

May 2, 2013

To: Department Chairs, Directors, Business Officers, and all faculty

From: Cindy Doherty, Director
Academic Personnel

Re: Red Binder updates

Revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel web site as follows:

I-44: Clarifies effective date of retentions and factor for conversion of fiscal to academic year salaries.

I-46: Placement files may be used as the external source of evaluation for appointments of appointees immediately post PhD. Cases for those who have held prior appointments, or at steps IV or V, must have independent letters either submitted via the applicant file or solicited by the department.

I-56: Letters from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching may be used in place of external letters of evaluation in cases requiring external letters.

I-67: Changes to reflect practice; administrative service is significant academic activity that should be considered when setting expectations for achievement within a review period but cannot in and of itself serve as the primary grounds for advancement.

II-10: Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted a peer review of the candidate's teaching may be used in place of external letters of evaluation in cases requiring external letters.

The Red Binder may be found at:

<https://ap.ucsb.edu/policies.and.procedures/red.binder/index.cfm>

In addition, you may view the annotated changes at the following web address on the Academic Personnel home page:

<https://ap.ucsb.edu/policies.and.procedures/red.binder/updates/>

RETENTIONS*(Revised 04/13)*

Although not automatic, it is campus practice to match an outside offer made by an equivalent or higher quality institution, contingent upon the usual review process. Request for salary increases based on retention will be awarded through increase in off-scale salary rather than an increase in rank or step. A retention may, however be coupled with a merit or promotion recommendation that is based on the individual's accomplishments and record. Retention requests are processed through the regular personnel review system, including review by the Dean and CAP, with final approval resting with the Associate Vice Chancellor for Academic Personnel or the Chancellor (RB I-1 for approval authority). Retention cases that involve an increase in off-scale salary only may be processed at any time and are not subject to the standard case submission deadlines. Cases coupled with a merit or promotion will be subject to the standard deadlines unless an exception is requested and approved by the Associate Vice Chancellor. *Salary increases associated with retentions will be effective July 1.* Note that recommendations related to individuals being recruited by other UC campuses must abide by APM limitations on intercampus recruitment (APM 510).

Required documents;

Copy of external offer. A formal offer is preferable, however it is recognized that other institutions, particularly in industry or foreign countries may recruit without providing a "formal" offer at a time that would allow UC to try to retain the individual. If it is not possible to provide a copy of a formal offer, the department should clarify and explain the information provided in the informal offer, specifically whether a formal offer has been or is about to be made and who is making the offer.

Updated CV or bio-bibliography. While this is not mandatory, and may not be possible to submit in highly time-sensitive retentions, it is preferable to include an updated CV or bio-bib with the request. This allows reviewing agencies to see the level of productivity and activity up to the current date and can provide additional support to the department's request to retain the individual.

While a safeguard statement is not required for retentions (increase in off-scale only), the department is still required to provide the candidate with access to the departmental letter, and copies of reviewing agency reports may be requested by the candidate at the end of the review.

Departmental letter of recommendation. A departmental vote is required for any salary action, including an increase in off-scale in response to an outside offer. The departmental letter should provide information about the quality of the offer including the standing of the institution *or department within the institution* making the offer. If the salary being offered is on a different basis (i.e. fiscal year vs. academic year) or in foreign currency, the department should provide justification for its recommended "match" in salary. *Fiscal year salaries are converted to Academic year salaries using a factor of 1.16.*

GUIDELINES FOR LETTERS OF EVALUATION(Revised ~~08/07~~ 03/13)**I. Solicited letters**

When letters of evaluation are solicited, the models on the following pages should be used. These letters may be modified slightly; for example the confidentiality statement may be listed on a separate sheet as an attachment referenced in the body of the letter. "Please see the attached University of California statement on confidentiality." Although the content may be rearranged, none should be deleted without prior approval by the Office of Academic Personnel. Departments may choose to use a two-stage solicitation process whereby individuals are first asked, by memo or e-mail, if they would be willing to provide a letter. Those that agree will then be sent materials for review.

