

To: Department Chairs, Directors, Business Officers and Senate Faculty

From: Cindy Doherty, Director
Academic Personnel

Re: Red Binder updates

A number of revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel web site to be effective September 15, 2020. Significant changes include the following:

- Movement to electronic submission of one-of-a-kind materials with personnel cases. As announced on [June 30, 2020](#), the default method of submission of such materials will be via electronic means rather than hard copy. The proposed changes reflect this change.
- Methodology for calculating Above Scale increases. The majority of UC campuses have transitioned to, or are in the process of transitioning to, an increment vs. percentage basis for awarding Above Scale increases. The changes bring UCSB into alignment with other campuses' approach. The increment methodology standardizes increases, resulting in more equitable increases. Increases within Step IX are limited to no greater than a one-increment Above Scale increase.
- Expanded guidance on self-statements.

A summary of changes is listed below. The complete Red Binder, as well as the annotated changes are available on the Academic Personnel website at:

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

Summary of changes

I-15, I-27, I-31, I-34, I-51, II-14, II-25, III-7, III-9, V-2	Electronic Submission of one-of-a-kind materials
I-8, I-43	Change in methodology for Above Scale and within Step IX increases
I-75	Electronic submission of one-of-a-kind materials, clarification of service expectations, guidance on submission and evaluation of self- statements in review cases
IV-1	Temporary change in campus authority for student employment limitation exceptions
VI-1	Contact with Sponsored Projects by PIs going on leave
VI-5	Clarification of submission process for ASMD requests
VI-15	Update of process for intercampus on-time payments

I-8
OFF-SCALE SALARIES
(Revised 5/17 9/20)

I. UCSB Minimum Scale Rate

As a result of salary increase programs, all academic employees must be paid at least at the UCSB minimum scale rate. The associated off-scale supplement assures equity among academic employees and with other UC campuses. An employee paid at UCSB Minimum Scale rate will be advanced to the Minimum Scale rate at the next step upon on-time advancement.

II. Off-Scale Appointments

In instances of market pressures, efforts should be made to separate the issue of academically merited rank and step from the issue of the requisite salary needed to recruit a member of the faculty. For those academic areas in which market pressures are a consideration, departmental recommendations for appointment should reflect (a) a recommended rank and step appropriate to academic and professional achievement; and (b) an appropriate off-scale together with documentation of the market conditions that justify it.

III. Off-Scale Advancements

Off-scale supplements are retained in on-time advancements. When properly justified an advancement with an increase in off-scale salary may be approved in situations which cannot properly be accommodated through advancement in step only. For example:

- a) a record of performance that exceeds that expected for a one-step increase but does not meet the expectations for a one-step acceleration.
- b) the record of performance does not justify advancement to the next step at the normative time but does represent a level of performance that supports a within-step increase.
- c) recognition of special services or other achievements not normally recognized by on-schedule or accelerated step advancement;

Red Binder I-36 provides further guidance regarding accelerated actions. Red Binder I-44 provides further guidance regarding the use of off-scale salary in retention efforts.

For faculty already at Step IX, consideration for further merit increase within Step IX is reserved for cases of highly meritorious contributions to teaching, research, professional activities, and service, which fully meet the performance expectations for faculty at the top step of the professorial ladder and which demonstrate progress towards eventual advancement to Above Scale status. *An increase within Step IX may not exceed the dollar amount of an Above Scale one-increment advancement. Once advanced within Step IX, if advancement to Above Scale occurs sooner than the normative time at step (four years), advancement should be lateral and eligibility for future merit will be determined based on the combination of years since advancement within Step IX and the years at Above Scale.*

A faculty member may receive no more than two within-step increases in the off-scale supplement. Additional off-scale increases may not be granted unless accompanied by advancement in rank or step.

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 7/19 9/20)

All appointment cases are submitted via AP Folio.

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations

- Are the start date, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- Is the actual vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are the candidate's qualifications, educational background, and area(s) of specialization all discussed?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?

II. Extramural letters of evaluation and list of evaluators (Red Binder I-49)

Extramural Letters

- For tenured appointments, are there at least 6 letters, including letters from UC familiar referees?
- For tenured appointments, are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?

Sample Solicitation Letter(s) and/or Thank you letter(s) for unsolicited letters

- Was the proper wording used in the letter (RB I-49 to I-50)?
- Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-46-VI) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of either the letter or the materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate, department or jointly selected?
- Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

III. Complete CV and Academic biography form.

- Is the CV up to date?
- Is the Academic biography form complete, signed and dated?

The following items are submitted as hard copy:

IV. Copies of publications

- Has a representative sampling of publications been submitted?
- Have links to electronically submitted items been verified?*
- If items cannot be submitted electronically, have arrangements been made with the Dean's office?*

V. Start-up request information. (see RB I-18)

- Have all start-up issues been addressed?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.

2. The Procedural Safeguard and Certification Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

INSTRUCTIONS FOR COMPLETION OF THE**BIO-BIBLIOGRAPHY**

(Revised 4/19 9/20)

It is the responsibility of each faculty member and academic employee in a research title to maintain an up to date bio-bibliography (bio-bib). The bio-bib should contain information ending at the appropriate campus cut-off date as follows:

Senate Faculty	September 15
Research series	December 31
Project Scientist/Specialist	January 31

Departments may establish earlier submission dates if they desire. Information that falls beyond the cut-off date will not be considered in the review. Departments may require that the bio-bib be updated and submitted on an annual basis to assist the chair in the annual review of all Senate faculty (APM 220-80 b.)

Contributions in all areas of review that promote equal opportunity and diversity should be listed under the appropriate review area and will be evaluated and credited in the same way as other faculty achievements. Contributions may take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research that highlights inequalities.

Bio-bibs may be maintained in any format (word document, excel document, etc) but must conform the format described below. A bio-bib template is available via the Forms section of the Academic Personnel web site.

Short Curriculum Vitae

The first page of the bio-bib should contain an abbreviated curriculum vitae. The following categories should be included: Education, Area(s) of Specialization, Previous and currently held Academic or Professional Appointments and Professional Organizations.

Research and creative activity

Appointees to the Lecturer SOE series will typically use a single section titled Professional and/or Scholarly achievement and Activity rather than two separate sections titled Research and Professional Activity.

The bio-bib must contain a comprehensive and complete itemized list of publications (or other creative activity) for the entire career. Items should be identified as published, in press, submitted, and in progress according to the following format:

[A] Published work; work that has appeared in final, published format

[B] Work in press; work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence ~~should~~ **must** be supplied documenting the In-Press status

[C] Work submitted; work that has been submitted but not yet accepted. Such work is required to be included in the case. It is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity.

[D] Work in progress; work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case

A line should be drawn separating all new items from ones which in one form or another were part of the review file underlying the last successful advancement and should be clearly identified with an explicit indication of their subsequent change in status using the following notation system:

* for items previously listed as Work In Press

** for items previously listed as Work Submitted

*** for items previously listed as Work In Progress

Footnotes should indicate the number of the publication from the prior review (i.e. previously item B-1). If a change in title has occurred since the last bio-bib, the footnote should also indicate the previous title.

If the previous action resulted in an increase in off-scale supplement only or a no-change decision, two sets of lines may be used to differentiate between what was included in the previous case vs. what took place during the review period. The departmental letter should explain the use of two sets of lines.

If publications are being submitted via an electronic link, the link must be listed at the end of the "Title and Author" information. The link must go directly to the specific item. Electronic links may only be used for documents that are considered to be the final version. In general, work in press and published may be provided electronically while work submitted or in process should be submitted in hard copy format. All links should be verified prior to submission of the case.

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.

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.
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.)

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.

Teaching (For Senate Faculty only)

The bio-bib must contain an itemized, chronological (by quarter) list of workload since the last successful review. This list should include: quarter and academic year, course number, course title, course format, unit value, enrollment, share of teaching assignment, and indicate if evaluations are available. If the Budget and Planning print out is used information concerning the availability of evaluations must be added.

A line may be drawn or footnotes added to indicate the transition from hard-copy to on-line course evaluations.

The bio-bib should also contain a statement of normal teaching workload for the department overall (e.g., 2-2-1) and a brief explanation of any deviations from this workload (e.g., sabbatical, administrative assignment).

A listing of graduate committee (MA and Ph.D.) service and related information since the last successful review must also be included. It should be clearly stated if service was as Chair or a member of the committee. The bio-bib should also indicate if the degree was completed during the current review period.

If a cumulative list is maintained for any of the teaching categories, a line must be drawn to show which activity is new since the last review.

A single link should be inserted at the top of the teaching section of the bio-bib linking to the electronic version of individual course ESCIs and student written evaluations. 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 Activity

Appointees to the Lecturer SOE series will typically use a single section titled Professional and/or Scholarly achievement and Activity rather than two separate sections titled Research and Professional Activity.

The bio-bib must contain an itemized list of professional activities in appropriate categories (e.g., seminars, workshops, book reviews, professional memberships, extramural grants, refereeing for journals, consulting, and so forth) that have occurred since the last successful review. If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

If there is supporting documentation, it must be provided via a single link at the top of bio-bib section. Individual documents must be clearly labeled with the same title as the corresponding item on the bio-bib.

University and Public Service

The bio-bib must include an itemized list of various activities by categories or level (e.g., department, Senate, administration, community, governmental, and so forth) that have occurred since the last successful review. Mentoring and advising of students and faculty that furthers diversity and equal opportunity may be listed as University service. If a cumulative list is maintained, a line must be drawn to show which activity is new since the last review.

