

April 10, 2023

TO: Department Chairs, Deans, Directors, Senate Faculty, Academic Business Officers and Staff

FROM: June Betancourt, Director
Academic Personnel

RE: Red Binder updates

A number of final revisions to the Red Binder (UCSB campus academic personnel policies and procedures) have been posted at the Academic Personnel website to be effective April 2023.

Updates and revisions to Red Binder Section I reflect changes and clarifications in policy and procedure related to senate faculty processes. These include discontinuing requirements for UC familiar letter writers, specifying external letter requirements, clarifying normative time at step, accelerations and eligibility, and more as listed in the summary of changes listed below.

Please note: additional changes affecting Academic Researchers (RA), Postdoctoral Scholars (PX), ASEs (BX) and GSRs (BR) are currently in effect but may not yet be reflected in Red Binder. Departments are advised to consult the MOUs available at UCnet <https://ucnet.universityofcalifornia.edu/labor/bargaining-units/>. Departments may also contact AP staff.

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-4	Eligibility for early advancement before normative time at step clarified
I-14, VII-7	Discontinuation of APM 500 AAU April 30 recruitment deadline
I-22	Technical update (Prof VI letters no longer required)
I-27	Clarifies use of two sets of lines on the bio-bib
I-29	Clarifies outside activity to include honorary, visiting or other institutional appointment and foreign talent recruitment programs as Category I; clarifies annual reporting and summer period protocol
I-35	Refines teaching load requirements and recommended detail for department letter
I-36	Outlines appropriate timing, use and criteria for accelerated recommendations
I-37	Explanation of lateral advancements and clarification of eligibility following lateral advancement
I-42	Advancement to Step VI clarified as not including extramural letters; submission of CV recommended

I-15, I-34, I-46, I-75	Refines solicited letter guidelines; clarifies relationships in evaluator conflicts of interest; expands range of appropriate evaluators for LSOE series; eliminates the requirement for UC-familiar letter writers
I-48	Provides detailed examples for the list of extramural referees (coded list)
I-51	Outlines guidelines departments should follow for materials sent to external reviewers
I-67	Clarifies advancement when accompanied by administrative service
V-28	Specifies timekeeping in Kronos for deans and full-time faculty administrators
VI-3	Expands definition of sick leave under CFRA or FML
VI-4	Refines and expands possible conditions associated with childbearing
VI-17	Updates earn code for University awards
VII-1	Clarification of search waiver categories
VII-4, VII-5, VII-7	Pay transparency requirements in all job postings and advertisements (SB 1162 & AB 168); updated Interim vaccine policy language to use in job postings
VIII-1	Corrects award limitations for Early Career Development Awards

cc: Academic Senate
Labor Relations
Equal Opportunity

I-4
ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW
(Revised 9/21)

I. Service Credit

Six months or more of service in any one fiscal year normally count as one full year of service for merit eligibility. Less than six months of service in any one fiscal year does not count. The normal period of service prescribed for each salary level does not preclude more rapid advance in cases of exceptional merit nor does it preclude less rapid advance. Service as an Assistant Professor or Lecturer with Potential SOE (including time as an Acting or Visiting Assistant Professor) is limited to 8 years. Service at the Associate Professor/Lecturer SOE and Professor/Sr. Lecturer SOE levels is unlimited.

II. Extensions of the 8-year limit for Assistant Professors, Lecturers with Potential Security of Employment, or Assistant Researchers

Under specific circumstances, an Assistant Professor, Lecturer with Potential Security of Employment, or Assistant Researcher may request an extension of the 8-year limit. An individual may have no more than two extensions during the probationary period and requests may not be made after the tenure/SOE/Associate Researcher review has begun. Requests for extension are to be addressed to the Associate Vice Chancellor for Academic Personnel, via the appropriate Chair, Director and Dean or other control point. Extensions of the clock may be requested for the following reasons:

- a. **Childbearing or Childrearing:** A request may be made to allow the employee to care for any child who is, or becomes part of the employee's family. The employee must be responsible for 50 percent or more of the care of the child. The birth or placement of more than one child at a time constitutes a single event of birth or placement.
- b. **Serious Health Condition:** A request may be made when the employee's ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or the death of a close family member. Supporting documentation must be provided with the request for extension.
- c. **Significant Circumstance or Event:** A request may be made when significant circumstances or events beyond the individual's control disrupt the individual's ability to pursue his or her duties. Examples include, the effects of a natural disaster or extraordinary delays in the provision of research resources committed to the individual which are necessary for his or her research activities. Supporting documentation must be provided with the request for extension.

When an extension of the tenure clock has been approved the individual should not be expected to have produced more or performed at a higher level than an individual who has not extended the tenure clock. The file is to be evaluated without prejudice as if the work were done in the normal period of service. Extension of the tenure clock does not delay eligibility for appraisal, merit, or promotion. However, the extension may be used as the basis of a request for deferral of any of these actions for a period equivalent to the extension.

III. Regular Ranks, Steps, Normal Periods of Service

The Assistant Professor/ Lecturer PSOE rank contains steps I-VI, although steps I and VI are not used at UCSB. The Associate Professor/Lecturer SOE rank contains steps I-V, although step V is not used at UCSB. The normal time of service at each step within the Assistant/PSOE and Associate/SOE rank is 2 years, except for service at the special steps of Assistant Professor/Lecturer PSOE V and Associate Professor/Lecturer SOE IV (Red Binder I-37). The Professor/Sr. Lecturer SOE rank contains steps I- IX as well as Above Scale. Normal service at steps I-IV is 3 years. Service at step V and above may be for an indefinite time; however, normal service is 3 years at steps V through VIII and 4 years at step IX or Above Scale. Eligibility for normal advancement occurs after the normal time of service at each step. *Early advancements abbreviating normative time of review are only permitted at the rank of Assistant Professor/LPSOE in cases of promotion (see RB I-36 for guidance on expectations for acceleration) as well as at the special steps of Assistant Professor/LPSOE V and Associate Professor/LSOE IV (see RB I-37 for important parameters governing advancement at the special*

steps). If not advanced in rank or step the outcome of a merit review is no change in rank, step, or off-scale at that time, the candidate will continue to be eligible for the same advancement in rank or step each year until the advancement in rank or step occurs. Although eligible, if advancement in rank or step occurs earlier than the normative period of service, it should be treated as an acceleration in time and guided by the parameters detailed in Red Binder I-36. F If advanced within-step, further advancement within step or in rank/step will only be allowed when the normative number of years at step since previous advancement in off-scale have passed. Normal periods of service in other academic series are described in the Red Binder section covering the series.

IV. Advancement Effective Dates

The Office of Academic Personnel annually publishes promotion and merit eligibility lists for each department.

All merits and promotions will be effective July 1. It is possible, based on availability of funding, that payment for merits and promotions may be delayed. If this occurs, payment will be made retroactively at the time funds become available.

V. Mandatory Five-Year Reviews

Senate faculty and appointees to the Research, Project Scientist, and Specialist series must undergo a performance review at least once every five years, including an evaluation of the individual's record in all review areas. This review may not be deferred. Most appointees in these series are reviewed for merit advance every two to four years, depending on rank and step. Appointees eligible for merit advancement or promotion may request deferral of review, so long as the time period since their last review is not more than four years. Non-submission of materials will not constitute automatic deferral. If an individual does not turn in materials by the departmental due date, the department will conduct the mandatory review based on the materials available in the department as of the due date.

Faculty holding 100% administrative positions in the SMG program or covered by APM 240 or APM 246 are exempt from mandatory five-year reviews since they face a separate review policy.

VI. Deferral of Review

Deferral of non-mandatory reviews will be automatic if a tenured Senate faculty member does not submit materials by the departmental due date, and no case is forwarded by the department by the established submission deadline.

Deferral requests made by appointees in the Research, Project Scientist, or Specialist series must state the reason for the deferral. The request along with the endorsement from the Chair or Director must be submitted via AP Folio.

Deferral requests made by Assistant Professors or Lecturers PSOE must be accompanied by a letter of recommendation from the Chairperson that explains the reasons for the deferral and describes the progress that will be expected prior to the next review. Review for promotion to tenure or Security of Employment will normally take place by the end of the 6th year of service but may be deferred until the 7th year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio. Deferral beyond the 7th year will not be considered. The Formal Appraisal review may not be deferred, except in cases of extension of the tenure clock.