II. Unsolicited letters

When unsolicited letters of evaluation are received from an individual or institution, a response should be sent which explains the University's position on the confidentiality of such records. See sample wording H, "Sample thank you letter for unsolicited comments." Unsolicited letter writers should be listed on the list of extramural letter writers and a copy of the thank you letter must be included with the case.

III. Letters for Assistant Professor Appointments and Restricted letters

Restricted letters or placement files may be used in Assistant Professor appointment cases *of candidates who have not held prior academic positions post-terminal degree*. Appointments requested at the Assistant Professor IV or V level, *or for candidates who have held prior academic positions post-terminal degree*, should preferably contain *evaluator additional-independent* letters solicited by the department *or submitted as part of the applicant file*.

When letters of evaluation are received from individuals or institutions that have restrictions placed on the use of the materials forwarded, the sending individual must be notified that under applicable University policy and legal standards the department cannot accept and use evaluations under such restricted conditions. There are two reasons:

1. When a candidate is appointed, evaluations considered at the time of appointment become part of his/her permanent academic personnel record.
2. The University is legally required to maintain, for at least two years, documentary materials pertaining to all applicants in a completed search.

In addition, such material may be relevant in litigation in which discrimination in the appointment process is alleged, or in federal or state agency proceedings that inquire into compliance with applicable governmental affirmative action standards. Therefore, when a department receives a file with such limitations on use, the sending individual should be informed that the Department can not accept the material under the conditions stated. Sample wording I, "Restricted Material" may be used in these circumstances. If the sending individual requests that the file not be used, the evaluatory material in the file can not be considered by the department. Placement files from other UC campuses may be used in an appointment case without being considered restricted. However, placement files from any other University must be treated as restricted if the cover sheet includes a statement indicating that the letters will not be used for any personnel case purpose.

IV. Letters for tenured appointments/promotion

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured appointments, promotions and career reviews. Letters from UC familiar writers are essential for appointment/advancement to Professor VI and Professor Above Scale, preferably from faculty already at these senior ranks. *Departments should strive to include at least two UC familiar letters for cases in which such letters are required*. At least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of the candidate. The letters solicited by the department should come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers, colleagues, or personal friends. An effort should also be made not to contact individuals who have contributed letters for prior reviews of the same candidate. It will be helpful for the candidate to know that a request not to use certain potential evaluators will be made part of the review file and, while such requests may be disregarded (if proper evaluation requires such action), they are made and honored regularly and that a reasonable request should in no way jeopardize the candidate's case. A minimum of six analytic letters is required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

Any deviation from the above requirements (i.e. *less than two* UC familiar evaluators, fewer than six letters, an uneven mix between department and candidate nominated) should be fully explained by the department. Any reviewing agency may request, through the Office of Academic Personnel, that the file be augmented by additional extramural letters if the letters supplied with the case are viewed as inadequate for proper evaluation of the case. Since such requests delay the review of the case, it is important that the letters supplied by the department meet the above requirements.

V. List of evaluators and additional information

The Chair must submit a list of all persons from whom an extramural letter was solicited (whether supplied or not) giving name, position/title, institution, field of expertise, identification of past collaborative relationship with the candidate, indicating which names were submitted by the candidate. When a two-step solicitation process (see I, above) is used, identifying information is only required for reviewers who have responded positively to the initial request. Similar information must be provided for any unsolicited letters included in the file. Special attention should be given to describing the qualifications and stature of the extramural referees. Such lists should be accompanied by a master copy of the letter requesting evaluation, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials. The manner in which referees were selected should be described (e.g., “by departmental ad hoc committee”, “by Chair in consultation with three senior colleagues”, and so forth). The Chair should ensure that individuals who have provided confidential letters of evaluation are not identified in the departmental letter, except by means of a coded list, appended to the department letter.

If letters are solicited, but the decision by the department is to not forward an advancement case, the letters must be maintained by the department and be included in the next advancement case along with any new letters solicited. However, if the letters are not used within three years, they may be destroyed.

If electronic mail is used to solicit or receive letters of recommendation the sample letter format must be followed, and a printed copy must be retained. Redaction of electronic responses should eliminate all headers and footers that would identify the sender. If the response is sent as an e-mail attachment, the e-mail and the attachment must both be included in the case, both properly redacted.