If there is supporting documentation, it must be provided via a single link at the top of bio-bib section. Individual documents must be clearly labeled with the same title as the corresponding item on the bio-bib.

**DOCUMENTS TO BE SUBMITTED BY THE CHAIR
DEAN'S AUTHORITY MERITS**

(Revised 7/19 9/20)

All personnel review cases are submitted via AP Folio

I. Departmental Letter

The Chair should provide a **concise** description of the most significant developments since the last review in each of the review areas. Any criticisms or reservations should also be noted. The letter should be brief; normally one to two pages long. See Red Binder I-75 for further discussion of evaluation of four areas of review and Red Binder I-35 for details regarding the content of the departmental letter.

- Is the letter an accurate, concise and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given appropriate recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Chair's Separate Confidential Letter

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

III. Safeguard and Certification Statement.

The candidate must sign an on-line safeguard and certification for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard and certification statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion letter) the appropriate box under #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

IV. Bio-bibliographical Update

- Is it in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

Have all links to supporting documents and one-of-a-kind items been verified?

V. Evaluation of the teaching record

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory

- If the B&P printout is used, is it noted which classes have ESCI's?
- If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VI. **Self-assessment of other accomplishments and activity (optional).**

- If a self-assessment of activity and accomplishments other than teaching (V. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to advancing diversity, equity, and inclusion.

VII. **Sabbatical leave reports.**

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

VIII. **Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. ~~One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.~~

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- ~~If publications are being included via a link in the bio-bib, has the link been verified?~~
- Have links to electronically submitted items been verified?*
- If items cannot be submitted electronically, have arrangements been made with the Dean's office?*
- If any publications are missing from the file, is a note included noting which are missing and explaining why?

DOCUMENTS TO BE SUBMITTED BY THE CHAIR
EXPANDED REVIEW CASES

(Revised 7/19 9/20)

All personnel review cases are submitted via AP Folio

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-75 for further discussion of evaluation of four areas of review and See Red Binder I-35 for further detail of content of departmental recommendations

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative or mixed departmental recommendation, is the basis of the recommendation clearly documented?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- If the case is for a career review, does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?
- Are all four areas of review covered: teaching, research, professional activity and university and public service?
- Are contributions to diversity and equal opportunity given appropriate recognition?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Chair's Separate Confidential Letter

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

III. Safeguard and Certification Statement.

The candidate must sign an on-line safeguard and certification statement for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard and certification statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion report) the appropriate box under #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. Bio-bibliographical Update

- Is it in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are all teaching evaluations listed as available in the Teaching section of the bio-bib included with the case?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?

Have all links to supporting documents and one-of-a-kind items been verified?

V. Extramural letters of evaluation and list of evaluators in cases where extramural letters are required; promotion, merit to Professor Step VI, merit to Professor Above Scale. (Red Binder I-49)

Extramural Letters

- Are there at least 6 letters, including letters from UC or UC familiar referees?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded? Are the codes also on the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 7A on the Procedural Safeguards Statement?
- Are any anomalies in the composition of reviewers (e.g. less than six letters, letter writer who wrote in previous review, etc.) explained?

Sample Solicitation Letter(s) and/or Thank you letter(s) for unsolicited letters

- Was the proper wording used in the letter (RB I-49 to I-50)?
- Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB I-46-VD) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

VI. Evaluation of the teaching record.

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory

- If the B&P printout is used, is it noted which classes have ESCI's?
- If small courses do not have ESCIs is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VII. Self-assessment of other accomplishments and activity (optional).

- If a self-assessment of activity and accomplishments other than teaching (VI. above) was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to advancing diversity, equity, and inclusion.

VIII. Sabbatical leave reports.

- If any sabbatical leaves were taken during the review period are copies of the reports included with the case?

IX. Copies of publications.

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews. **One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with teaching evaluations and other single copy items, will be returned to the department upon completion of the review.**

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For tenure cases, have you included all publications?
- If publications are being included via a link in the bio bib, has the link been verified?**
- Have links to electronically submitted items been verified?**
- If items cannot be submitted electronically, have arrangements been made with the Dean's office?**
- For other career reviews (promotion to Professor, to Step VI, to Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

MERIT TO, OR WITHIN, PROFESSOR OR SENIOR LECTURER SOE ABOVE SCALE

(Revised 4/19 9/20)

Advancement to Professor Above Scale is reserved for scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, and (3) whose University and public service is highly meritorious, and (4) whose professional activity is judged to be excellent.

Advancement to Sr. Lecturer SOE Above Scale is reserved for teachers of the highest distinction (1) whose contributions to University teaching and education outcomes are excellent; (2) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; and (3) whose service is highly meritorious.

Advancement to Above Scale will normally occur after at least four years of service at step IX with the individual's complete academic career being reviewed. *Further advancement within Above Scale will normally occur after four years of service. Early advancement within Above Scale is not permitted.*

Normal, on-time advancement requires continued performance at levels commensurate with the expectations for an Above-Scale faculty member in all areas of review and must be justified by new evidence of merit and distinction appropriate to this highest level of the rank.

A merit increase of 7% reflects sustained excellence in all four review areas as well as new evidence of merit and distinction. Increases of more than 7% are reserved for accomplishment that demonstrably exceeds in every review area the already high expectations for achievement at this level. Examples include exceptional research productivity or professional activity, significant recognition such as distinguished awards, prizes, endowed lectureships, or elections, or extraordinary university service. The interval between salary increases is a minimum of four years. Accelerations will not be approved except for the most superior cases, supported by compelling evidence and a reasoned argument.

The level of performance required for merit increases is significantly higher at Above Scale than for advancement within the steps. When performance at Above Scale, or going to Above Scale, meets or exceeds these high standards increases will be awarded in one, one and one-half, and two-increment amounts. Normal, one-increment advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor in all areas of review and will not occur if there are deficiencies in any area of review. One and one-half increment advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by extraordinary achievement beyond the already high level, in two or more areas of review. In most cases, one of those areas will be scholarly and creative activity. Two-increment advancement will be exceptionally rare and will require continued performance at levels commensurate with the expectations for an Above-Scale Professor, supported by extraordinary achievement beyond the expected level in all areas of review. In rare circumstances, when performance at Above Scale does not meet the high standards listed above for a one-increment increase, ~~cases~~ an increase of one-half increment may be granted, when justified by a convincing explanation. Such increases will only be considered when extraordinary achievement beyond the expected levels exist in multiple areas of review. ~~awarded when expectations have been significantly exceeded in multiple areas of review, but not met in all areas.~~

The Above Scale advancement increment is equivalent to 10% of the on-scale rate for step IX on the applicable salary scale, rounded to the 100's.

Professorial appointees who have attained Above Scale status may use the title "Distinguished Professor" as an honorary title. Sr. Lecturer SOE appointees who have attained Above Scale status may use the title "Distinguished Teaching Professor" as an honorary title. Because these titles are honorific, they may not be used on legal documents such as contract and grant applications that require an official employment title. The title may be used for such purposes as correspondence, CV, or website listings. Faculty who retire at Above Scale status may use the title Distinguished Professor or Distinguished Teaching Professor emeritus/a.

MATERIALS TO EXTERNAL REVIEWERS

(Revised 4/15 9/20)

In cases where external letters of recommendation are required materials are traditionally provided to the external evaluators to assist them in their evaluation. While departments maintain a large amount of flexibility concerning what is sent, the following guidelines must be observed:

Reviewers must at a minimum be provided with a copy of the candidates CV or Bio-bibliography and access to copies of publications. While departments may choose to send copies of publications with the letter requesting evaluation, they may also ask that the reviewer inform them if they do not have access to the publications at which time they will be provided. Documents may be provided via on-line links or copied on to CD and sent to the evaluators if appropriate.

If a bio-bib is sent to external reviewers, it must be a version that excludes the links other than those for the research and creative activities section.

Departments may choose to send other materials such as a self-statement covering one or more of the review areas to the external reviewers. However, if materials beyond the CV/bio-bib and publications are sent, the procedures must be consistent among all employees within any given series undergoing the same type of review. Requirements for letters in each series are included in the corresponding Red Binder sections. Departments should also use caution in providing documents beyond the usual items. Teaching evaluations, correspondence, and materials from past cases are examples of items that should not be sent to evaluators *and any links to such documents must be removed from the bio-bib that is provided.*

A list of the materials provided to the external reviewers must be submitted with the case

Any materials that were provided to the reviewers that are not otherwise included in the case must be submitted with the case.

APPOINTMENT AND ADVANCEMENT

**A publication of the
Committee on Academic Personnel
prepared in consultation with the
Associate Vice Chancellor for Academic Personnel
(Revised 7/19 9/20)**

This compilation is intended as an aid for the use of Departmental Chairs and Senate faculty. It is not a substitute for the official documents governing appointment and advancement at UCSB, the Academic Personnel Manual and Red Binder, which are authoritative and must be carefully adhered to in personnel actions. Rather it is intended to provide a comprehensive overview of the policies and procedures governing appointment and advancement from the perspective of the Committee on Academic Personnel. Key terms are in **boldface type** to draw attention to their importance; *italics* are used for emphasis.