I-14
SENATE FACULTY APPOINTMENTS
(Revised 9/24)

Senate faculty appointments may be made in academic departments or in programs. At UCSB, the term "program" is used not only in reference to those sequences of courses leading to degrees but also to those academic/administrative units that have not yet attained departmental status but "from which academic appointments and promotions are recommended to administrative officers" (Bylaw 55 of the Academic Senate). As such, the provisions of Bylaw 55 shall apply: <http://senate.universityofcalifornia.edu/bylaws-regulations/bylaws/blpart1.html>

A faculty member's rights are vested in any department or program in which he/she holds a salaried appointment carrying Senate membership. Non-salaried affiliations in departments or programs do not carry with them voting privileges or other rights not explicitly made part of such appointment agreements. A brief description of types of appointments and rights follows.

A faculty member accepting transfer from one department or program to another relinquishes thereby his/her rights in the original department or program.

I. Types of Appointments

1. Salaried appointments in a single department or program.
 - a. The appointment is in one department or program
 - b. The faculty member's voting rights are vested in the department or program.
2. Joint salaried appointments in departments or programs.
 - a. Each appointment carries with it a percent of full time and salary in each department or program.
 - b. The faculty member maintains voting rights in each department or program.
 - c. When a faculty member is being considered for a merit or promotion, each department or program must provide a recommendation.

A request for joint appointment, either at the time of initial appointment or related to a temporary or permanent transfer of FTE at a later date, should be discussed and voted upon by the faculty in both departments/programs. The request from both Chairs/Directors, should be sent via the Dean, to the Associate Vice Chancellor for Academic Personnel indicating the vote of the faculty, effective begin date, end date (if any), and percentage of time in each department. Each department is responsible for assuring that a partial FTE has been approved for use.

3. Without salary appointments.

Faculty who take on full time administrative positions or who are released to specific programs (KITP, Station Q) retain a without salary faculty appointment in their home department. Full voting rights are maintained in the department.

4. Affiliated status

A Senate faculty member who participates in instructional activities in a department or program in which he/she does not hold a salaried appointment may receive affiliated status in the host department or program.

- a. The faculty member has no voting rights in the host department or program.
- b. The host department or program is not required to vote on the affiliated faculty member's personnel case, but may be asked to provide a statement of departmental activities carried out under the affiliated status.
- c. An affiliated appointment with an indefinite end date may be terminated on the recommendation of a majority of the voting members of the department or program.

A request for affiliated appointment should be approved by the voting members of the host

department/program with the endorsement of the home department. The request from both Chairs should indicate an effective begin date and end date (if any) and should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Senate faculty from another UC campus may be given an affiliated appointment at UCSB. A request from the host department indicating the begin and end date of the appointment as well as the reason for the affiliation should be submitted to the Associate Vice Chancellor for Academic Personnel, via the Dean.

Affiliated appointments are not entered into the payroll system.

5. Other "Professor" titles

For appointments of Adjunct or Visiting Professors refer to Red Binder V-17 and II-28. For Emeriti appointments refer to Red Binder I-70.

II. Appointment Criteria

All new appointments should be consistent with affirmative action guidelines (see Red Binder Section VII).

Non-tenured appointments are made in the expectation that the appointee will meet standards for a tenure appointment by the time that a promotion decision is due. Recommendations for non-tenure level faculty appointments must provide: a) clear evidence of potential excellence in both teaching and research; and b) clear evidence that the proposed appointment relates in a significant manner to established or projected programmatic needs of a department or unit.

Recommendations for tenure-level faculty appointments must provide: a) clear evidence of nationally recognized excellence in published research (or other creative work) as well as evidence of excellence in teaching; b) clear evidence that the proposed appointment is essential to an academic program of high quality and stature; and c) clear evidence of continuing scholarly productivity. For the level of excellence required for specific ranks and steps, consult APM 210-1 d. These criteria are also summarized in Red Binder I-40 through I-43. The difficulties of recruiting at this level of excellence require a considerable investment of time and energy in the recruitment process.

Departments should be prepared to engage in multiple-year searches in order to make the best possible appointments. The open provision for the recruitment will normally be available to the department for the duration of the search process, as long as funding continues to be available.

A recommendation for appointment must fully conform to the highest level of academic excellence and programmatic need. If, after rigorous review, significant and credible doubts exist about a candidate's academic qualifications, the appointment will not be approved.

Furthermore, it is strongly recommended that the Chair discuss the proposed rank, step, salary level, and start-up expenses of a new appointment with the Dean prior to submitting a recommendation for the appointment. A justification for the proposed salary should be provided in the appointment recommendation based on factors such as the qualifications of the individual as they relate to the position and their record of academic accomplishment. Market forces can be relevant in new hires in competitive recruitments, but the salary of a recent departmental hire should not be used to determine the salary of a subsequent hire.

III. Letter to Prospective Senate Faculty Appointees

After discussion with the Dean as described in the preceding paragraph, the department may communicate to the candidate its intention to recommend an appointment.

The recommended wording for department letters to prospective ladder appointees is as follows:

I am pleased to recommend you for an appointment as _____ in the Department of _____ at the University of California, Santa Barbara. On behalf of my colleagues, and with the enthusiastic support of Dean _____, I would like to express our excitement at the prospect of your joining our faculty. According to the procedures of the University of California, formal review of the recommendation is necessary prior to the final approval of your appointment by the Chancellor. The department is recommending that you be appointed as a/an _____ with a 9-month salary of \$ _____ at 100% time effective, _____. The exact step and annual

salary will be determined by the academic personnel appointment review process. Following the review process, formal offers of appointment are extended by the Executive Vice Chancellor or Chancellor.

IV. ~~AAU~~ **Intercampus** Deadlines

Departments should be mindful of the ~~AAU recruitment deadline of April 30 and the Intercampus deadline of April 1~~. Please refer to APM **510**, 500-16.

V. Offer Deadlines

The department will be contacted by the College or Academic Personnel concerning the response deadline the department wishes to give to the candidate. It is the department's responsibility to notify the College and the Office of Academic Personnel when an offer has been either accepted or declined.

VI. Other Deadlines

Departments should also take into consideration other guidelines established by organizations specific to their field (i.e., Council of Colleges of Arts and Sciences).

When making an offer to 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.

VII. Approval Authority

Rank/Step

Assistant Professor/Lecturer PSOE II, III,
Including Acting titles
Assistant Professor/Lecturer PSOE IV and V
Associate Professor/Lecturer SOE
Professor, Sr. Lecturer SOE
Affiliated Appointments (0%
or without salary)

Authority

Dean

Associate Vice Chancellor
Chancellor
Chancellor
Associate Vice Chancellor

I-15
DOCUMENTS TO BE SUBMITTED BY THE CHAIR
APPOINTMENTS
(Revised 2/22)

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 a salary justification provided?
- ☐ 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?

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.

I-22
DEPARTMENTAL CHECKLIST FOR ACADEMIC ADVANCEMENT
(Revised **2/22**)

This checklist is for the use of the Department Chair, and should not be submitted with the case.

The Department Chair has the responsibility to see that each of the following steps is completed at the appropriate time during any personnel review. **A copy of this checklist must be given to the candidate at the beginning of his or her review.**

All documents included in the case must be relevant to the action under consideration (APM 200-30) and must be in compliance with University and Campus policy and practice relating to confidentiality.

I. Notifying The Candidate

Note: These steps should be taken as soon as possible after receipt of the eligibility list in which the candidate's name first appears.