When an individual holds appointments in more than one department (joint appointments), the departments may solicit letters jointly, if appropriate.

Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but great care must be taken to not bias or influence the judgment of the referee.

I-56
LECTURER/ SENIOR LECTURER
SECURITY OF EMPLOYMENT
(Revised 05/10 03/13)

Security of Employment

An appointment with Security of Employment or Potential Security of Employment can only be granted in conjunction with the titles Lecturer or Senior Lecturer, Security of Employment is not a reward for length of service but is based upon appraised and recognized merit. It cannot be conferred on an appointee unless there is an appropriately budgeted provision for the appointment. An individual may first be appointed as Lecturer with Potential Security of Employment. This may be viewed as a "security of employment-track" position, in the same way that an Assistant Professor position is a "tenure-track" position. Appointments in this series must be at greater than 50%. Lecturers with Potential Security of Employment and Lecturers or Senior Lecturers with Security of Employment are members of the Academic Senate when appointed at 100%.

Campus Policy on Allocation of FTE

It is campus policy to consider the possible allocation of a provision for a Lecturer or Senior Lecturer SOE or Lecturer PSOE primarily in cases where the curricular duties are so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment. A permanent allocation will be made only after an administrative review of a departmental request that must make a persuasive case that such an appointment fits this description and meets long range needs. This request and supporting justification should be submitted to the Executive Vice Chancellor via the Dean; it will also be reviewed by the Council on Planning and Budget. Lecturer and Senior Lecturer provisions will be rarely granted and only after the most rigorous scrutiny. The reason for this is that the university is primarily both a research and teaching institution. Provisions for permanent appointments or reappointments with the possibility of permanence should normally be used for the appointment of regular ladder faculty, that is to say, faculty who engage in both research (or other creative activity) and teaching.

I. Qualifications

At least one of the following qualifications is essential for appointment in the Lecturer SOE series:

1. Teaching ability in a subject matter so specialized in character that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment, and promise of future growth.
2. Lecturer PSOE: clear evidence of potential excellence in teaching and promise of future growth.
Lecturer SOE: teaching ability of exceptional quality, and promise of future growth.

Sr. Lecturer SOE: teaching ability of exceptional quality and evidence demonstrate, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor.

II. Appointment Criteria

Teaching:

Excellent teaching is an essential criterion for appointment. Clear documentation of ability and effectiveness in teaching is required. In judging the effectiveness of a candidate's teaching, such points as the following should be considered:

1. The candidate's command of his/her subject.
2. Continuous growth in his/her field.
3. Ability to organize material and to present it with force and logic.
4. Capacity to awaken in students an awareness of the relationship of his/her subject to other fields of knowledge.

5. Grasp of general objectives.
6. The spirit and enthusiasm which vitalize his/her learning and teaching.
7. Ability to arouse curiosity in beginning students and to stimulate advanced students to creative work.
8. Personal attributes as they affect his/her teaching and students.
9. The extent and skill of his/her participation in the general guidance and advising of students.

Documentation

Documentation of teaching should include a description of the candidate's teaching load for the review period (at UCSB the normal teaching load for Lecturers in the SOE series is three courses per quarter or an appropriate equivalent). Documentation should also include an enumeration of the MA and Ph.D. candidates supervised or directed to completion of their degrees, and class-by-class summaries of all available teaching evaluations. Other significant types of evidence include:

1. Opinions of colleagues, particularly if based on class visits, observations of lectures, or knowledge or performance in courses prerequisite to those taught by the informant.
2. Opinions of current and former students.
3. Number and caliber of students the candidate has guided in their studies or attracted to the campus by his/her repute.
4. Information about the reception of lectures given by the candidate before professional or learned societies.
5. Information about time spent in teaching extra courses including University Extension, being available to and guiding students outside class, preparing for classes, undertaking courses he/she has not taught before, and improving instructional methods.

Student and peer evaluation of teaching is central to the review process, but evidence will also be sought of significant contributions to university level teaching through development of superior teaching materials, programs for teaching improvement, and other activities related to teaching.