The official manual governing personnel actions is the Academic Personnel Manual (APM), issued and revised by the President of the University. UCSB campus policies and procedures are contained in the “Red Binder.” The President also issues an annual list of salary scales. These documents are available for reference at <https://ap.ucsb.edu/>

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I. RANKS, STEPS, AND NORMAL PERIODS OF SERVICE WITHIN STEPS

The information in this summary concerns primarily the faculty in the **professorial and lecturer security of employment (SOE) ranks**: Assistant Professor/Lecturer PSOE, Associate Professor/Lecturer SOE, and Professor/Sr. Lecturer SOE. There is a normal period of service for most **steps** within these ranks, as indicated in the following table. However, movement between ranks (**promotion**) or from one step to another within a rank (**merit advancement** or **merit increase**) depends upon merit. It is never automatic, and it can be faster than normal in recognition of outstanding performance (an **acceleration**) or delayed when performance is not up to normal (a **deceleration**).

REGULAR RANKS, STEPS, NORMAL PERIODS OF SERVICE

ASSISTANT PROFESSOR LECTURER PSOE (8 year limit, non-tenured)		ASSOCIATE PROFESSOR LECTURER SOE (6 years normal, tenured)		PROFESSOR SR. LECTURER SOE (indefinite, tenured)	
<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>
I	2 (not used at UCSB)				
II	2				
III	2				
IV	2				
V	2 (over-lapping step)	I	2		
VI	2 (not used at UCSB)	II	2		
		III	2		
		IV	3 (over-lapping step)	I	3
		V	3 (not used at UCSB)	II	3
				III	3
				IV	3
				V	3
				VI	3
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Information contained within this document applies equally to both series unless otherwise noted. For ease of use, only the professorial series ranks are listed.

Assistant Professor V and Associate Professor IV are **special steps**. Service at these steps may count as "**time-in- step**" in the related steps of the next higher rank; e.g., after two years as Associate Professor IV and one year as Professor I, a candidate may be reviewed for a normal merit increase to Professor II, just as would be done after three years at Professor I. Normal advancement occupies six years at the Assistant Professor rank with eight as the maximum before either promotion or termination; six years at the Associate Professor rank; and an indefinite time in the Professorship.

In addition to the regular steps, some appointments or advancements may be made **Above Scale**, i.e., to salaries above Professor IX. These salaries are reserved for scholars of "the highest distinction, whose work has been internationally recognized and acclaimed." An exceptionally high salary must be approved by the President.

Service at Professor V through IX, or at Above Scale salary may be for indefinite duration. Accelerated advancement before three years of service at these steps (four years at Step IX and Above Scale) will occur only in exceptional cases. Everyone will be formally evaluated at least once every five years (**a mandatory review**).

Off-scale salary supplements

An individual may be given an **off-scale** salary, consisting of a **salary supplement** added to the listed salary at the assigned step. A recommendation for such a salary increase must be fully justified by the department or reviewing agencies recommending it. At UCSB off-scale salaries are used to respond to external market conditions in recruitment and retention, as well as to provide a partial reward in cases when a full step advancement is not indicated.

II. MATERIALS REQUIRED FOR PERSONNEL ACTIONS

Each time a recommendation for a personnel action is initiated, a **dossier** or **file** containing materials relevant to that recommendation is prepared by the Department Chair. The complete dossier includes the following:

1. The **UCSB Biography** form supplied by the candidate at the time of appointment, which summarizes **his/her their** professional career including salaries up to that time. (*Needed only for appointments*)
2. The updated **Bio-Bibliography** prepared by the faculty member (Not required for appointments)
3. In certain cases **extramural letters** of appraisal or recommendation from qualified experts evaluating the quality of a person's research or creative work and **his/her their** professional reputation. Such letters are required in all cases of appointment and promotion, and for advancement to Professor VI and Professor Above Scale. A minimum of six analytical letters is required, and at least half should be chosen by the Chair in consultation with the department but independent of the candidate. The other half can be nominated by the candidate. It is important that at least some of the external evaluators are familiar with UC standards. For certain advancement cases, UC familiar references are required. The department's submission must include a coded list including a brief resume of the qualifications of each reviewer, indicating whether the reviewer was chosen by the candidate or by the department. This list should also indicate any relationships between the candidate and the reviewer (e.g., thesis advisor, co-author, etc.) and if the reviewer has previously written for the candidate.

The Chair should have minimum contact with the extramural evaluators beyond the letter soliciting the evaluation, because intended or unintended suggestions or hints to the evaluators may distort results and work unfairly either for or against the candidate.

4. A letter of recommendation initiating the proposed appointment or advancement, normally written by the Department Chair. (When a Chair is under consideration for advancement the case will be handled by a Vice-Chair or other senior faculty member). The Chair's letter should be accompanied by all relevant information, including particularly the signed **Safeguard Statement** in advancement cases.
5. A thorough evaluation of teaching as described in Section V below.
6. A complete set of publications covering the review period, **which will be returned to the department at the conclusion of the review**. "Review period" in cases for appointment and promotion means the complete record of the candidate (in cases where this is impractical, a complete record of the most recent work and a sample of other significant works may be submitted). For merit review cases "review period" means years at step, ignoring any off-scale salary supplement. **All items are to be submitted electronically via links in the bio-bib. If this is not possible, the department must work with the respective Dean's office to arrange alternate submission.**

III. THE REVIEW PROCESS

Overview of the reviewing process (many of these steps are not applicable to appointment cases)

1. In the spring the Associate Vice Chancellor for Academic Personnel publishes a list of faculty members eligible for normal advancement or promotion during the coming academic year.
2. The Department Chair notifies each faculty member of **his/her their** eligibility for personnel review. The Chair should also review faculty not on the eligibility list for the possibility of accelerated merit or promotion.
3. The faculty member *either* requests a deferral of action for one year *or* prepares evidence for the review, with the assistance of a departmental personnel committee, or a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College or Campus deadlines to allow timely processing of cases.
4. The candidate is given the opportunity to respond to the materials in the file.
5. The case is presented and discussed. This is followed by a vote of eligible faculty in accordance with Senate By-Law 55 or other departmental voting procedures approved by CAP.
6. The Chair writes a letter analyzing the case and summarizing the department's recommendation. This letter is available for inspection, amendment, or rebuttal by all eligible department members.

7. A candidate for advancement is given an oral summary or written copy of the departmental recommendation and provided the opportunity to comment.
8. The candidate completes the Safeguard Statement.
9. A separate confidential letter from the Chair should not be submitted except on the rare occasions when evidence exists that could not be appropriately shared in the department letter.
10. The department letter, along with all publications, teaching evidence and other materials pertaining to this review (the “dossier”) is sent forward to the Dean.
11. In cases where the Dean does not have final authority, the dossier, including the Dean's letter, is sent to the Office of Academic Personnel, which forwards it to the Committee on Academic Personnel (CAP). CAP assigns the case to one or more members, usually from as similar a field as possible. (Note: cases are *never* assigned to a CAP member who belongs to the candidate's own department; in fact, CAP members are never present during discussion of cases from their own departments.)
12. In appointments and promotion to tenure, terminations, and advancements to Above Scale, an ad hoc review committee is appointed by the Chancellor’s designee on nomination from CAP. CAP may elect to serve as their own internal ad hoc except in the case of a terminal appointment recommendation.
13. CAP considers the case *after* the ad hoc committee and the Dean have submitted their letters. If no ad hoc review is required, CAP proceeds once the Dean’s recommendation is received. A draft letter is written by the assigned member, distributed to the whole committee, read aloud, and fully discussed. A vote is taken in the rare cases when a consensus recommendation cannot be reached.
14. CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. If the Chancellor's (or designee's) *tentative decision* differs from CAP's and/or the Dean's recommendation, it is sent back to that agency for further comment. If the recommendations vary by \$2,000, \$4,000 or less, the Chancellor (or designee) will not be required to consult further. *However, when the recommendation differs by greater than \$2,000 but less than \$4,000, the Chancellor (or designee) will provide written justification of the recommendation to the file.*
15. The Chancellor's (or designee's) final decision is communicated to the department and the candidate. In certain cases a “Chancellor’s tentative decision” must precede the final decision. (See Red Binder I-39)

Details of the review process

1. Preparation of the Recommendation: (see Red Binder I-35) Recommendations for personnel actions normally originate with the Department Chair. *His/her Their* letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support the evaluation. The letter should also present a report of the Chair's consultation with the members of *his/her the* department, including the vote tally and the basis for any dissent. The Chair should explain any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions.

The departmental letter should be a complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. At the same time the letter should be succinct. Extended quotations from supporting documents and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. The Chair should make clear which portions of *his/her the* letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current **review period**.

The candidate has the right to augment the dossier with items relevant to the case, so long as the submission does not violate the privacy of third parties or other campus policies. Such materials may include self-assessments, award letters and other professional items. Dissenting department members have the right to have a minority report included with the department letter. However, a minority report should not be submitted unless, after good-faith efforts by all parties, the minority believes that its views are not accurately represented in the Chair’s letter.

The Chair should also communicate with the candidate as required by Section 220-80 of the APM and outlined in “Departmental Checklist for Academic Advancement”, Red Binder I-22. An oral summary or preferably a written copy of the departmental letter is given to the candidate as part of the review process.