- _____ 1) **Inform the candidate of his or her eligibility for advancement or appraisal.**
- _____ 2) **Inform the candidate of the UC criteria for advancement** as set forth in Section 210-1d and 220 of the APM. Include a full clarification of the concrete nature of materials relevant to those criteria, as commonly used in the candidate's department.
- _____ 3) **Inform the candidate of the UC review process** as set forth in APM 210-1d and 220. Include in your description both the role and character of higher reviewing agencies and the department's own customary modes of proceeding. Provide candidate with a copy of the Procedural Safeguard Statement.
- _____ 4) **Inform the candidate of UC policy regarding academic personnel records** as set forth in APM 160.
- _____ 5) **Inform the candidate of any other issues relevant to his/her personnel case.** Be sure to provide an opportunity for the candidate to ask questions regarding any aspect of the review procedures and of his/her case in particular.
- _____ 6) **Inform the candidate of the due date** for all pertinent information and material relevant to the criteria for advancement. Be sure to advise the candidate of the consequences of late submission of materials.
- _____ 7) **Inform the candidate if letters of evaluation are to be sought in his/her case and provide an opportunity for the candidate a) to suggest names of persons who might be solicited for such letters and b) to indicate in writing the names of persons who, for reasons set forth by the candidate (which may include personal reasons), might not be objective in their evaluation.** Also inform the candidate that the names of scholars writing outside letters who were originally suggested by the candidate, together with any requests not to select a potential evaluator, will be made part of the review file, and that a reasonable request for exclusion of outside evaluators will in no way jeopardize the candidate's case. The candidate should also understand that though such requests are made and honored regularly, there may be occasions when proper evaluation requires that they not be honored. Finally, the candidate should know that both the evaluator's academic stature and the extent, if any, of his/her association with the candidate (personal or professional) will affect how the evaluation is weighted.
- _____ 8) **In compiling the list of outside reviewers,** include a "reasonable number" (APM 220-80c) of the candidate's nominees, together with a "reasonable number" of letters from scholars who are not nominated by the candidate and who have not been closely associated with him/her either as colleagues, friends, or collaborators in research. At UCSB, a "reasonable number" is interpreted to mean "half of the letters". There should be adequate representation among the evaluators of University of California faculty members.

II. Developing The Recommendation

- _____ 9) **Solicit confidential extramural letters of evaluation** in cases of promotion to tenure, promotion to professor, **merit from Professor V to VI**, merit from Professor IX to Above Scale, advancement to Supervisor V and advancement to Lecturer SOE or Sr. Lecturer SOE.
- _____ 10) **Include with the case a sample copy of the letter used to solicit extramural letters**, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials.
- _____ 11) **Assemble all pertinent information** (publications, teaching evaluations, solicited letters, etc.) in accordance with instructions set forth in the Red Binder sections related to specific actions. Be sure to include the total record of accomplishments appropriate to the review period.
- _____ 12) **Provide the candidate with an opportunity to inspect all non-confidential documents included in the review file.** Candidates should be told that they have access to non-confidential material.
- _____ 13) **Provide the candidate with the opportunity to request a redacted copy of all confidential letters and documents included in the file without revealing the identity of the sources.** One set of the redacted material must also be included in the file.
- _____ 14) **Provide the candidate with an opportunity to include a written statement responding to or commenting upon material in the file.** This should be done in sufficient time to allow the candidate's response to be taken into account in the departmental letter.
- _____ 15) **Inform the candidate that, if at any later point new information is added to the file, he/she will be informed and given an opportunity to comment.**
- _____ 16) If an ad hoc review committee will be employed, explain the role and selection of this committee and the candidate's three options (Red Binder I-60).
- _____ 17) **Inform the candidate of his/her right to request a redaction of the ad hoc committee's letter and a copy of other reviewing agencies' reports** from the office of Academic Personnel at the conclusion of the review process.
- _____ 18) **Consult colleagues in accordance with departmental practice and the rules of voting rights and eligibility established in By-Law 55.**
(<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>)
- _____ 19) **Write a letter of recommendation** in accordance with APM 220-80-e. Note in particular the requirement to present both supporting and opposing views. Be sure the letter is dated and signed.
- _____ 20) **Make the letter available for inspection by all departmental members eligible to vote on the case** or by a departmental committee or group established in accordance with APM 220-80-e. At this point any eligible faculty member who voted with the minority may include a "minority opinion" letter if they feel that the Departmental letter does not adequately address the opinion of the minority vote. A minority opinion letter must be submitted by the end of the inspection period to assure its consideration in the review process. All eligible faculty must be provided full access to this document. Any unresolved issues between the minority and majority opinions should be addressed in a Chair's confidential letter (Red Binder I-35)

III. Forwarding The Case

NOTE: These steps should be taken after the Departmental review of the case.

- _____ 21) **Inform the candidate orally or, if requested, in writing of the departmental recommendation, the departmental vote, and of the substance of the evaluations under each of the applicable review criteria.** Bear in mind that it is especially helpful for junior faculty to understand concerns regarding some particular aspect of their performance even if there was a strong vote of approval
- _____ 22) **Inform the candidate of his/her right to request a copy of the letter setting forth the departmental recommendation, including any minority opinions.** Identities of persons who were the sources of confidential documents are not to be disclosed and minority opinion letters should be provided in redacted format.
- _____ 23) **Inform the candidate of his/her right to make written comments, within 5 working days,** to the Chair or directly to the Dean regarding the departmental recommendation. A copy of these comments will be included in the file. If the comments are directed to the Chair, they will be made available for review by the voting faculty. Any unresolved issues between the candidate and the department evaluation should be addressed in a Chair's confidential letter (Red Binder I-35). If the comments are directed to the Dean, they will be included in the file at the time of the Dean's review and will be made available to other reviewing agencies but not to the department.
- _____ 24) **Check that the case, as packaged, is complete and properly formatted** (Red Binder I-31 for Dean's Authority merits, Red Binder I-35 for Expanded Review advancements).
- _____ 25) **Have the candidate fill out and sign the Procedural Safeguard and Certification Statement on-line through AP Folio.** Forward the case to the appropriate Dean's office.
- _____ 26) If an ad hoc is required for promotion to tenure, a Chair's Recommendation for Department Representative memo should suggest up to three faculty members who are eligible to serve as departmental representative. The nominated faculty should: (1) have participated in the departmental review and voted on the case; (2) have familiarity with the research area of the candidate; and (3) be in residence during the quarter the case is likely to be considered. This memo is to be forwarded directly to the Associate Vice Chancellor of Academic Personnel and marked "Confidential." See Red Binder I-60 for sample memo format.

I-27
**INSTRUCTIONS FOR COMPLETION OF THE
BIO-BIBLIOGRAPHY**
(Revised 9/21)

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 to the format described below. A bio-bib template is available via the Forms section of the Academic Personnel website.

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 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.

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 either in a separate folder or along with the in-press items 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.

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 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 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.

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised 7/19)

General information

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles are subject to APM 025:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers *including deans and faculty administrators* who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment may not engage in outside professional activity for more than 39 days during the academic year. The 39-day limitation does not apply during periods of leave without pay, however prior approval of ~~e~~Category I activity and reporting of ~~e~~Category I and II activity ~~is~~ *are* still required. *Faculty on approved sabbatical or other leaves with pay are subject to disclosure, prior approval, and annual reporting requirements regardless of the funding source for salary. Faculty receiving compensation from the University during the summer period (i.e. Summer Session teaching or research compensation) may engage in a maximum of one day per week of outside professional activity.*

Summer Months

There are no restrictions on the number of days of Category I and II activity for academic-year faculty during the summer months except during periods when receiving additional University compensation (i.e. Summer Session teaching or research compensation). The time limit on compensated and uncompensated outside professional activities is the equivalent of one day per week during the period in which University summer compensation is received.

Categories Of Outside Professional Activity

Three categories of outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activities.

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. *Category I activities include current or pending acceptance of an honorary, visiting, adjunct, or other institutional appointment (either compensated or uncompensated) at an outside institution, or participation in or application to talent recruitment programs sponsored by a government agency of a nation other than the United States.* Category I activities include *but are not limited to*:

- *Teaching, research, or administration of a grant at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University;*
- *Employment outside of the University*
- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Assuming a founding or a co-founding role of a company.
- ~~Administering a grant outside the University that would ordinarily be conducted under the auspices of the University.~~

- ~~Establishing a relationship as an employee outside the University, including teaching or research at another institution.~~
- Other professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are typically shorter-term outside professional activities which have less potential unlikely to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include but are not limited to:

- Teaching for Professional and Continuing Education (PaCE), or teaching for other continuing education programs run by the University, and self-supporting UC degree programs.
- ~~Consulting or testifying as an expert or professional witness, in administrative, legislative, or judicial hearings.~~
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity.
- Providing or presenting a workshops for industry.
- Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories (exception for Board of Governors- see APM 025).
- Other outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities do not need prior approval except when the activity involves students (see APM 025-8-d). They must be reported annually by deans and faculty administrators whether compensated or uncompensated (see APM 240-20-c and APM-246-20-c). Category III activities include but are not limited to:

- ~~Serving on a committee, panel, or commission established by a governmental agency.~~
- ~~Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society.~~
- Acting as a reviewer or editor for journal or book manuscripts.
- Attending and presenting talks at university/academic colloquia and conferences.
- ~~Serving as a committee member or an officer of a professional or scholarly society, or providing professional services to such societies.~~
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University other than activities under Category I.
- ~~Presenting an invited lecture or paper at a meeting.~~
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

Prior approval requirements

Request for approval to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity (see the campus [Policy on Conflict of Interest in Graduate Education](#) for guidelines for such activity) ~~must~~ *should* be submitted *in advance* to the Department Chair by **June 30** for the upcoming academic year, *or as soon as identified. Requests must be approved prior to engaging in the activity* ~~Prior approval requests and~~ are submitted via OATS which may be accessed through the Academic Personnel website *or directly at <https://ucsb.ucoats.org/>*. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval.