Professional Competence and Activity

Evidence includes such items as:

1. Election to significant offices of professional or learned societies.
2. Initiations to lecture, present papers, etc.
3. Awards, grants or honors bestowed by organizations or foundations.
4. Requests for consultative service.

University and Public Service

Evidence should include a list of the candidate's services (with dates) in departmental, Academic Senate and administrative capacities (including committee service), and a list of formal service to the community or to public agencies. Evaluation of service in these areas is helpful. Recognition should be accorded the candidate for able administrative or faculty governance, and for able service to the community, state or nation when such service rests upon professional expertise. Contributions to student welfare should also be recognized.

Letters of evaluation

At least **6 six** letters of evaluation should be submitted with the case for appointment or promotion with Security of Employment, at least half of which come from individuals selected by the Chair in consultation with the department but independent of the candidate. *The letters may be of two types:*

- 1) Letters from extramural referees with knowledge of the candidate's professional status and teaching record. **are preferable, although internal referees may also be used to provide evaluation of the teaching record.**
- 2) *Letters from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching. Peer evaluation may include classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching. Such letters are subject to the same redaction and confidentiality policies as extramural letters.*

Appointments to Lecturer, Potential Security of Employment may include placement files or restricted letters as outlined in Red Binder I-46, III.

In all cases, the sample letter for solicitation of extramural evaluation (Red Binder I-49) and the sample wording by proposed action (Red Binder I-50) should be used.

Red Binder I 46 to I 48 provides further information relating to letters of evaluation. An ad hoc review committee will be appointed to review any appointment to Lecturer SOE or Senior Lecturer SOE (Red Binder, I-60)

III. Compensation

The review cycle for a Lecturer in the SOE series is determined by the years at rank and years since last advancement.

Salaries for Lecturers with Potential Security of Employment will normally begin at a close equivalent to the salaries for Assistant Professors. Academic personnel review will occur every two years. Promotion to Lecturer SOE will normally occur during the sixth year of service as Lecturer PSEO.

Salaries for a Lecturer SOE normally begin at a close equivalent to the salaries for Associate Professors. Academic personnel review will occur every two years. Eligibility for advancement to Senior Lecturer SOE will occur after six years as Lecturer SOE. An individual who is not promoted to Sr. Lecturer SOE may continue to receive further merit increases, however eligibility will be every three years if the individual is being paid at a level equivalent to the salary of a Professor. The salary of a Lecturer SOE will not exceed the level of Professor VI.

Salaries for a Senior Lecturer SOE begin at a close equivalent to the salary for Professor I. Academic personnel review will occur every three years.

IV. Restrictions

1. An Assistant Professor with eight years of service, who is not promoted to Associate Professor may not be appointed to the Lecturer SOE series unless a five year break in service has occurred.
2. Total service at more than half-time as Lecturer with Potential Security of Employment is limited to a maximum of eight years.
3. For a Lecturer PSEO at less than 100% time, promotion to Lecturer SOE automatically removes the individual from Unit 18.
4. Since appointees in the Lecturer series are hired for their teaching skills, they will normally carry significantly higher teaching loads than members of the professorial series. At UCSB the teaching load for the Lecturer SOE series will be determined by the departmental workload policy for titles in Unit 18.
5. Lecturers in the SOE series are not eligible for sabbatical leave. They may however request "educational leave" as described in Red Binder VI-7.

V. Advancement

The academic advancement process for the Lecturer SOE series will be governed by the policies and procedures for ladder faculty reviews (Red Binder I-22). Lecturers in this series will be guaranteed the same rights and will undergo the same levels of review as ladder faculty. All cases ~~should be prepared using the Academic Personnel Review Form (Red Binder I-45)~~ *are to be submitted via the on-line case processing system and using the checklists for submission by the department chair (Red Binder I-31 and I-34).* ~~Since~~ Teaching is the primary area of review in the SOE series. ~~it is highly recommended that~~ Written student comments *must* be included with the case.

