and evaluate the UW position responsibilities and the appropriateness and value of the candidate's professional activities and contributions.
- Candidates do not need to know the external reviewer nor is it a concern if they do know the proposed reviewer.
- An "outside" reviewer means the individual has the perspective of someone not familiar with the UW Libraries (i.e., not a former UW librarian).
- The reviewer should hold a comparable position or formerly held a comparable position, or serve as a head of a unit/department that oversees librarians who carry out comparable duties.
- If possible, the reviewer is serving or has formerly served at an institution that has a relatively similar personnel system (academic status with promotion and tenure/permanent status).

**Candidate's statement.** Initially, this section is empty. If the candidate submits a statement explaining points of dispute with the evaluation and recommendation, and/or the internal letters, it will be added to this section during the review process.



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