Reporting requirements

~~All category I and category II activity must be reported on an annual basis. Faculty must file an annual APM 025 report for the prior fiscal year in the systemwide Outside Activities Tracking System (OATS), once functionality is made available in early July of each year. The annual report period is from July 1st to June 30th of each year. Reporting is done via OATS. Faculty undergoing advancement review must complete their This reporting must be completed annually by each faculty member by September 15 of the calendar year. All other faculty must complete certification by October 31 annually. Faculty may access OATS via the Academic Personnel website or directly at <https://ucsb.ucoats.org/> to complete the report.~~ The Chair must review and approve each report. The Dean will review and approve the report of the Chair. The reports are considered to be non-confidential in nature and are subject to public inspection.

DOCUMENTS TO BE SUBMITTED BY THE CHAIR**EXPANDED REVIEW CASES**

(Revised 9/21)

*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 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?
- ☐ 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, or 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-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 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.

- ☐ 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?
- ☐ 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?

HOW TO WRITE A DEPARTMENTAL LETTER**Appointments and Advancements**

(Revised 4/19)

Accurate and analytical letters of recommendation from the department are essential in the review process. The candidate and his/her department must make the case; other reviewing agencies cannot do so. The analysis should be extensive, and for promotions, merits to step VI and to Above Scale the analysis should cover the cumulative record of the candidate. In cases where acceleration is recommended, explicit justification must be given for the recommendation. In any case, the letter should clarify which of the candidate's accomplishments precede the last review and which follow.

Personnel reviews that have been deferred due to a family accommodation (i.e. childbearing or parental leave, extension of the tenure clock) should be evaluated without prejudice as if the work were done in the normal period of service. The departmental letter should clearly state that the standard expectations are being applied.

The departmental letter should provide a summary of both the positive and negative aspects of the case. Direct quotes from faculty ballots or from the departmental discussion should be avoided. The analysis overall should strive for balance. It should identify criticisms and reservations, especially when there is significant opposition to the recommendation. It should, if indicated, include an assessment of the significance of particular extramural views or judgments. In the case of a negative departmental recommendation, the basis of the recommendation should be documented as well.

Individuals who have provided confidential letters of evaluation should not be identified, except by means of a coded list (e.g., "Reviewer A"). Note that in career reviews (promotions and advancement to step VI or Above Scale), the department letter should provide an overview of career accomplishment as well as the achievements of the most recent review period.

The letter should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The 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 (e.g. external letters, bio-bib) 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 letter refer to the candidate's past accomplishments and which refer to accomplishments falling within the current review period.

Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given due recognition in the evaluation of the candidate's record. Contributions to diversity and equal opportunity may include effort to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations *is within the scope of expected duties; however, highly significant efforts* should also be given due recognition.

Suggested format for letters of recommendation

1. Brief outline of the mechanisms used for soliciting information and evaluating the academic performance of colleagues in cases of merits, promotions, and so forth (e.g., departmental use of ad hoc committees, teaching evaluation committees, departmental meetings to assess candidates, etc.). Explanation of any apparent anomalies in the voting, e.g., a disproportionately small number of votes relative to departmental size, or excessive abstentions should also be explained.
2. The basis for the departmental recommendation, including analytical evaluation of the performance in **each area of review appropriate to the academic series.**

A) Research

Appointees to the Lecturer SOE series will be evaluated using a single category of Professional and/or Scholarly achievement and Activity rather than two separate categories of Research and Professional Activity.

Present a full evaluation of candidate's research record, indicating the significance of the research accomplishments.

The departmental letter should present the publication record for the current review period according to the following format: [A] Published work; [B] Work in press; [C] Work submitted.

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.

B) Teaching

The department letter should include a statement of the normative teaching load and how the candidate's obligation was met for the review period. *For example:*

- *The normal department teaching load is [X] courses per academic year. During the current review period, Professor ____ taught [____] (explain if partial credits) at the undergraduate level and [____] (explain if partial credits) at the graduate level. This fulfilled the teaching requirement for the review period.*

(If applicable, incorporate the following):

- *As part of their expected teaching load, Professor ____ additionally taught [course] during Summer [20__], which constitutes a core component of the curriculum of the department (only in cases when summer teaching is a required component of teaching load).*
- *During the review period, Professor ____ had [____] releases for [____] (sabbatical, grant, overload previous cycle, etc.).*
- *[OR] This was an overload of [____] that will/will not affect course load expectations in future cycles (explain if course reduction will occur in future cycle).*
- *[OR] This was [____] course/s short of normative teaching expectations that will/will not be made up in the next review cycle.*

The letter 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.

The letter should include an evaluation of the candidate's teaching performance, including an analytical evaluation of the ESCI scores and indicating the significance of the record. The letter should clearly indicate which courses were evaluated on-line and should take into consideration the possible impact of the change in methodology from paper to on-line evaluation. The analysis should include information on the number of graduate committees (MA and Ph.D. as reflected in the bio-bibliography).

C. Professional Activity

Appointees to the Lecturer SOE series will be evaluated using a single category of Professional and/or Scholarly achievement and Activity rather than two separate categories of Research and Professional Activity.

The departmental letter should include a full analysis of the candidate's performance, indicating the most prominent features of the record. The significance of honors, awards and extramural grants should be described. If a contract or grant is listed as "continuing", detail of any changes in the funding should be provided. When the candidate is listed as co-PI, the departmental letter should clarify the candidate's share of the grant money and role in the project.

D. University and Public Service

The letter should include a full analysis of candidate's involvement, indicating the significance of the record and the quality of the service.

3. Summary

This section is optional, and may be used to summarize the most significant accomplishment of the review period, and to provide an explicit justification for acceleration or other special action.

In cases of appraisal, departments may make one of the following three recommendations: a) Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure rank. B) Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure rank. C) Terminal appointment. In addition, the letter must also include an evaluation of the performance as progress toward eventual tenure.

Chair's Separate Confidential Letter

While this option is not often used, the Chair may, in accordance with APM 220-80e, submit a separate letter indicating his/her own analysis and recommendation. This letter is not made available to other members of the faculty in the department. It should be noted that a Chair's separate letter is designed to be evaluative of the evidence available to the department; new evidence can be considered on the rare occasions when it could not be appropriately shared with the department. A Chair's confidential letter may also be used to address unresolved issues between majority and minority opinions related to a case, or to address a candidate's comments in response to the departmental review. When a Chair submits a confidential "Chair's separate letter", it should be clearly identified as such, and will become part of the personnel review file. The status of such a letter is considered to be non-departmental (as is a letter from a dean). It is not submitted to an ad hoc review committee when one is convened. As a "confidential academic review record" (as defined in APM 160-20-b), a Chair's letter will be made available to the candidate upon request along with other review agency reports at the end of the review process.

I-36
ACCELERATIONS
(Revised 2/22)

Departments should not hesitate to propose accelerated advancement to reward cases of superior performance where there is clear justification. When warranted, acceleration will typically occur during an on-time review, though in special cases it may occur through early advancement to the next step or rank. *Accelerations in step and/or off-scale may be proposed at or after normative time at step (see RB I-4 for unique circumstances). Departments should not hesitate to propose accelerated advancements to reward cases of superior performance where there is clear justification.* For on-time reviews, an Adjustment in salary via an increase in an existing off-scale supplement may *would primarily* be proposed when the appropriate reward does not correspond to an early advancement in step. Early advancement requires additional extraordinary achievements, prizes, or activities, in order to justify the acceleration in time. Response to “market pressures,” as evidenced by competitive outside offers in the context of a retention case, would typically be addressed via increase in the off-scale salary supplement, and not necessarily by advancement in step, as described in Red Binder I-8 and I-44.