2. The Dean of the appropriate college or division makes his/her/their analysis and recommendation without reference to the recommendation of any reviewing agency other than the Department. ~~He/she has~~ They have access only to the departmental file, to previous departmental letters, and to previous Dean's recommendations. Of course, publicly available scholarly materials are available to all reviewing agencies.
3. On behalf of the Chancellor, An *ad hoc* review committee (nominated by CAP and appointed by the Associate Vice Chancellor for Academic Personnel) is may be formed for cases involving promotion to tenure, tenure appointment, and terminal appointment. The membership of such a committee is known only to CAP and to the Chancellor, the Executive Vice Chancellor, the Associate Vice Chancellor for Academic Personnel, and the committee itself. In promotion and appointment cases, the ad hoc review committee includes a representative from the Department who is not present during the final discussion and vote; it normally includes faculty of the same or higher rank and step from related departments. The ad hoc review committee makes its recommendation independently of all other reviewing agencies; it has access only to the file as it comes from the department. It does not have access to the prior personnel review file, to the Dean's letter, or to a separate confidential letter from the Chair, if one was submitted.
4. The Committee on Academic Personnel has access to the analyses and recommendations of all the aforementioned agencies, and to previous recommendations concerning the candidate.
5. The Chancellor (or designee) reviews the recommendations of all reviewing agencies (department, Dean's office, ad hoc review committee, if any, and CAP). If there is an inclination to make a decision which differs from the CAP's or the Dean's recommendation, that agency is informed of the tentative decision and given the opportunity to respond. If the recommendations vary by \$2,000 or less, the Chancellor (or designee) will not be required to consult further. If the recommendations vary by \$4,000 but more than \$2,000 the Chancellor (or designee) will write a note to the file explaining his/her their decision in lieu of a tentative decision. The final decision is communicated to the candidate and the department. (Note: some cases with salaries above a certain level require Presidential approval.)

IV. SOME PROCEDURAL MATTERS

1. Requests for Further Information: Any reviewing agency may request additional information or documentation. The Dean sometimes requests such information directly from the Chair; ad hoc review committees and CAP always make such requests through the Associate Vice Chancellor for Academic Personnel. Such requests do not reflect on the merit of the candidate, nor do they imply that the departmental recommendation is not credible. They are meant to make the case file complete. The candidate should be informed of additional materials obtained (APM, Section 220-80-h).

Chairs should take special care to prepare the case thoroughly and properly. Significant delays result from improper or inadequate preparation of cases at the departmental level. When a reviewing agency requests additional information, a deadline for submission of those materials will be included in the request. If the materials are not received by the stated deadline the case will proceed through the review process without the materials. Failure to submit requested materials may have an effect on the outcome of the review.

2. Reconsideration: In special circumstances, after a decision is made, the Department Chair may begin the process of review again by requesting reconsideration. *Requests for reconsideration must include important additional evidence or documentation of previously mentioned work pertinent to the review period omitted in the original recommendation, such as a major publication, award, etc., or evidence that the decision was not based on a reasonable evaluation of the case.* Sometimes departments may wish to request reconsideration without such evidence in order to show solidarity with the candidate or for similar reasons. This clogs the whole process. *Such requests should not be submitted.*
3. Non-Reappointment: When it is decided that an Assistant Professor should not be reappointed (given a **terminal appointment**), or when a department recommendation for promotion to tenure may be denied, the Assistant Professor is given due notice, in accord with APM Section 220-20-c. Terminal appointments, whether originated by the department or elsewhere, are always given a full review, including consideration by the Dean, ad hoc committee, and CAP. (See APM Section 220-84.)
4. Formal Appraisal: The APM requires that at a certain point in his/her their career each Assistant Professor

should be appraised. The purpose of the **appraisal** as stated in the APM is:

to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty. (Section 220-83.)

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. When an assistant professor has been appointed at a high step, the department may recommend tenure without a preliminary appraisal, if the record merits it.

The departmental letter concerning an appraisal should contain:

- a. A description and analysis of the candidate's total performance in each of the four areas of evaluation.
- b. An evaluation of that performance as progress toward eventual tenure.
- c. A clear statement that the recommendation of the department is: (a) "continued candidacy for eventual promotion", (b) "continued candidacy with reservations" (which should be specified), or (c) "terminal appointment". An Appraisal decision should never be interpreted as a *promise* of eventual promotion to tenure.

The appraisal recommendation may be integrated into the letter concerning the merit increase provided that the fact that an appraisal has been made is clearly stated.

After the review is completed, the Associate Vice Chancellor for Academic Personnel will provide redacted copies of the review documents to the candidate.

5. Like a recommendation for advancement, a departmental recommendation for no change in rank, step, or salary must include an evaluation of the case, a summary of the relevant evidence, a summary of departmental views, and a record of the departmental vote.
6. Sometimes a candidate asks not to be reviewed for advancement, i.e., to be granted a **deferral**; Except for Assistant Professors, deferrals are automatic if no case is submitted by the relevant deadline. For Assistant Professors, the Chair should determine whether the candidate's self-evaluation is accurate and should briefly review the available evidence in **his/her their** letter. The request is then forwarded to the Dean. No person at any rank may go more than five years without a formal evaluation. Mandatory reviews may not be deferred.
7. Reviewing Agency Reports: When the candidate signs their safeguard statement, they may request that reviewing agency reports be supplied to them at the close of the case. The reviewer reports will be automatically provided once the case is decided. If the candidate does not make the request at the time the safeguard statement is signed, they may do so at a later date via AP Folio. The candidate will already have been given an oral summary or written copy of the departmental letter and of any confidential materials submitted with the file.

V. CRITERIA

The criteria for promotion and advancement in the professorial series are:

- (1) Teaching
- (2) Research and other Professional Creative Work
- (3) Professional Competence, Activity, and Recognition
- (4) University and Public Service

The criteria for promotion and advancement in the Lecturer SOE series are:

- (1) Teaching
- (2) Professional and/or Scholarly Achievement and Activity
- (3) University and Public Service

Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment or promotion to tenure positions in the professorial series. Clear evidence and documentation of consistent and sustained excellence in teaching is an indispensable qualification for appointment or promotion to security of employment positions in the lecturer SOE series. Insistence upon these standards is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be given due recognition in the evaluation of the candidate's qualifications. An individual may not be arbitrarily disadvantaged if he or she elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

Evidence of Teaching (Professorial and Lecturer SOE series)

According to University policy and the APM, professors at all ranks must have a current teaching record in order to be advanced.

In the Professorial series, effective teaching is an essential criterion for appointment or advancement. In the Lecturer SOE series, consistent and sustained excellence in teaching is the **primary** criterion for appointment or advancement. Clear documentation of ability and diligence in teaching is required.

In judging the effectiveness of a candidate's teaching, the following should be considered: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, outreach and mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. Attention should also be paid to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, with proper reference to assigned teaching responsibilities. (APM 210.1.d(1)).

The principle in evaluating teaching is that consistency be applied across the campus in order to facilitate appropriate comparisons. However, to accommodate varying departmental needs, the requirement for consistency in reporting is held to a minimum number of items. Beyond that minimum, departments must determine which aspects of evaluation are the most appropriate for them and then must apply these standards consistently in all personnel cases at all levels.

The information used in assessing teaching must be summarized for each case and should include:

- a. Nominal information tabulating the teaching record of the candidate during the review period, including:
 - i. A listing (by course name and catalog number) of the candidate's teaching load, the academic quarters during which the courses were taught, a class-by-class enumeration of the number of students enrolled, and the number completing the two campus wide student survey items (see section b. i)
 - ii. Enumeration of the M.A. and Ph. D. candidates ~~he/she is~~ **they are** supervising or has directed to completion of their degrees, the M.A. and Ph.D. committees on which ~~he/she has~~ **they have** served, and other contributions to the graduate program.

This nominal information is summarized using the standardized format contained in the bio-bibliographic form.

- b. Evaluative information assessing the teaching record of the individual during the review period must be presented. In order for the numerical scores on the student evaluation forms to not assume

disproportionate weight, departments are urged to include as many other criteria as appropriate.

- i. *Student respondents*: Systematic surveys of student opinions are essential for all classes taught by the candidate. These evaluations must be part of the record. The departmental letter must compare the candidate's scores with departmental scores for comparable classes. It is understood that it may not be appropriate to conduct student evaluations in very small classes. In cases where evaluations are not available for the majority of classes due to small class size, the departmental letter must indicate the reason surveys were not conducted and an additional, alternate source of teaching evaluation (other than the overall departmental assessment) must be included in the case.

Departments may include whatever questions they like, except that:

All student evaluations *must* include at a minimum the following two standard campus wide survey items: (1) *Please rate the overall quality of the instructor's teaching*; (2) *Please rate the overall quality of the course, including its material or content, independent of the instructor's teaching*.

These evaluations must be part of the record and must be supplied for each course taught. To enable and strengthen comparative ratings on a campus wide basis, all student evaluations based on the two campus wide survey items must use a 1-5 scale with 1 high, with the following description explicitly stated on the form: (1) Excellent; (2) Very Good; (3) Good; (4) Fair; (5) Poor.

Reviewing agencies will return cases to the departments if they do not conform to these guidelines.

- ii. *Departments must also provide other items they judge appropriate for determining the effectiveness of teaching*. APM 210-1 specifies that for promotion to Associate Professor and Professor comments from other faculty members on the candidate's teaching are required.

Suggestions. Open-ended questions asked of graduating seniors, graduate students, or alumni are extremely effective when compiled over time. Graduate student and/or teaching assistant ratings are useful, particularly when these ratings are collected over time and then summarized by a disinterested third party so as to guarantee student anonymity.

Placement of graduate students is one of the best measures of success in graduate teaching.

