June 30, 2020

To: Department Chairs, Directors, Senate Faculty, Academic Researchers,
               Lecturers (via SBCHR-L, SBDIR-L, SBFACU-L, SBNSF-L, and SBRA-L)

From: Alison Butler, Associate Vice Chancellor for Academic Personnel

Re: Electronic Submission of One-of-a-Kind Documents

Although academic review case processing has been managed electronically via *AP Folio* for quite a long time, the practice of submitting "one-of-a-kind" materials in hard copy format has, for the most part, persisted. One-of-a kind materials are supporting documents that are evaluated and used as the basis of the academic evaluation, but are not maintained in the electronic file. Rather, they are passed among reviewing agencies and then returned to the department and/or faculty member at the end of the review. One-of-a-kind materials include, but are not limited to: copies of publications, ESCI reports and raw student comments, evidence of professional activity and service.

In 2013, the option of providing a link to the electronic version of publications was introduced. The number of faculty and other academic employees using links has grown over the years, but many still submit hard-copy documentation of publications and other creative activity. Electronic submission has not been an option in the other categories of review.

The current COVID-19 related remote work requirements have pushed this issue to the forefront. Effective with the upcoming 2020-21 review cycle, **all one-of-a-kind items will be made available to reviewing agencies via links to electronically stored documents**.

Specific details are outlined in the attached procedures document and Red Binder sections will be updated as soon as possible.

Please note:
- The documentation required for an appointment or advancement case is not changing.
- The Faculty member/academic employee has responsibility for providing documentation, assuring links work, and labeling of files and folders follows the stated guidelines.
- The department has the responsibility for assuring the documentation is not modified while the case is under review. Reviewing agencies must view consistent and unvarying versions of the candidate's materials over the course of the review.

- All links should be tested prior to submission of the by the department.

If there are items that cannot be provided electronically, departments should work with their dean's offices (or in the case of academic researcher cases, with Academic Personnel) to facilitate alternate methods of submission. It is assumed that hard-copy submission will occur on a very limited basis.

Further information regarding completion of the bio-bib and the materials required for submission may be found in Red Binder I-27 *Instructions for Completion of the Bio-bibliography* and the Red Binder case checklists for each type of case.

Policy questions may be directed to the appropriate analyst in your College or Academic Personnel.

Technical questions may be directed to your local IT support or may be escalated to help@aait.ucsb.edu if necessary.

Electronic Submission of One-of-a-kind Documentation
Academic Appointment[1] and Advancement[2] Cases

Information regarding completion of the bio-bib and the materials required for submission with an appointment or advancement case may be found in Red Binder I-27 *Instructions for Completion of the Bio-bibliography* and the Red Binder case checklists for each type of case. If a bio-bib is sent to external reviewers, they must be provided a copy that excludes the links other than those for the research and creative activities section. For example, external reviewers should not have access to ESCIs and written student comments.

Research and Creative Activities

All copies of publications (including in-press, submitted, and in progress items) and evidence of creative activity are to be provided electronically. Published articles must be the final, published version. All items must be the version that reflects the status of the item as of the departmental cut-off date for submission of materials. Faculty and other academic employees should not have access to modify or switch versions of the documents once they are submitted to the department. Items may not be modified during the course of the review.   All links should be verified before submission of the case. Please see **Storage Options** at the end of this document for further guidance regarding electronic storage of documents.

Submission options:

1. Provide a separate link to each individual publication or creative work. Links may be to a locally maintained site or to an on-line publication site. The link must be listed at the end of the "Title and Author" information. The link must go directly to the specific item and must allow access to the full publication. All links should be verified prior to submission of the case.
2. Provide a single link at the top of the Research and Creative Activities section of the bio-bib. A folder may be created that contains all publications and creative work. If this method is used, individual files within the folder must be labeled using the same formatting as the bio-bib, including the item number and title (e.g. A1: *The Beginning of Time*)

Proof of in-press status documentation should be stored in a separate folder and documents must be clearly labeled to reference the appropriate publication (e.g. *A 52 proof of in-press.*)

Teaching

The ESCI Instructor Summary Report should continue to be uploaded in to the case as the "ESCI 5-Year Summary."

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[1] For new appointment cases the department may add a cover sheet to the CV upload with links to copies of publications and evidence of creative activity. The department may wish to facilitate the collection and storage of the materials if the appointee does not already have electronic versions available.

[2] For advancement cases that do not require a bib-bib (e.g. continuing lecturer advancements) links may be added at the top of the CV or via a cover sheet added to the CV upload.

Provide a single link at the top of the teaching section of the bio-bib. Individual course ESCIs and student written evaluations may be saved to a folder. A separate file or PDF must be created for each course using a standard naming structure: Year, quarter, course. (e.g. 2020-21, Fall, INTR 201.)

Professional Activities and University and Public Service

If there supporting documentation in either of these categories, provide a single link at the top of each section of the bio-bib. Individual documents must be clearly labeled with the same title as the corresponding item on the bio-bib.

Storage Options

- Documents must be saved in a secure location. A Google Shared Drive folder is recommended, but a Box Share folder may also be used. Access must be set so that anyone with the link can access the materials.
- Links to publications on external sites must allow access without a password
- The Faculty member/academic employee has the responsibility for providing documentation, assuring links work, and labeling their files and folders following the stated guidelines.
- The department has the responsibility for assuring the documentation is not modified while the case is under review. Reviewing agencies must view consistent and unvarying versions of the candidate's materials over the course of the review. This can be accomplished by providing the faculty member/academic employee with "manager/full edit" access while the case is in departmental review and then changing the permission to "read-only" access when the departmental review is complete.
- All links should be tested prior to submission of the case by the department.
- A number of resources exist to assist faculty/academic employees and departments with set up and management of electronic drives and files, including but not limited to:
  - Google Shared drives
    Creating a shared drive and adding/managing members ("granting access):
    https://support.google.com/a/users/answer/9310249

    Creating folders and uploading files:
    https://support.google.com/a/users/answer/9310154?hl=en&ref_topic=9298590

  - Box
    Managing files and folders:
    https://support.box.com/hc/en-us/categories/360003187954-Staying-Organized-in-Box

    Sharing Content and Inviting Collaborators:
    https://support.box.com/hc/en-us/categories/360003200713-Sharing-Content-and-Inviting-Collaborators