In formulating justifications for accelerated advancements, the department and reviewing agencies must first provide evidence that the candidate has met the requirements for a normal, one-step advancement, *commensurate with expectations for the normative time at step*, prior to addressing any recommendation for acceleration. The record must include evidence of superior performance beyond the requirements for the one-step advancement, with no significant deficiencies in the record.

Examples of possible evidence of superior performance are noted below. It is possible to be accelerated on the basis of achievements that do not fit into the listed examples; however, this is expected to be rare and must be justified by compelling evidence.

- *Professor series:* Achievement well above disciplinary/field norms in *research/creative activities (such as research publication, exhibitions, or performance), coupled with excellent performance in all other areas, with particular emphasis on research/creative activities in significant venues that would have an impact beyond normal expectations.*
- *Lecturer with Security of Employment Series:* Achievement well above the high campus standards in teaching coupled with excellent performance in all other areas.
- Extraordinary achievements in two or more areas of review, coupled with excellent performance in the other areas
- Prestigious new awards or other such evidence of peer recognition for the impact of past creative work or teaching.
- Extraordinary achievements and activities in DEI, exceeding normative expectations, within the areas of research/creative activities, teaching/mentoring, professional activities, and/or service.
- Extraordinary accomplishments in administrative service roles after the completion of a normative term (e.g., completion of 3 years as Department Chair; excluding career administrators), with significant leadership, activities, and achievements exceeding normative expectations for the role. Term of office and accomplishments should be documented in the case record. (See RB I-67 for more on Evaluation of Administrative Service)

Acceleration at the time of a merit review must be based on activity during the period since the last review. Acceleration in step at the time of a career review may be based on the cumulative record.

As with any on-time advancement, the individual's next eligible *eligibility* date for advancement *academic review* will be based on the effective date of the accelerated advancement, if an *acceleration advancement in step or off-scale* occurs. *If the outcome of a merit review is no change in step or off-scale, the faculty member remains eligible for review each year until advancement in rank or step occurs. See Red Binder I-4-III for important parameters.* The next eligible date will not normally be affected by an increase in off-scale supplement with no change in step.

"SPECIAL" OR "OVERLAPPING" STEPS

(Revised 4/19)

Step V of the Assistant Professors/Lecturer PSOE rank and Step IV of the Associate Professor/Lecturer SOE rank are "special" steps; "special" in the sense that these steps may be utilized for advancement when a member of the faculty shows evidence of work that is likely to lead to promotion in the near future when completed, but whose established record of accomplishment has not yet attained sufficient strength to warrant promotion. In addition, the use of the special step of Assistant Professor V is appropriate for individuals who have accumulated a significant research record, but have not yet established an equivalent teaching record that would merit consideration for tenure. Service at the special steps is in lieu of service at the first step of the next rank.

Once advanced to a special step, the normal progression is for promotion to the next rank. Upon advancement to a special step, the faculty member is eligible for review for promotion each year until promoted. If promoted earlier than the normative time at step (two years at Assistant Professor/Lecturer PSOE V and three years at Associate Professor/Lecturer SOE IV), promotion should be lateral, and eligibility for future merit will be determined based on the combination of years at the special step and years at Step I at the higher rank. *A lateral advancement indicates promotion to Step I at the higher rank, accompanied by the \$100 increase in salary associated with movement from the special step to Step I of the next rank. To move to Step II after advancement to the special step, a candidate is expected to serve the normative time at step or, in rare cases, meet the requirements for accelerated advancement without deficiencies in any area, based on expectations for normative time at step (see also RB I-4-III). After a lateral promotion, eligibility for review will be determined based on the combination of years at the special step and years at Step I at the higher rank.* If promoted at the normative time at step, the "on-time" advancement will be to Step II of the higher rank. The appropriate level of advancement in the case of promotion after more than the normative time at step will be dependent on the strength of the case and should not be determined simply based on time served at the special step.

Further advancement within the special step will not occur at less than the normative time at step (two years at Assistant Professor/Lecturer PSOE V and three years at Associate Professor/Lecturer SOE IV) and will require evidence that promotion is likely to occur with the next review.

MERIT TO PROFESSOR OR SENIOR LECTURER SOE STEP VI

(Revised 2/21)

Advancement to Step VI is a career review and therefore is based on a review of the individual's entire academic career. *Although a career review, external letters are not included.*

Advancement to Professor VI is based on evidence of sustained and continuing excellence in each of the following categories: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service, and (4) professional activity. In addition, great distinction, recognized nationally (*or* internationally) in scholarly or creative achievement or in teaching is required for merit to Professor VI.

Because external letters of evaluation are not included in advancements to Professor Step VI, a candidate's national (*or* international) reputation, recognition and impact must be established based on the academic record. The department letter and case should describe the evidence used to make this determination. Examples include, but are not limited to: leadership in a professional capacity at national levels, awards, fellowships, honors, plenary or keynote talks at national conferences or institutions, appointment to editorial boards and advisory boards or other forms of national and international recognition. Appropriate context to establish the influence, distinctiveness, significance, stature, etc. of accomplishments should be provided. Information regarding the prestige and competitiveness of publications or presentation venues, quantitative measures of citations, reprints and translations may also be helpful in establishing the national impact of the research, or creative activity. *Submission of the candidate's curriculum vitae is strongly recommended.*

Advancement to Senior Lecturer SOE VI is based on evidence of sustained and continued excellence in each of the three review categories: (1) teaching and teaching related responsibilities, (2) professional and/or scholarly achievement and activity; and (3) University and public service, with teaching excellence receiving primary consideration. Sustained and continued excellence must be established based on the academic record, with a focus on the teaching accomplishments and impact. The department letter and case should describe the evidence used to make this determination. Examples include, but are not limited to: ESCIs and student comments, peer evaluation, documentation of new substantive developments in the field or of new and effective techniques of instruction, success as a positive role model or effective mentor for students at all levels, awards or other such acknowledgements of excellent teaching. *Submission of the candidate's curriculum vitae is strongly recommended.*

I-46
GUIDELINES FOR LETTERS OF EVALUATION
(Revised 2/21)

I. Solicited letters

When letters of evaluation are solicited, the models on the following pages should be used. These letters may be modified slightly; for example the confidentiality statement may be listed on a separate sheet as an attachment referenced in the body of the letter: “Please see the attached University of California statement on confidentiality.” Although the content may be rearranged, none should be deleted, nor should substantive information be added or modified, without prior approval by the Office of Academic Personnel. Departments may choose to use a two-stage solicitation process whereby individuals are first asked, by memo or e-mail, if they would be willing to provide a letter. Those who that agree will then be sent materials for review. Those who decline or do not respond, including those who were not sent materials, should be identified on the coded list with an explanation provided (when offered).

II. Unsolicited letters

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

III. Letters for Assistant Professor/Lecturer PSOE Appointments and Restricted letters

Restricted letters or placement files may be used in Assistant Professor/Lecturer PSOE appointment cases of candidates who have not held prior academic positions post-terminal degree. Appointments requested at the Assistant Professor IV or V level, or for candidates who have held prior academic positions post-terminal degree, should preferably contain evaluator letters solicited by the department or submitted as part of the applicant file. Appointment files at the Assistant Professor/Lecturer PSOE level will normally contain at least three external letters and may consist of external letters submitted as part of the application materials (e.g., via UC Recruit).

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

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

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

IV. Letters for tenured appointments and career advancements where letters are accepted

Letters should come from tenured faculty at distinguished institutions, preferably from full professors. Letters from UC familiar reviewers, are necessary for all tenured and SOE appointments, promotions and advancements to Above Scale. Letters from UC familiar writers are essential for appointment to step VI and Above Scale and advancement to Above Scale, preferably from faculty already at these senior ranks.