Peer assessments. On-campus and/or off-campus peer evaluations of the candidate's teaching effectiveness may also be included in the teaching dossier. These assessments may be based on evaluations of syllabi, reading lists, examinations, laboratory reports, class notes, or in-class visitations. If a department chooses such methods, they must be consistently applied at all ranks and steps with regard to principles of academic fairness. No intimidation or chilling effect arising from methodological or ideological postures may be allowed to contaminate the process.

Departmental Perspective: The Department Chair or other agency should assess the overall contributions of the candidate to the departmental curriculum on lower-division, upper-division, and graduate instruction. The department assessment might also evaluate the candidate's contribution to academic advising, thesis and dissertation directorship, committee work relating to the curriculum, "mentoring" colleagues, or frequency of invited lectures given by the candidate.

Self-Evaluation: The department should encourage the candidate to submit a brief self-assessment of teaching effectiveness. This can include past, present, and future goals and objectives and how these were (will be) met. Details may include philosophy of instruction; strategies used; innovative instructional activities; instructional grants; comments about any strengths or deficiencies suggested by students or peers.

The department should ~~send~~ *provide* such self-assessments to reviewing agencies along with the case, or explain why such assessment is impractical.

Evidence of Research and Creative Work (Professorial series):

Research and creative accomplishments should be evaluated in the context of the faculty member's overall record of **his/her their** intellectual growth, and of the contribution **his/her their** work makes to **his/her the** discipline. There should be evidence of continued and effective engagement in work of high quality and significance. No appointment or promotion to a tenured position will be made without evidence of intellectual distinction in research or creative activity. The research record should show growth, direction, and promise for the future.

A work once counted for an advancement cannot be counted again (except in highly unusual and demonstrably appropriate circumstances). The departmental letter must present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted; [D] work in progress. "Work in press" means work that has been formally accepted, completed, and is in the process of being published. In-Press work is counted toward advancement and evidence should be supplied documenting the In Press status. "Work submitted" is work that has been submitted but not yet accepted. This work is not usually counted for the advancement, but it is used as evidence of continuing scholarly productivity. "Work in progress" is work that has not been completed and is available for review. Such work is not counted for the advancement, but it can be used as evidence of continuing research activity. Departmental practice will dictate if work in progress is included in the case. If nonstandard terms such as "forthcoming" are also used, the department must define them carefully and state how they relate to the three categories above. *Not doing this may prevent a candidate from receiving proper credit or cause other anomalies in the review process.*

Classifying works is not always easy, but identification should be as precise as possible, and should refer to intellectual content rather than to physical format. For example, in literature and history a "book" may be an extended piece of research reviewed for publication by expert referees; such a work should be distinguished from editions, anthologies, translations, or collections of other scholars' work. An "article" is normally a piece of research published in a refereed scholarly journal; it should be distinguished from popular pieces, preliminary research reports, reports for industrial or governmental agencies, and chapters (i.e., solicited pieces of an interpretative and summarizing nature). Similarly, in many disciplines, a review-article is normally a survey of current research in the field, not a lengthy book-review; while "editions" may be mere reprints with brief introductions, or they may be major works of historical reconstruction and critical interpretation. In different disciplines the standard terms (and the possibilities of ambiguity) are different; but in every case the classification should be as clear and helpful as possible.

It will help reviewing agencies to accurately evaluate the record if departments comment upon the prestige and significance of journals, publishers, or exhibition or performance venues in particular fields, along with other accepted measures or impact in a discipline (such as citation indexes or reviews).

Textbooks, reports, circulars, and similar publications are normally considered evidence of teaching ability or public service. However contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, should be judged creative work when they present new ideas or incorporate original scholarly research. (APM 210.1.d(2)).

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creativity should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. An important element of distinction is the extent of regional, national, or international recognition.

The departmental letter must assess the degree and quality of the candidate's role in any collaborative work, or explain why such assessment is impracticable.

Professional Competence and Activity (Professorial series):

Evidence includes such items as a) election to significant offices of professional or learned societies; b) appointment as editor or referee for professional journals or other publications; c) invitations to lecture, present papers, review books, perform or exhibit; d) awards, grants or honors bestowed by organizations or foundations; e) requests for consultative service. Opinions expressed by extramural evaluators, and reviews of the candidate's work or citations of **his/her their** work by other researchers also constitute evidence of professional recognition. Departments should

provide background and context for these accomplishments so reviewing agencies can evaluate their significance and importance.

Professional and/or Scholarly Achievement and Activity (Lecturer SOE series)

Professional and/or scholarly activities may be related to the underlying discipline itself or to the pedagogy. Such activities should provide evidence of achievement, leadership, and/or influence on the campus or beyond. Certain administrative work (e.g., of learning centers and teaching programs) and community outreach work are also relevant, as would be presentations of seminars or lectures at other institutions or professional societies, or participation in scholarly activities (e.g., summer seminars) designed to enhance scholarly expertise in relevant fields. Other records of participation in intensive programs of study - in order to be a more effective teacher and scholar, with the goal of enhancing one's teaching and scholarly responsibilities - are also relevant evidence of professional and/or scholarly activity. Creative activities count as relevant professional and/or scholarly activities in appropriate disciplines. In certain fields, such as art, architecture, dance, music, literature, and drama, an accomplished creation should receive consideration as an example of professional and/or scholarly achievement and activity. In evaluating creative activities, an attempt should be made to define the candidate's merit in light of such criteria as originality, scope, richness, and depth of creative expression. Evidence includes such items as:

- a. Documentation of the development of or contributions to:
 - i. Original materials designed to improve learning outcomes;
 - ii. Evidence-based design and evaluation of educational curricula or pedagogy;
 - iii. Administration and evaluation of a teaching program or a learning center;
 - iv. Systematic quality improvement programs and evaluation of their implementation;
 - v. Discipline-specific information systems;
 - vi. Development and evaluation of community outreach or community-oriented programs.
- b. First, senior, or collaborative authorship of scholarly or professional publication;
- c. Accomplished performance, including conducting and directing;
- d. Accomplished artistic or literary creation, including exhibits;
- e. Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Activities may be listed on the bio-bib in the separate traditional categories of research/creative activity and University/Public service, or may be combined into a single category of Professional and/or Scholarly Achievement and Activity.

University and Public Service (Professorial and Lecturer SOE series):

The bio-bibliographic update should include a list of the candidate's service (with dates) in departmental, Senate, *other campus*, and administrative capacities (including committee service), and of *his/her their* formal service to the community or to public agencies. Evaluation of the quality of *his/her their* service in these areas is important. Recognition should be accorded faculty for able administration of faculty governance; it should also be accorded for able service to the community, state or nation. Contributions to student welfare, mentorship and to affirmative action efforts should be recognized. Periods of service on various committees should be dated.

As faculty advance in rank and step, expectations for engagement in meaningful service increase proportionally. Note: Non-tenured faculty should be cautioned against undertaking too many committee assignments, since these may interfere with the two main areas for promotion, research and teaching. Most service at both the Assistant Professor/Lecturer PSOE and Associate Professor/Lecturer SOE rank should be at the departmental level, however Associate Professors/Lecturers SOE may begin to take on broader campus service. At the Professor/Sr. Lecturer SOE rank, campus service, in addition to departmental service is important, particularly at the higher steps of the rank, and notably for advancement to and within Above Scale. .

VI. CONFIDENTIALITY AND PERSONNEL SAFEGUARDS

Our system of review depends upon impartial professional judgment, and confidentiality has always been essential to the effective functioning of the system. One reason for confidentiality is that it protects impartial judgments from pressures of other interested parties. At UC, confidentiality applies to the votes and analyses of individual department members; to the authorship of extramural letters of evaluation; and to the membership of ad hoc review committees.

Confidentiality, however, is consistent with the rights of candidates to understand the evidence and the criteria upon which they are judged. The details of a candidate's rights in this area are described in APM Sections 160 and 220 and are designed to assure that the use of confidential documents does not cloak abuse.

VII. DEPARTMENTAL VOTING ON PERSONNEL CASES

Departmental voting rights in personnel cases are governed by **SENATE BY-LAW 55** (Santa Barbara Division By Law 240). Substantial differences among departments exist. *Departmental voting plans must be approved by the CAP and be on file in the Office of Academic Personnel.*

VIII. SELF-ASSESSMENT OF CONTRIBUTIONS TO ADVANCING DIVERSITY, EQUITY, AND INCLUSION (“DIVERSITY STATEMENT”)

The UC system-wide policy regarding the appointment and advancement of its faculty (APM 210.1.d) states: "The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements." *Providing a diversity statement as a part of the review process assists reviewing agencies in understanding and recognizing the range and extent of faculty efforts addressing diversity, equity and inclusion. Such work can often go unrecognized for faculty members, as it may involve activities that are difficult to 'count' or may seem indistinct from other areas of review without additional context. For example, a faculty member may be called upon to informally or unofficially mentor underrepresented, underserved, diverse students who seek-out that faculty member due to shared identities or experiences.*