1. Merit

Merits within a Lecturer PSOE, Lecturer SOE or Senior Lecturer SOE title are considered "routine" if they are on time based on the limitations in III above, the proposed salary increase is for at most two increments on the appropriate salary scale. These actions should be prepared using the guidelines listed in Red Binder I-31, *modified appropriately to address the requirements of the SOE series.*

2. Appraisal

A Lecturer PSOE has a probationary period much like that of an Assistant Professor. A mid-career review and appraisal of progress toward promotion will take place during the fourth year of service and will be conducted according to procedures and with the degree of rigor used in evaluating regular faculty (Red Binder I-38), *modified appropriately to address the requirements of the SOE series.*

3. Promotion

A Lecturer PSOE will become eligible for promotion to Lecturer SOE when the salary is a close equivalent to Assistant Professor IV. Promotion must occur by the end of the eighth year of service. Promotion to Lecturer SOE will require the same level of qualifications as initial appointment to Lecturer SOE.

A Lecturer SOE will become eligible for promotion to Senior Lecturer SOE after six years of service as Lecturer SOE. Promotion to Senior Lecturer SOE will require the same level of qualifications as initial appointment to Senior Lecturer SOE.

Promotions and accelerated actions are considered "non-routine" and should be prepared using the guidelines listed in Red Binder Section I-34 *modified appropriately to address the requirements of the SOE series.*

~~Ad hoc review committees will be formed in cases of promotion to Lecturer SOE.~~

EVALUATION OF ADMINISTRATIVE SERVICE

(Revised 10/10)

Faculty Administrators, including Department Chairs, Directors, Associate Deans, and Deans who discharge their administrative duties with thoroughness and distinction and who give effective academic leadership to their department may not have much time left for teaching and research. It may be difficult for Administrators to maintain themselves as scholars during the period of service in the administrative position. ~~We It~~ must *be* acknowledged ~~the fact~~ that they have had to give up to administrative duties time they would otherwise have been able to devote to teaching and scholarship, and ~~we reviewing agencies~~ must take into account the extent and quality of their administrative service in considering them for merit increases and for promotions. The principle involved is that academic leadership is, in itself, a significant academic activity. ~~It is entirely appropriate to award merit increases to an Administrator primarily, although not entirely, on the grounds of excellence of service and to award accelerated increases for particularly outstanding service. Both departments and reviewing agencies should take the amount of administrative service into consideration when setting expectations for achievement within a review period. While service in and of itself cannot serve as the primary grounds for advancement, it is appropriate to consider excellence in administrative service as part of the academic review.~~

~~While time devoted to administrative service may be taken into consideration regarding expectations for merit review, career reviews (i.e. Promotions in rank, and advancement to Step VI of the Professorship or to an above scale salary), should also be considered with this criterion in mind. However, such advancements are of greater significance than merit increases within rank and can not be justified wholly on the basis of administrative service the standards for advancement may not be lessened.~~ Nevertheless, although promotion from Associate Professor to Professor requires evidence of intellectual attainment and growing distinction, substantial evidence of these qualities may well be found in the way in which successful administrators perform their duties. In the case of promotion for Assistant Professor to tenure rank, the requirement of "superior intellectual attainment, as evidenced both in teaching and research or creative achievement" can not be waived. But an Assistant Professor who has served effectively as an administrator has evidenced a considerable degree of intellectual maturity if he/she has provided academic leadership for persons of higher rank, and this certainly *should be considered* ~~count heavily~~ in considering his/her promotion to tenure.

In assessing the merits of an administrator it will be necessary to follow the regular procedures of review. However a special effort should be made to assure that Administrators are not passed over. The advice of other administrative officers, individuals outside of the department, and reviewing agencies will be particularly important in such cases. After an administrator leaves the position, his/her further advancements in salary or rank should be judged by the regular criteria

II-10

Excellence Reviews and Subsequent Merit Reviews

(Revised 08/12 03/13)

The Excellence Review of Unit 18 members, as well as subsequent merit reviews, are intended to reward those individuals who meet specified needs and standards of excellence after a programmatic decision has been made to allocate resources for a Continuing Appointment. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines described herein must be carefully followed in the review process.