Departments should strive to include at least two UC familiar letters for cases in which such letters are required. At

least half of the letters submitted with the case should come from references chosen by the Chair in consultation with the department but independent of *feedback from the candidate and without consulting the candidate's list*. The letters solicited, *whether selected from the department's recommendations or the candidate's recommendations*, should *be non-conflicted*. *Although other relationships may also constitute a conflict, some examples include: advisors/mentors at any level; substantive collaboration in the last 4 years including co-authorship, grant collaboration, co-teaching, or co-editorial work on publications; student/advisee; close personal or family relationship; direct financial relationship; current UCSB employment (except as appropriate in LSOE cases) come from scholars who have not been closely associated with the candidate as collaborators in research, or as teachers, colleagues, or personal friends. On the other hand, non-conflicted relationships might include members of the candidate's graduate school, service as department colleagues at a previous institution, serving together on an editorial board or committee.* A minimum of six analytic letters is required. Typically, more than six letters will have to be solicited in order to achieve this minimum.

1. **Appointment cases:** When the department is unsure of the exact rank or step to be proposed, the sample solicitation wording for both multiple levels may be used. *For example, the language for appointment as Professor I-V and appointment as Professor VI-IX may both be used if the step is not yet clear. External letters submitted as part of the application materials (e.g., via UC Recruit) may be included, but may not constitute more than half of the letters in appointments with tenure and must acknowledge the appropriate rank of the recommended appointment. In appointment cases only, letters submitted with the application materials that do not meet the standards of non-conflict may be included.*
2. **Advancement cases:** Faculty undergoing a *review for* promotion *review* or advancement to Above Scale have the right to suggest names of potential external evaluators (Red Binder I-22, 7.) The candidate should be advised of the parameters governing the mix of external evaluators. It will be helpful for the candidate to know that a request not to use certain potential evaluators will be made part of the review file and, while such requests may be disregarded (if proper evaluation requires such action), they are made and honored regularly and that a reasonable request should in no way jeopardize the candidate's case. An effort should also be made not to contact individuals who have contributed letters for prior reviews of the same candidate
3. **Lecturer SOE series:** In the Lecturer SOE series letters of evaluation may come from UCSB Senate faculty, external to the department, who have conducted a peer review of the candidate's teaching. Peer evaluation may include classroom visits or videotaping, commentary on course syllabi, reading assignments, and examinations. *In some cases, for LSOE faculty whose instruction is focused on professional practice (e.g., secondary teacher education, performance), experts in distinguished professional roles or with distinctive practical expertise may be suitable alternatives to full professors at top universities, given appropriate justification on the coded list. In exceptional circumstances and with appropriate justification, these practical expertise referees may include former students with distinguishing qualifications who have had no relationship with the candidate in at least the past 4 years. Such letters may not be substituted for the UC familiar letters, which are expected to be external to UCSB and are subject to the same redaction and confidentiality policies as extramural letters. Non-conflicted evaluators are expected.*

Any *relationship between the candidate and the external letter writer or* deviation from the above requirements (*i.e., e.g., less than two UC familiar evaluators, fewer than six letters*, an uneven mix between department and candidate nominated letters) should be fully explained by the department in the coded list of evaluators.

Any reviewing agency may request, through the Office of Academic Personnel, that the file be augmented by additional extramural letters if the letters supplied with the case are viewed as inadequate for proper evaluation of the case. Since such requests delay the review of the case, it is important that the letters supplied by the department meet the above requirements.

V. List of evaluators

The Chair must submit a *coded* list of all persons from whom an extramural letter was solicited (Red Binder I-48). The list must indicate which names were submitted by the candidate and which were submitted by the department. *In the case where a suggested name overlaps, the letter is considered to be departmented/department-suggested.* In addition, the list must contain the following information for individuals who provide letters: name, position/title, institution, *field area* of expertise, past collaborative relationship with the candidate, and, *in rare cases*, any past

reviews for which the letter writer also contributed a letter *(which must be justified in the coded list)*. Similar information must be provided for any unsolicited letters included in the file. *Since it is expected to contain contextual information for reviewing agencies, this list should be prepared by the department review committee, Chair, etc., rather than by departmental staff*. Special attention should be given to describing the qualifications and stature of the extramural referees. For individuals who either did not respond to the initial request to write or declined to write, only their name and home institution need be included on the list. The list should be accompanied by a master copy of the letter requesting evaluation, a list of the materials sent to the letter writers, and a copy of all items that were sent to the referees (e.g., C.V., bibliography, reprints, manuscripts, and so forth) if they are not already included with the case of one-of-a-kind materials. The manner in which referees were selected should be described (e.g., “by departmental *ad hoc* committee”, “by Chair in consultation with three senior colleagues”, and so forth). The Chair should ensure that individuals who have provided confidential letters of evaluation are not identified *(e.g., name, title, identifying leadership roles, identifying background or expertise, institution, etc.)* in the departmental letter, except by means of a coded list uploaded appropriately with the case.

VI. Additional Information

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

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

Letters for appointment cases that are received via UC Recruit should be noted as such on the list of evaluators. The solicitation letter and confidentiality statement are generated automatically by UC Recruit and do not have to be included in the case.

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

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

I-48
SAMPLE LIST OF EXTRAMURAL REFEREES
(Revised 9/18)

See Red Binder I-46: Guidelines for Letters of Evaluation, for expectations regarding suitable letter writers and adherence to policy.

SUGGESTED BY DEPARTMENT

- A. Dr. David Rodriguez -- Professor of Psychology at Stanford University, Dr. Rodriguez has been recognized as the leading authority on bilingual language acquisition among children for the past twenty years and is a member of the National Academy of Sciences. *Although Dr. Rodriguez was previously on the faculty at the University of Wisconsin-Madison, where he was colleagues with the candidate, they have no other professional or personal relationship.*
- B. Dr. Jane Williams -- ~~Currently~~ Clinical Director for the ~~Harvard~~ Center for the Study of Linguistic Development in Cambridge, MA. Dr. Williams has written the authoritative text on linguistic development and now heads the most extensive longitudinal study of bilingual children in the nation.
- C. ~~etc.~~ *Lauren Mateo, MEd – Superintendent of Special Education, Santa Clarita School District. In this role she oversees 34 schools and over 19,000 students. Among her numerous areas of expertise and practice, her leadership in the implementation of programs designed for multilingual learners is uniquely suited to assess the candidate's accomplishments.*
- D. etc.

SUGGESTED BY CANDIDATE

For **appointment** cases, indicate if letters were submitted via UC Recruit

- E. Dr. Keo Carey -- Chair of the Psychology Department at Penn State. Dr. Carey was Maria Smith's Ph.D. advisor. *She is an expert in how humans represent social structures in the mind and how they are mapped onto the brain.*
- F. etc.
- G. etc.

INDEPENDENTLY SUGGESTED BY BOTH THE CANDIDATE AND DEPARTMENT, CONSIDERED AS ONE OF THE REFEREES SUGGESTED BY THE DEPARTMENT.

H.

UNSOLICITED COMMENTS

- I. etc.
- J. etc.

DID NOT RESPOND

Joe Smith, Harvard University
Anne Brown, UC Berkeley

DECLINED TO WRITE

Mary Johnson, UCLA-already overcommitted

CANDIDATE REQUEST TO NOT CONTACT

I-51
MATERIALS TO EXTERNAL REVIEWERS
(Revised 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 *Although* departments maintain a large amount *degree* 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.

For professor series faculty, reviewers must, at a minimum, be provided with a copy of the candidate's CV (or bio-bibliography) and access to copies of publications. Although 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 online links or copied and sent to the evaluators if appropriate (See RB I-27 for bio-bib instructions). Although the CV is recommended (as it is a cumulative document), If a bio-bib is instead sent to external reviewers, it must be a version that excludes the links to materials other than those for the research and creative activities section. Whether a CV or bio-bib is sent to external reviewers, the content must adhere to the appropriate publication cut-off dates. *The CV must also be uploaded with the case if it differs from the case bio-bib.*

Depending upon its practice and applied consistently as described below, a Departments may choose to send other materials to external reviewers such as a self-statement covering one or more of the review areas to the external reviewers. Departments should use caution in providing documents beyond these 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 or CV if it is provided.

For LSOE series faculty it is also recommended that the CV, which is cumulative, be sent to external reviewers. To demonstrate teaching effectiveness, ability, and diligence, as expected in APM 210, the following types of materials may also be chosen to send to external reviewers: a teaching statement describing the teaching philosophy and goals; a list of courses taught including enrollments and descriptions (e.g., details of content, evaluative procedures, methods, learning objectives); number of undergraduate and graduate advisees and advising role; syllabi; assignments and exams; examples of class content; summary of efforts to improve instruction; descriptive account of student feedback on teaching.