Although not a separate category in the personnel review process (which includes Research/Creative Activities, Teaching/Mentoring, Professional Activities, and Service) crediting efforts which advance diversity, equity, and inclusion can augment assessments in any one of the 4 areas of review. In these cases, such recognitions are meant to highlight diversity work that is above and beyond the normal and typical expectations for a faculty member. For example, mentoring a student from an underserved group is within the expected scope of duties and would not typically, in isolation, indicate efforts that warrant additional recognition. Similarly, including demographic variables that incorporate underrepresented populations in research studies does not suggest engagement exceeding normative expectations. There is no presumption that all faculty will engage with this opportunity, nor are diversity statements required, however, it is anticipated that many faculty will use such statements to articulate the diversity work they have been involved in at our increasingly inclusive University (as described in APM 210.1.d). Such descriptions should be sufficiently detailed and provide appropriate context for understanding how these efforts go beyond normative expectations. If faculty undertake work relevant to APM 210.1.d, it is very helpful to internal and external reviewers to direct their attention to contributions in research/creative activity, teaching, professional activities and service that promote the University's commitment to serving the needs of our increasingly diverse state. These contributions are often best addressed through a diversity self-assessment that includes contributions to advancing diversity, equity, and inclusion. As with the teaching self-assessment, the diversity statement is an opportunity to provide context and evidence of impact or effectiveness towards a fuller understanding of those contributions. Simple enumeration of material evident in the file (e.g., lists of activities or students supervised) does not by itself substantially advance the review process in this area. Additionally, to be taken into consideration by reviewing agencies, all material listed in diversity statements should also be present on the bio-bib. Whenever possible, these efforts should be corroborated at various levels of the review process (faculty statement, department letter, letter from the Dean). APM 210.1.d related accomplishments may be cited by reviewing agencies as evidence in making the case for an acceleration, but only if these accomplishments rise above and beyond the normal expectations for the relevant area of review (e.g. research/creative activities, teaching, professional activities and service). Accuracy of the diversity statement is the responsibility of the faculty member, as is the case with the bio-bibliography information generally. The length of diversity statements will depend on the extent and complexity of contributions; an effort should be made to keep the statements succinct. Statements on diversity contributions may

also be woven throughout the candidate's teaching or research self-assessments, into review letters from the Department or Dean, or in a stand-alone statement.

**DOCUMENTS TO BE SUBMITTED BY THE DEPARTMENT
EXCELLENCE REVIEWS AND SUBSEQUENT MERIT REVIEWS**

(Revised 9/18 9/20)

All personnel review cases are submitted via AP Folio

I. Departmental review committee letter of recommendation

Accurate and analytical letters of recommendation from the departmental review committee are essential in the review process. See Red Binder II-10 for further detail of content of departmental recommendations

- Are the effective date and recommended salary clearly stated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- Are all areas of review covered: ability in teaching, competence in the field, academic responsibility and other assigned duties?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Letters of evaluation solicited by the department (*Excellence Review or Promotion only*)

- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?
- Was the proper wording used in the solicitation letter (Red Binder II-10)?
- If different versions of either the letter or the materials went out, is a sample of each included?
- Is a Coded list of referees, along with a brief biography of each included with the case?
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Is a copy of the redacted letters given to the individual included?

III. Complete CV

- Is the CV up to date?
- Have all links to supporting documents and one-of-a-kind items been verified?**

IV. Safeguard Statement.

The candidate must sign an on-line safeguard which will be forwarded with the departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statements? The case may not be forwarded until the candidate has signed.
- If there are no confidential documents (e.g. external letters, minority opinion letter), the appropriate box under #5 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case?

V. Evaluation of the teaching record.

At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory.

- Is the B&P printout, or similar listing of classes included in the case?
- On the B&P printout, or similar listing of classes, is it noted which classes have ESCI's included with the case?
- Does the file accurately indicate which course evaluations were done via hard-copy and which were done on-line?
- Has the second source of teaching been clearly identified on the coversheet?
- If a self-assessment of teaching was submitted, is it included with the case?

VI. Other Materials submitted by the candidate

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?

Have all links to supporting documents been verified?

II-25
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
CONTINUING EDUCATORS
(Revised 4/19 9//20)

APPOINTMENTS

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?
- Is the JPF# from UC Recruit included?

II. Complete CV and UCSB Academic biography form

- Is the CV up to date?
- Is the UCSB Academic biography form complete, signed and dated?
- Have all links to supporting documents been verified?*

III. Job Description

- Does the job description address program scope and complexity, degree of independence, level of professional accomplishment required and scope of impact on the campus mission?

IV. Letters of evaluation and list of evaluators

Letters

- Have all letters been coded?
- If the letters were sent via email, is a copy of the email and any attachment included?

Sample Solicitation Letter(s) and/or Thank you letter(s) for unsolicited letters

- Was the proper wording used in the letter (RB I-49 to I-50)?
- Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB I-46-VD) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?

V. ~~Copies of other~~ Supportive documentation

- Has a representative sampling of supporting documentation been submitted?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.

REAPPOINTMENTS

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment and the level of the appointment clearly stated?
- Is the recommended salary on the published salary scale?

II. Job Description

- Is an updated job description included if there have been changes since the last review?
- If there have not been changes in the job description, does the departmental letter state that fact?

MERITS

I. **Departmental letter of recommendation**

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- Is the letter signed and dated?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

II. **Updated CV or Bio-bib**

- Is the CV up to date?
- Is the Bio-Bib in the proper format?
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as “In Press”, “Submitted” been accounted for?
- Are all items, including “In Press”, “Submitted”, and “In Progress” properly numbered?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?
- Have all links to supporting documents been verified?*

III. **Job Description**

- Is an updated job description included if there have been changes since the last review?
- If there have not been changes in the job description, does the departmental letter state that fact?

IV. **Safeguard Statement (RB III-5).**

A signed safeguard must be forwarded with each departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Is it signed and dated?
- If there are no confidential documents (e.g. external letters, minority opinion report), box **6.D.** should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. **Copies of Supportive documentation**

- Has a representative sampling of supportive documentation been submitted, including a sampling of Continuing and Professional Education Programs developed, teaching evaluations or other one-of-a-kind items as appropriate?

III-7
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH APPOINTMENTS
(Revised 2/20 9/20)

All appointment cases are to be submitted via AP Folio.

- I. **Department Letter:** Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations
- Are the dates of the appointment, rank and step all clearly stated?
 - Is the recommended salary on the published salary scale?
 - If a request is being made to use the Engineering scale in a non-Engineering unit (RB III-12 V, A, 2) is appropriate justification provided?
 - Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
 - If the salary is off-scale or above scale is it rounded to the nearest \$100 for the Research and Project Scientist series?
 - If a vote was taken, is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
 - If no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
 - Does the departmental letter, provide thorough description of the duties to be performed as justification for the rank, requested?
 - Does the departmental letter provide an accurate, extensive, and **analytical** representation of the candidate's qualifications, justifying the proposed step and salary?
 - If the case contains extramural letters, are letter writers identified **only** by coded list, with no identifying statements?
- II. **Extramural letters of evaluation and list of evaluators** for appointment at the Associate and full level as appropriate for the series (Red Binder III-12, III-14, III-16)
- Extramural Letters**
- Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16)
 - Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
 - Have all letters been coded, on all copies?
 - If the letters were sent via email, is a copy of the email and any attachment included?
 - Are any anomalies in the composition of reviewers explained?
- Sample Solicitation Letter(s) and/or thank you letter(s) for unsolicited letters**
- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)
 - Is a list of all informational items sent to referees (e.g. CV, Bio-Bib, publications sent, etc, per RB I-51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
 - If different versions of either the letter or the materials went out, is a sample of each included?
- List of Referees, including brief Biography and indicating who selected referees** (RB I-46-V)
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
 - Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
 - Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?
- III. **Complete CV and UCSB Academic biography form.**
- Is the CV up to date?
 - Is the UCSB Academic biography form complete, signed and dated?
- IV. **Copies of publications**
- Has a representative sampling of publications been submitted?
 - Have links to electronically submitted items been verified?*
 - If items cannot be submitted electronically, have arrangements been made with the Academic Personnel Office?*

V. **Supervisor Duties form**

- Has page 1 been completed indicating if the employee will be a supervisor?
- If the employee will be a supervisor, is the checklist filled out and included?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

III-9
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
RESEARCH REVIEWS
(Revised 7/19/9/20)

All personnel review cases are submitted via AP Folio.

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations

For All Cases:

- Are the listed 'current' and 'proposed' salary rates the total salary rate, inclusive of any off-scale supplement?
- If the salary is off-scale or above scale is it rounded to the nearest \$100 for the Research and Project Scientist series?
- Is the off-scale supplement correct (if applicable), per off-scale general policies (RB I-8)?
- If a vote was taken, is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote?
- If no vote was taken, is the review procedure (i.e., committee, chair/director review) explained?
- Is the letter an accurate, extensive, and **analytical** representation of the case?
- Are all areas of review covered: research; professional activity; and, university and public service as appropriate?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?

For Career Reviews:

- If the case contains extramural letters, letter writers identified **only** by coded list, with no identifying statements?
- Does the letter provide an overview of the career accomplishments as well as analysis of the achievements within the most recent review period?

II. Chair's Separate Confidential Letter (optional)

See Red Binder I-35 for further information.

- Is the letter clearly marked "Chair's Separate Confidential"?

III. Safeguard Statement—

The candidate must sign an online safeguard *for each departmental recommendation. A signed safeguard must be forwarded with each departmental recommendation.* If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- If there are no confidential documents (e.g. external letters, minority opinion report), the appropriate box under #5 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

IV. Bio-bibliographical Update (excluding teaching section).

- Is it in the proper format? (See Red Binder I-27)
- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly numbered?
- Are publications identified as "refereed" when appropriate?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?
- If publications are being submitted via electronic links, are the links current and direct to the specific item? Have all links to supporting documents and one-of-a-kind items been verified?