I. Requirements for Excellence Reviews and Subsequent Merit Reviews

The principal criterion for employment beyond the sixth year (18 quarters) as stated in the Memorandum of Understanding (MOU) in Article 7B, is that:

- A.1.(2) The individual under consideration is excellent following an academic review based upon the criteria specified in Section D.

Section D outlines the criteria and evidence to be considered when evaluating all unit members for a Continuing Appointment through an Excellence Review and for subsequent merit increases.

Section D states:

Evaluations of individual non-senate faculty in the unit for consideration of Continuing Appointments are to be made on the basis of demonstrated excellence in the field and in teaching, academic responsibility and other assigned duties that may include University co-curricular and community service. Reappointment to the senior rank requires, in addition, service of exceptional value to the University.

Instructional performance is to be measured by evaluation of evidence demonstrating such qualities as:

- (1) Command of the subject matter and continued growth in mastering new topics;
- (2) Ability to organize and present course materials;
- (3) Ability to awaken in students an awareness of the importance of the subject matter;
- (4) Ability to arouse curiosity in beginning students and to stimulate advanced students to do creative work; and
- (5) Achievements of students in their field.

II. Evaluation of Performance

It is the department's responsibility to evaluate Continuing Appointment lecturers every three years. Periodic assessment of lecturers, required for any reappointment prior to the sixth year of service, may take on added significance should the individual later be proposed for a Continuing Appointment. Each department, using standards of excellence appropriate to the particular discipline or subject area should develop systematic methods and criteria for discriminating among levels of performance.

The primary criterion for review will be the demonstrated excellence in teaching. Departments must provide well-documented evidence on which the appraisal of teaching competence has been based. If during the course of the review, or at any other time, the Department Chair determines that based on the evaluation criteria there has been a significant decline in the quality of performance by the Continuing Appointee, the procedures outlined in Article 30 of the MOU must be followed.

III. Review Procedure

Excellence reviews and subsequent merit reviews will be conducted by the department in response to the annual call issued by the office of Academic Personnel. Excellence reviews are to be submitted to the Dean's office based on the schedule provided by Academic Personnel so that the campus review process may be completed by the end of the eighteenth quarter of service. Subsequent merit reviews will occur every three years, with effective dates of July 1. Cases are due to the Dean's office by March 31. A Continuing Appointee may request a one year deferral of the review. Such requests must be made via the Department Chair, to the Dean. Future eligibility for review will be based on the new review date. The department should inform the candidate of internal department deadlines and the opportunity to submit materials to be included in the case. If the candidate does not turn in materials by the departmental due date, the department will conduct the review based on the materials available in the department as of the due date.

Excellence reviews and subsequent merit reviews will be conducted by a departmental committee composed of academic appointees with sufficient knowledge in the field of expertise of the individual being reviewed. In addition, the department will make reasonable efforts to ensure that a qualified non-senate faculty member be a member of each review committee. All such service will be voluntary. If the review is conducted by an ad hoc committee rather than a standing departmental committee, the individual under review will be consulted concerning the non-senate faculty representation. If it is not practical to form a review committee within a department, the committee will be formed at the college level following established procedures.

IV. Documentation of Performance

It is recognized that there is no single standardized form of evaluation that is appropriate for all disciplines or for all courses within any single discipline, and that the most effective assessment of teaching and field supervision will often come from those familiar with the methods and approaches in teaching and field supervision in a given candidate's area of expertise. The following may be used as a basis for evaluation of excellence in teaching and field supervision:

- ESCI forms (required in all Lecturer cases)
- Field Supervision Evaluation Forms (required for all Supervisor of Teacher Education cases)

In addition, at least one of the following:

- Written comments from student evaluations
- Assessment by former students who have achieved notable professional success
- Assessment by other members of the department, or other appropriate faculty members
- Development of new and effective techniques of instruction/field supervision and materials
- Assessment from classroom visitations by colleagues and evaluators.

The individual under review may also provide:

- A self-statement of teaching
- A list of individuals from whom input may be solicited
- Letters of assessment from individuals with expertise in the field
- Other relevant materials to the evaluation file

It is the review committee's responsibility to submit analytical statements concerning the candidate's teaching effectiveness. These must be accompanied by evidence from the categories listed above. The review committee should make explicit the criteria it has used for assessing teaching performance.