However, if Any materials beyond the CV/bio-bib and publications (for professor series faculty) that are sent to external reviewers, 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.

I-67
EVALUATION OF ADMINISTRATIVE SERVICE
(Revised 04/13)

Faculty Administrators, including Department Chairs, Directors, Associate Deans, and Deans who discharge their administrative duties with thoroughness and distinction and who give effective academic leadership to their department may not have much time left for teaching and research. It may be difficult for Administrators to maintain themselves as scholars during *The merit review of an administrator should follow the period of service in the administrative position. It standard procedures for the academic review process. However, it* must be acknowledged that *they administrators* have had to *give up to administrative duties surrender* time they would otherwise have been able to devote to teaching, *and scholarship, and scholarship, professional activities, and other service roles, to their administrative duties. Accordingly, efforts should be made to ensure that administrators are not passed over for advancements. When assessing academic reviews for administrators, such as Department Chairs, Directors, Associate Deans, Deans, Associate Vice Chancellors, and Vice Chancellors,* reviewing agencies must take into account the extent and quality of their administrative service in considering them for merit increases and for promotions. *at all levels should take care to set expectations for achievement and apply evaluative criteria in all areas of review with appropriate flexibility to account for administrator's heavier commitments and responsibilities in service to their formal roles.* The principle involved is that academic leadership *is, in itself, is* a significant academic activity. Both departments and reviewing agencies should take the amount of administrative service into consideration when setting expectations for achievement within a review period. While service in and of itself cannot serve as the primary grounds for advancement, it is appropriate to consider excellence in administrative service as part of the academic review.

While time devoted to administrative service may be taken into consideration regarding expectations for merit review, *At the same time, promotions/career reviews* (i.e. Promotions in rank, and advancement to Step VI of the Professorship or to an Above Scale salary), are of greater significance than merit increases within rank and cannot be justified wholly on the basis of administrative service *alone*. The standards for *promotion/career reviews advancement* may not be lessened. Nevertheless, although promotion from Associate Professor to Professor requires evidence of intellectual attainment and growing distinction, substantial evidence of these qualities may well be found in the way in which successful administrators perform their duties. In the case of promotion for Assistant Professor to tenure rank, the requirement of "superior intellectual attainment, as evidenced both in teaching and research *Further, administrative service alone cannot serve as the sole or primary grounds for acceleration or creative achievement*" cannot be waived. But an Assistant Professor who has served effectively as an administrator has evidenced a considerable degree of intellectual maturity if he/she has provided academic leadership for persons of higher rank, and this certainly should be considered in evaluating his/her promotion to tenure. *advancement in the academic review process. However, in rare cases it may be appropriate to reward significant service accomplishments in administrative leadership, when they far exceed normal expectations in the role during the merit review cycle (see RB I-36 for eligibility & guidance). In such unique and uncommon instances, the recommendations* In assessing the merits of an administrator it will be necessary to follow the regular procedures of review. However a special effort should be made to assure that Administrators are not passed over. The advice of other administrative officers, individuals outside of the department, and reviewing agencies will be particularly important in such cases. *More typically, documented evidence of significant and effective leadership in service to one's administrative position would be acknowledged at the completion of the full term of service. Accordingly, the normative term of service should be detailed alongside activities and accomplishments.*

After an administrator leaves the *their* position, his/her further advancements in salary or rank should be judged by the regular criteria.

APPOINTMENT AND ADVANCEMENT

A publication of the
Committee on Academic Personnel
prepared in consultation with the
Associate Vice Chancellor for Academic Personnel
(Revised 9/21)

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
				VII	3
				VIII	3
				IX	4

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 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 their professional reputation. Such letters are required in all cases of appointment and promotion, and for advancement to 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. "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 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 by 1 step/increment or more (in salary or step), it is sent back to that agency for further comment. If the recommendations differ by less than 1 step/increment but greater than ½ step/increment, the Chancellor (or designee) will provide written justification of the recommendation to the file. When the recommendation differs by a ½ step/increment or less, the Chancellor (or designee) will not be required to consult further.
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. 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 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 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 their analysis and recommendation without reference to the recommendation of any reviewing agency other than the Department. 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 recommendation differs by 1 step/increment or more (in salary or step). If the recommendations differ by less than 1 step/increment but greater than ½ step/increment, the Chancellor (or designee) will provide written justification of the recommendation to the file. When the recommendation differs by a ½ step/increment or less, the Chancellor (or designee) will not be required to consult further.

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 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 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 they are supervising or has directed to completion of their degrees, the M.A. and Ph.D. committees on which 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 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 their intellectual growth, and of the contribution their work makes to 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 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 their formal service to the community or to public agencies. Evaluation of the quality of 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. 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. 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). 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.

V-28
DEANS AND FULL TIME FACULTY ADMINISTRATORS
(Revised 4/19)

The system-wide policy for Deans is set forth in Academic Personnel Manual (APM) 240. The system-wide policy for Full-time Faculty Administrators is set forth in Academic Personnel Manual (APM) 246. At UCSB, the application of these policies is outlined in the following:

I. Definition

An academic Dean, Acting Dean, or Interim Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. As academic heads of their units, Deans are persons of scholarly and professional accomplishment. The University encourages their continued engagement as academicians in scholarly, professional, teaching, and University service activities, consistent with, but distinct from, their decanal responsibilities. Therefore, it is appropriate for time to be allotted to them to engage in these activities. The Dean of Professional and Continuing Education not covered by this policy.

Faculty Administrators who are appointed at 100% are primarily responsible for administrative duties but maintain their underlying Academic Senate faculty appointment. Faculty may be appointed to 100% administrative positions into the following titles:

Associate Vice Chancellor

Associate Dean

Appointees in these titles assume a portion, or specific function of the duties assigned to the respective Vice Chancellor or Dean and may act in their behalf as requested.

II. Terms of service

Deans and 100% Faculty Administrator appointments will be full time positions and will be for a period of up to five years, subject to reappointment. Appointments are made on a fiscal year basis. Appointment as Acting or Interim will normally be for a one-year period, subject to reappointment, and may be on either an academic or fiscal year basis, as determined by campus need.

The Executive Vice Chancellor will conduct an annual assessment of each Dean and 100% Faculty Administrator and will communicate the key components of the assessment to each appointee. In addition, the Executive Vice Chancellor shall conduct a five-year review of each Dean and 100% Faculty Administrator, in accord with APM 240-80 b. (1), APM 246-80 b, and campus procedures. Reviews of 100% time Associate Deans will be conducted by the appropriate Dean. The Dean will communicate the key components of the review to the Associate Dean and will communicate the results of the review to the Executive Vice Chancellor. The administrative review process is separate and distinct from the academic merit process.

Appointees to the titles covered by this policy are at will and individuals serve at the discretion of the Chancellor. Termination of an administrative appointment does not affect the underlying faculty appointment.

III. Salary administration

A. Establishment of salary:

Deans will be paid within the salary bands established by the Office of the President. Initial salaries will be based on prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary. At all times the administrative salary must remain greater than the professorial salary.

A full time Faculty Administrator's initial salary will be based on the following factors, as applicable: prior relevant administrative experience, market factors, comparable positions on campus or within the UC system, and the individual's professorial salary.

B. Merit increases:

Deans and 100% Faculty Administrators found to be performing at a satisfactory level during their annual review will receive a merit increase, effective July 1, equivalent to the across the board salary increase program for Senate Faculty.

C. Other salary increases:

Deans and 100% Faculty Administrators are not subject to across the board salary scale increases and associated salary programs.

The Chancellor is authorized to approve pay increases based on equity, retention, or at the time of a five-year review in accord with APM 240-18 c. and 246-18 c.

The amount of pay increase at the time of the five-year review will be based on the five-year assessment, the candidate's current position within the salary range and relative to other internal positions, and the availability of funding. Equity or retention increases may also be granted during the appointment period and should be effective July 1 to the extent possible.

D. Additional Compensation:

A Dean or 100% Faculty Administrator may receive up to 1/12th payment for summer research or for summer session teaching in exchange for accrued vacation days. Vacation days may not be used in advance of accrual. Individuals holding an Acting or Interim appointed on an academic year basis may receive summer compensation, not to exceed 3/9ths, exclusive of stipends.