V. **Extramural letters of evaluation and list of evaluators (RB I-46)**

Extramural Letters

- Are the required number of letters included, including letters from UC or UC familiar referees when appropriate (RB III-12, III-14, III-16) ?
- Are at least half of the letters from references chosen by the Chair/Dept independent of the candidate?
- Have all letters been coded? Are the codes also on the redacted versions?
- If the letters were sent via email, is a copy of the email and any attachment included?
- If redacted copies of the letters were provided to the candidate, is a copy included (one copy only), and did he/she check box 6A on the Procedural Safeguards Statement?

Sample Solicitation Letter(s)and/or Thank you letter(s) for unsolicited letters

- Was the proper wording used in the letter (RB I-49 to I-50, III-12, III-14, III-16)?
- Is a list of all informational items sent to referees (e.g. CV, bio-bib, publications sent, etc, per RB- 51) included? Is a copy of each item included as either part of the case or a one-of-a-kind item?
- If different versions of the letters or materials went out, is a sample of each included?

List of Referees, including brief Biography and indicating who selected referees (RB I-46-V)

- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Are the names of everyone who was asked to write included? For those who did not respond is a reason for no response listed?

VI. **Self-Assessment of research and/or other activity and accomplishments (optional)**

- If a self-assessment of research and/or other activity and accomplishments was submitted, is it included in the case? Self-statements may address research, professional activity, service, or contributions to advancing diversity, equity and inclusion.

VII. **Copies of publications.**

It is the responsibility of each candidate to maintain copies of published research or other creative work and reviews. One set of publications for the review period should be forwarded with the case. Publications submitted with the case, along with other single copy items, will be returned to the department upon completion of the review.

- Have all items included in Part I of the bio-bib for the current review period been submitted, including In Press and Submitted items?
- Has appropriate evidence been provided for In Press items?
- Do all of the titles on the actual publications match those listed on the bio-bib?
- For promotion to the Associate level, are all publications included?
- If publications are being included via a link in the bio bib, has the link been verified?
- Have links to electronically submitted items been verified?
- If items cannot be submitted electronically, have arrangements been made with the Academic Personnel office?

- If any publications are missing from the file, is a note included noting which are missing and explaining why?
- For other career reviews (promotion to Full in any series, advancement to Researcher Step VI or Above Scale), are all publications since last review, and all or a representative sample of publications from the prior record included?

IV-1
STUDENT ACADEMIC TITLES
General Information
(Revised 9/18 9/20)

I. Academic Student Employee agreement

Appointees to the titles of Teaching Assistant, Associate in __, Reader, and Remedial Tutor are covered by the Memorandum of Understanding (MOU) between the University and the UAW. The full contract is available on the Academic Personnel website at <https://ap.ucsb.edu/policies.and.procedures/collective.bargaining.agreements/>.

Graduate Student Researchers are not covered by the MOU.

II. Employment Eligibility

- A. Student appointees must maintain good academic standing. Good academic standing requires a grade-point average of at least 3.0 in academic work, fewer than 12 units of incomplete or no grades, and status within time to degree standards.
- B. Student appointees must be enrolled in a minimum of 8 units in a recognized program of graduate study, and must be within the appropriate degree deadlines. Exceptions may only be granted by the Dean of the Graduate Division.

III. Limitations on Service

- A. The appointment or reappointment of a student in an academic title must be at half-time (50%) or less for the period of one year or less. Percent time limitations apply to all appointments or combined appointments in any employment title. Exceptions are granted only as outlined in the Red Binder sections on specific titles. There are no exceptions to the 50% time restriction for non-citizens or appointees to the Associate title.
- B. The total length of service rendered as a Teaching Assistant or Associate in any combination of the two titles may not exceed four years (i.e., 12 academic year quarters.) Exceptions may be requested for an additional two years (6 academic year quarters), but in no case for more than 18 quarters. *Note: Effective June 19, 2020, the Office of the President has extended the campus temporary authority to grant exceptions up to 21 quarters due to the impacts of the COVID-19 pandemic.*

IV. Pay Schedule

- A. Student teaching appointments (Teaching Assistant, Associate, Reader) are academic year appointments and are paid on a 9/9 basis.
- B. The pay period for Fall quarter for Teaching Assistants and Associates may consist of four months, September 1 through December 31, allowing students to receive their first check on October 1. The monthly amount of pay for four months of fall quarter is adjusted accordingly so that the total quarterly payment remains the same. Winter and Spring quarters remain on a 9/9 pay basis. The four-month pay period for Fall is optional. The appropriate payroll paperwork must be processed before mid-September if the four-month Fall schedule is to be used.
- C. Graduate Student Researchers are appointed on a fiscal year (11/12) basis. The appointment start and end dates should coincide with the actual service begin and end dates.
- D. Appointees in academic graduate student titles may be placed on Short Work Break in accord with Red Binder VI-18.

V. Benefits

- A. Graduate student employees covered by the MOU are eligible for fee remission in accord with the MOU. Graduate Student Researchers are eligible for fee remission in accord with Red Binder IV-10.
- B. Graduate students with appointments in covered titles are eligible for leaves of absence from their employment as outlined in Article 17 of the contract. Requests for leave should be made in writing,

addressed to the supervisor as soon as the need for the leave is known. Leaves are granted only with approval of the Departmental Chair. Graduate Student Researchers are eligible for leaves of absence in accord with Red Binder VI-3 and VI-4.

- C. Eligible graduate students with appointments in covered titles may receive reimbursement of allowable child-care related expenses in accord with Article 4 of the contract. Eligible graduate students in non-represented titles may receive reimbursement of allowable child-care expenses in accord with the Graduate Student Researcher reimbursement program. A child care reimbursement form and appropriate attachments must be submitted to the department. Forms and additional information are available on the Academic Personnel web site at <https://ap.ucsb.edu/resources.for.academic.employees/forms/>

V-2
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
ACADEMIC COORDINATORS
(Revised **11/16 9/20**)

All appointments and advancements are to be submitted via AP Folio

APPOINTMENTS

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- Are the dates of the appointment, rank and step all clearly stated?
- Is the recommended salary on the published salary scale?

II. Complete CV and UCSB Academic biography form

- Is the CV up to date?
- Is the UCSB Academic biography form complete, signed and dated?
- Have all links to supporting documents been verified?**

III. Job Description

- Does the job description address program scope and complexity, degree of independence, budgetary responsibility, level of professional accomplishment required and scope of impact on the campus mission (See APM 375, Appendix A)?

IV. ~~Copies of other~~ Supportive documentation

- Has a representative sampling of supporting documentation been submitted?

Other considerations:

1. If a search was conducted, the search report must be approved in UC Recruit before the appointment is submitted. If no search was done, a waiver must have been approved.
2. The Procedural Safeguard Statement is not used for new appointments. However, candidates for appointment, once appointed, do have the right to inspect non-confidential documents in their files and to have a redacted copy of the confidential academic review records contained in the personnel review file received pursuant to APM 220-80-i.
3. When putting forward a case for a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the Office of International Students and Scholars at the time the offer is being considered to be assured that labor certificate processing deadlines are met.

MERITS AND PROMOTIONS

I. Departmental letter of recommendation

Accurate and analytical letters of recommendation from the department are essential in the review process. See Red Binder I-35 for further detail of content of departmental recommendations:

- Is the letter an accurate, extensive, and **analytical** representation of the case?
- If there is a recommendation for an acceleration, are the reasons for the acceleration specifically stated?
- In the case of a negative departmental recommendation, is the basis of the recommendation clearly documented?
- Is all relevant information from the Departmental letter accurately entered on the case up-load screen?

II. Updated CV or Bio-bib

- Is the CV up to date?
- Is the Bio-Bib in the proper format?

- Is the Research section a **cumulative** list of publications (or creative activities) with a line drawn separating all new items from where the bio-bib from the last review case had ended?
- Are the numbers the same as in the previously submitted bio-bib, and have items previously listed as “In Press”, “Submitted” been accounted for?
- Are all items, including “In Press”, “Submitted”, and “In Progress” properly numbered?
- If sections other than Research are cumulative, are lines drawn showing what is new since the last successful review?
- Have all links to supporting documents been verified?*

III. **Job Description**

- Is an updated job description included if there have been changes since the last review?
- If there have not been changes in the job description, does the departmental letter state that fact?

IV. **Safeguard Statement (RB III-5).**

The candidate must sign an on-line safeguard which will be forwarded with the departmental recommendation. If it is difficult or impossible to obtain this document, the Chairperson should explain the situation and indicate in what manner he/she has attempted to meet the requirements outlined in the form.

- Has the candidate signed the safeguard statement? The case may not be forwarded until the candidate has signed.
- If there are confidential documents (e.g. letters of evaluation), the appropriate box under #5 and #6 should be checked.
- Are copies of everything the candidate has provided, or been provided, included with the case (e.g. redacted letters, list of potential evaluators)?

V. **Copies of Supportive documentation**

- Has a representative sampling of supportive documentation been submitted?

VI-1
LEAVES OF ABSENCE
(Revised ~~7/19~~ 9/20)

Policies on Leaves of Absence for both academic-year and fiscal-year appointees are outlined in APM 700 – 760 and the applicable memorandum of understanding for represented employees. The following contains procedures on the Santa Barbara campus relating to these policies.