V. Extramural Evaluations

For the Excellence Review and for promotion to Senior Lecturer, in addition to the materials listed above, the department must submit five or more letters of recommendation. These letters may be *of two types:*

1. *Letters from extramural referees with knowledge of the candidate's professional status and teaching record including solicited from* former students and graduates who have achieved notable professional success since leaving the university, reviewers who can comment on the candidate's command of the subject and continuous growth in the subject field, or any appropriate referee with knowledge of the candidate's performance.
2. *Letters from UCSB Senate faculty or Continuing Lecturers, external to the department, who have conducted peer review of the candidate's teaching. Peer evaluation may include such things as classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. Qualitative descriptions and opinions are preferable to quantitative ratings or comparative rankings in peer evaluation of teaching. Such letters are subject to the same redaction and confidentiality policies as extramural letters.*

The candidate must be given the opportunity to suggest the names of persons who could be solicited for letters of evaluation, and also to indicate in writing the names of persons who, in the candidate's view, might not objectively evaluate the candidate's qualifications or performance for reasons set forth (which may include "personal reasons"). The candidate should know that a request to exclude certain potential evaluators will become part of the review file and that such requests are made regularly and should in no way jeopardize the candidate's case. Furthermore, such requests are generally honored unless they interfere with proper evaluation.

The sample solicitation letter and confidentiality statement must be used when soliciting letters of evaluation (Red Binder I-49 and I-50). Additional wording may be added describing the criteria that are relevant in a particular candidate's case. If wording is added or changed, Academic Personnel must be consulted regarding the revised language prior to sending the solicitation letter.

VI. Other Evidence

Evidence of curricular development and renewal should be documented. Critical experimentation with materials and methods for teaching improvement, publication of articles, and presentation of papers at professional meetings or workshops may be submitted as evidence of commitment to excellence in teaching.

Evidence of competence in the field, command of the subject and continuous growth in the field may be demonstrated by the candidate's participation in the discipline itself. In certain fields such as art, music, dance, literature, writing, and drama, distinguished creation should receive consideration. In evaluating artistic creativity an attempt should be made to demonstrate the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama and dance, distinguished performance in design, conducting, and directing is evidence of a candidate's creativity.

VII. Service

It is expected that a lecturer will participate in activities that involve service to the department and the university. The department should make its expectations clear in this area and should take care to include this information in its review of a candidate. Such data might include records of attendance at departmental and other meetings; department assignments undertaken; accessibility to students (office hour commitments made and kept, independent studies programs directed, student activities sponsored and advised). Any such activities should be noted and evaluated; any such activities that are assigned as part of

the candidate's workload should be subjected to a more rigorous evaluation. While every faculty member is expected to have some activity in this area, it should be recognized that the opportunities for such service will vary from lecturer to lecturer. Exceptionally meritorious service should be carefully documented in preparing the recommendation.

Review of individuals for promotion to the Senior Lecturer rank must demonstrate service of exceptional value to the University. Among such activities are governance. Also included are activities that involve member's professional expertise in a context outside the University's environment. Activities in both these areas should be carefully documented.

VIII. Reviewing Agencies

1. The departmental review committee prepares the letter of recommendation after appropriate review has taken place. The letter of recommendation should accurately describe all review committee views including those of dissenting members.
The department's recommendation, with accompanying material, is sent to the office of the appropriate Dean.
2. The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. In addition to the departmental case, however, the Dean has access to departmental and Dean's recommendations from previous reviews. The Dean has authority on merit cases. For individuals appointed at the College level the Associate Vice Chancellor for Academic Personnel has authority for the merit review.
3. The Associate Vice Chancellor for Academic Personnel has authority for Excellence reviews, and may request review by the Committee on Academic Personnel when he or she determines that such a review is necessary for proper evaluation.
4. The final decision in all merit and Excellence reviews is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and the Committee on Academic Personnel (in those cases where CAP is asked to review).
5. Requests for reconsideration of a final decision will be governed by Red Binder I-10.