I. General

- A. Specific regulations have been established by The Regents and the President on certain types of leaves of absence. These are:
- Sabbatical Leave (APM 740)
 - Sick Leave (APM 710)
 - Family and Medical Leave (APM 715)
 - Vacation (APM 730)
 - Holidays (APM 720)
 - Leave to attend Professional Meetings (APM 752)
 - Miscellaneous Leaves (APM 750, 751, 758, 759)
 - Parental Leave, Childbearing and Active Service Modified Duties (APM 760)
- B. Because academic-year appointees are expected to be present from the beginning of the Fall quarter through the end of the Spring quarter, any appointee returning after the beginning of the Fall quarter or leaving before the end of the Spring quarter, should apply for a leave of absence in accordance with the applicable policy.
- C. All faculty (Senate and non-senate) must submit their leave request at least 45 days in advance of the begin date of the pay period of the quarter in which the leave is to be taken, unless circumstances beyond the control of the faculty member make this impossible. Requests for sabbatical leaves must be submitted three months in advance of the begin date of the pay period for the leave. Appointees in other titles are encouraged to submit leave requests as early as possible.
- D. Leave requests for periods of more than seven calendar days (other than vacation and sick leave for those in accruing titles) require approval by the Dean or Associate Vice Chancellor for Academic Personnel. Leave requests for more than 30 days also require input into the payroll system. **NOTE:** A leave without salary must be entered into the payroll system regardless of the length of the leave.
- E. Senate faculty requesting a leave that will involve category I outside professional activities (Red Binder I-29) must also request prior approval of the category I activities via OATS.
- F. Senate faculty or other academic employees who serve as a PI must contact their Sponsored Projects Officer prior to any planned leave to address any impact to their sponsored projects.*
- G. All academic employees are covered by FML, CFRA and FEHA. In most cases university policy provides greater coverage than that required by State and Federal law. Please see the appropriate APM sections, as listed above, or memorandum of understanding article for information concerning coordination of University policy and State and Federal Law. FML will normally run concurrently with other approved leave.
- H. All leave requests by academic employees (other than academic student employees) are initiated via the on-line leave request module in AP Folio.

II. Leaves and the Eight Year Probationary Period; Assistant Professors, Lecturers PSOE, and Assistant Researchers

- A. Childbearing, Parental Leave or a combination of both, of one quarter or more whether with or

without salary, is automatically excluded from service toward the eight-year probationary period. The employee (Assistant Professor, Lecturer PSOE, or Assistant Researcher) must inform the Department Chair in writing within one quarter of the completion of the leave, if he/she wishes the time to be included as service toward the eight-year period. It should be noted that this is considered time excluded from the clock and the employee should not be expected to produce any additional materials/ publications because of the lengthening of the probationary period. Any materials/publications that are produced, however, should be considered in the next appropriate review.

- B. Periods of Active Service-Modified Duties are included as service toward the eight-year probationary period.
- C. With the exception of Childbearing or Parental Leave as noted in A. above, periods of leave, either with or without salary, are included as service toward the eight-year period. Exception may be granted only if requested in conjunction with the original leave request, or in the case of sick leave, within one quarter or semester after the leave is taken. The Associate Vice Chancellor for Academic Personnel, after consultation with the Committee on Academic Personnel, may determine that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career.
- D. For purposes of review for advancement or promotion accomplishments produced during the leave period will be considered as part of the total record, but the period of extension shall be excluded when evaluating the rate of research or teaching performance.

III. Leaves and Sabbatical Leave Accrual

- A. Sabbatical leave credit is not accrued during a period of leave with or without pay. Credit will accrue if an absence is for less than one-half of a quarter.
- B. Sabbatical leave credit will accrue during a period of Active Service-Modified Duties when the duties are equivalent to at least 50% of normal duties. When such is the case, the Chairperson's endorsement of a period of Active Service-Modified Duties should include a statement to that effect.
- C. Sabbatical leave credit is not accrued during periods of service when more than 50% of the appointment is paid from extramural grant funding. Payment from extramural funding requires appointment in a Research title that does not allow accrual of sabbatical leave credit.

IV. Approval Authority

Faculty (Senate and Non-Senate)

Medical leaves within APM policy	Dean
All other leaves for up to one year, within policy	Dean
Active Service Modified Duties	Dean
Exceptions to policy	Associate Vice Chancellor
Leaves beyond one year	Associate Vice Chancellor

Senate Faculty

Sabbatical within policy	Dean
Sabbatical - exceptions, negative rec., 5 years no-change	Associate Vice Chancellor

All other Academic Appointees

Leaves covered by vacation and/or sick leave	Department Chair or Director
Active Service Modified Duties	Associate Vice Chancellor
Leaves not covered by vacation and/or sick leave	Associate Vice Chancellor
Exceptions to policy	Associate Vice Chancellor

VI-5
ACTIVE SERVICE- MODIFIED DUTIES
(Revised 9/18 9/20)

- A. Periods of Active Service-Modified Duties, with pay, shall be granted on request to any academic appointee who is responsible for 50 percent or more of the care of an infant for the period before and/or immediately following a birth, or adoption of a child under age five, in order that the parent can prepare and/or care for the infant or young child. Active Service-Modified Duties is not a leave, but rather a reduction of duties. Eligibility for ActiveService- Modified Duties will normally extend from 3 months prior to 12 months following the birth or placement. The period of Active Service-Modified Duties must be concluded within 12 months following the birth or placement. During this period normal duties shall be reduced. For represented non-senate faculty, the accommodation may involve the assignment of additional resources. Duties to be assumed during this period shall be arranged between the Department Chairperson and the appointee.
- B. For appointees who do not accrue sick leave, periods of Active Service-Modified Duties at full pay shall be granted upon request.
- C. For appointees who accrue sick leave, periods of Active Service-Modified Duties shall be granted upon request. Sick leave shall be used in proportion to the reduced work-load. If sick leave credit has been exhausted, there shall be an appropriate reduction in pay.
- D. Requests for periods of Active Service-Modified Duties are submitted online via the Leave module in AP Folio. The following must be included in the text box of the request: ~~must include:~~
- a. A ~~written~~ statement by the academic appointee certifying that ~~she/he has~~ they have 50 percent or more of the responsibility for the care of an infant or young child.
 - ~~b. In addition, Specific detail regarding the duties to be performed and/or the duties from which will be released during the period of ASMD. A statement describing the modified duties; must be included with the request and is subject to the approval of the appropriate Dean or the Associate Vice Chancellor for Academic Personnel.~~
- E. An individual other than the birth mother will be eligible for up to 12 weeks (fiscal year appointee) or one quarter (academic year appointee) of Active Service-Modified Duties for each birth or adoption. The birth mother will be eligible for up to 36 weeks (fiscal year appointee) or three quarters (academic year appointee) of Active Service-Modified Duties, or childbearing leave plus Active Service-Modified Duties.

VI-15
INTERCAMPUS PAYMENTS
(Revised 4/19-9/20)

Reference: APM 666

One-time Payments

Under certain circumstances Academic appointees holding full-time appointments may receive honoraria for lectures or similar services given on another UC campus. Such compensation may not be made from state funds, but is permitted from gifts, endowments, contracts and grants with specifically budget provisions for such honoraria or from Continuing and Professional Education. If non-state funds are not available, a faculty member may only be reimbursed for actual expenses incurred in presenting lectures or performing similar services from 19900 funds.

One-time honoraria payments are allowable up to \$2,500 per event, and up to \$5,000 by exception, requiring the approval of the Associate Vice Chancellor for Academic Personnel. During the academic year the total earned for lectures and similar services may not exceed 10% of the individual's annual salary. Payment will be made using the earn code of **HON**.

Payments for lectures and similar services that take place during the summer count toward the 3/9th limit for summer additional compensation.

Multi-campus appointments

In situations where an academic employee is simultaneously employed on two campuses approval from the appropriate Dean's office and/or Academic Personnel office must be obtained **prior** to the processing of the *Intercampus One-Time Payment form or the Temporary Intercampus or Multi-campus Appointment Form*. The total percent time on the two campuses may not exceed 100% *other than for allowable types of additional compensation*. ~~The employee will continue to receive a single paycheck, either from the home campus or via UCPATH, with accounting processing payroll transfers from the host campus when both campuses are not yet on UCPATH.~~

Processing of forms

When UCSB is the host campus, the department will prepare an Intercampus One-Time Payment form or Temporary Intercampus or Multicampus Appointment Form indicating the desire to hire a person from the home campus. The UCSB department should contact the home department to verify the individual's current title, pay rate and basis of pay. The form should be filled out to include the person's name, title for payment, the host department's name, the rate of pay and the period of the appointment. The appropriate individual in the department should sign as the "Host Campus Fund Source Authorization. The completed form must be submitted to the Academic Personnel office, with a copy sent to College office or other appropriate control point. The Academic Personnel office will assure that the payment is allowed by policy and that the appropriate appointment paperwork has been processed for multi-campus appointments.

When UCSB is the home campus, the Intercampus One-Time Payment form or Temporary Intercampus or Multicampus Appointment Form will be prepared and sent by the host campus department directly to the UCSB Academic Personnel office, and will then be forwarded to the home department. The department should verify the accuracy of the information on the form, ensure policy compliance, and obtain the appropriate departmental signature on the "Home Campus Dean's Office/Academic or Staff Personnel" line. The completed form must be submitted to the Academic Personnel office, with a copy sent to the College office or other appropriate control point.

One-time payments will be processed by the Academic Personnel UCPATH unit. Multi-campus appointments will be processed as new hires by the department.