IV. Conflict of Commitment and Outside Professional Activities

Deans and full time Faculty Administrators are subject to APM- 025 and Red Binder I-29 with the following additional provisions:

(1) A Dean or full time Faculty Administrator may serve on no more than three for-profit external boards for which he or she receives compensation and for which he or she has governance responsibilities.

(2) All outside professional activities, including compensated consulting activity, shall be reported annually to the Executive Vice Chancellor.

(3) A Dean or full time Faculty Administrator may in each fiscal year engage in a maximum of 48 calendar days of compensated outside professional activity. The first 12 days per fiscal year do not require use of vacation time. Days in excess of 12 require use of accrued vacation leave, which must be used in full day increments.

V. Leaves

Deans and full time Faculty Administrators accrue and use vacation in accordance with APM-730, at a rate of 16 hours per month for a full time, fiscal year appointment. Vacation is used in full day increments only. Time cards are to be kept up to date on a monthly basis *in the Kronos timekeeping system.* and submitted to Academic Personnel at the end of each fiscal year for review and approval by the Executive Vice Chancellor.

Deans may be granted a transition leave immediately following the conclusion of the service as Dean. The leave will be paid at either the current administrative or the faculty rate, dependent on when the sabbatical leave credits were accrued. Transition leave is subject to the conditions of APM 240-60 e.

Deans and full time Faculty Administrators do not accrue sick leave. However, appointees will be granted paid medical leave for periods of personal illness, injury, or disability, in accordance with APM 710-11. All other faculty leave policies are applicable to Dean and full time Faculty Administrator appointments (Red Binder VI-1).

VI-3
SICK LEAVE
(Revised 2/22)

Academic appointees do not accrue sick leave credit with the exception of certain groups listed below, in APM 710-14, or the applicable Memorandum of Understanding (MOU) for represented academic employees. Academic appointees who accrue sick leave shall maintain proper records to show accrual and usage of sick leave credit. In the case of illness of faculty (as defined in APM 110 F (15) who do not accrue sick leave, leave with pay up to the maximums described in APM 710-11 a and b may be approved by the Dean. Leaves in excess of the APM maximums require approval of the Associate Vice Chancellor for Academic Personnel.

A. The following are eligible to accrue sick leave credit provided the appointment is at fifty percent or more time:

- Professional research series
- Specialist series
- Project Scientist series
- Librarian series
- Associate and Assistant University Librarians
- Continuing Educator
- Academic Coordinator

B. Appointees who accrue sick leave accrue at the rate of one working day per month for full-time service, including periods of leave with pay other than terminal vacation. Accrual for part time employees is based on the percent time on pay status during the month. See RB VI-8 for accrual codes.

C. Sick leave is to be used in keeping with normally approved purposes related to personal or family member illness and medical care as defined in APM 710-20 or the applicable MOU.

D. Faculty who do not accrue sick leave may apply for medical leave as follows.

If appointed for one year or more the appointee may apply for up to one quarter of leave with pay due to personal illness at a time. A physician's statement assessing the prognosis for return to duty may be requested prior to approval of the leave. Should the illness require an extension beyond the initial quarter of leave with pay, a physician's statement must be provided with the request for extension. Exceptions beyond the APM maximums will be considered on an individual basis. At no time may paid medical leave exceed three consecutive quarters.

If appointed for less than one year, the appointee may apply for paid leave due to personal illness for approximately the period that would be accrued during the appointment in accord with the accrual rates in APM 710-18.

E. Accrued sick leave may also be used to care for an ill family member as defined in APM 710-20 or the applicable MOU. Faculty who do not accrue sick leave may request up to one quarter of leave with pay for the care of a family member as defined in APM 710-20.

F. Sick leave that is granted for a serious health problem, or to care for a parent (including parent-in-law), child, spouse, domestic partner, grandparent, grandchild, ~~or~~ sibling, *or other designated person* with a serious health problem may also be covered as a Family and Medical Leave (FML) *and/or under California Family Rights Act (CFRA), as applicable* (see APM 715 or the applicable MOU.) Family and Medical leave will normally run concurrently with approved sick leave.

G. Represented academic employees are eligible for medical leave to the extent allowed in the appropriate MOU and applicable state and federal law.

~~H. Graduate Student Researchers are eligible for up to four weeks of paid leave due to the Graduate Student Researchers own serious health condition, or to care for a family member who has a serious health condition. In addition, a parent other than the birth mother is eligible to use this paid leave for baby bonding and will be eligible for up to another two weeks of unpaid leave for baby bonding. The total period of paid combined pregnancy, childbirth, medical (Red Binder VI 4 H), and sick leave may not exceed six weeks within an academic year.~~

VI-4
CHILDBEARING LEAVE AND PARENTAL LEAVE
(Revised 2/23)

- A. Academic appointees are eligible for childbearing and parental leave as guaranteed by applicable state and federal law, including but not limited to, the Federal Family and Medical Leave Act (FMLA), the California Family Rights Act (CFRA), and the California Fair Employment and Housing Act (FEHA). In addition, the University provides leave benefits as follows:
- B. An academic appointee who accrues sick or vacation leave shall be granted childbearing leave with full pay to the extent of their sick or vacation leave balance. Childbearing leave may also be covered as a Family and Medical Leave (APM 715). Family and Medical leave, if applicable, will normally run concurrently with approved childbearing leave.
- C. An academic appointee who does not accrue sick leave and who has served in their title or any faculty title for at least one year will receive full pay for up to 8 weeks during the period of time they are unable to assume their normal University obligations due to ~~the birth of a child~~ **pregnancy, childbirth, or related medical conditions.**
- D. An academic appointee who does not accrue sick or vacation leave and who has served in their title for less than one year will receive full pay for approximately the period that would be accrued during the appointment in accordance with the accrual rates in APM 710-18. If additional time is needed, leave without pay will be granted for the necessary period. However, members of the Academic Senate will be covered by C) above, regardless of length of service.
- E. Academic appointees are eligible for Pay for Family Care and Bonding (PFCB) for up to eight weeks at 100% pay. To have PFCB applied, approved leaves must meet eligibility criteria and be formally designated under FMLA and/or CFRA. Represented employees may be eligible for PFCB under different terms; check the appropriate memorandum of understanding.
- F. Academic appointees are eligible for parental leave for purposes of carrying out childbearing and/or childrearing responsibilities. Whenever possible, parental leaves should be requested at least three months in advance. Parental leave without pay may be granted for up to one year to any academic appointee for the purpose of caring for a child. Normally, this unpaid leave, when combined with childbearing leave and/or Active Service Modified Duties, shall not exceed one year for each birth or adoption. A leave cannot be approved beyond the end date of the appointment.
- G. Requests for childbearing leave or parental leave must be submitted via the on-line leave module in AP Folio and are subject to approval by the Dean or Associate Vice Chancellor for Academic Personnel. A childbearing leave request should include a statement of the projected delivery date. The period of the leave may be adjusted as necessary after approval.
- H. Represented academic employees are eligible for childbearing leave to the extent allowed in the appropriate memorandum of understanding and applicable state and federal law.
- I. ~~Graduate Student Researchers are eligible for up to six weeks of paid leave for pregnancy, childbirth, or related medical conditions for the period prior to, during, and after childbirth and up to two additional weeks of unpaid leave for baby bonding. The total period of combined paid pregnancy, childbirth, medical, and sick leave (Red Binder VI 3 H) may not exceed six weeks within an academic year.~~

VI-17
OTHER ADDITIONAL COMPENSATION
(Revised **2/21**)

I. Summer Session teaching

Reference: APM 661-14

Faculty may receive additional compensation for teaching Summer Session classes. The Summer Session's staff performs the payroll transaction, rather than departments. **NOTE:** These payments count towards the 3/9ths maximum that may be earned during the summer.

Summer Session payments are always calculated based on the 6/30 pay rate rather than the 7/1 pay rate. The earn code **ACS** is used for individuals who are eligible for UC retirement contributions on Summer Session earnings. Days used for summer session payments may overlap days used for other types of summer compensation; however, the 3/9ths maximum may not be exceeded.

The earn code **ASN** is used for individuals who are not eligible for UC retirement contributions on Summer Session earnings. This is not considered additional compensation.

Full time fiscal year employees wishing to teach Summer Session classes may not earn additional compensation. The regular employment must be reduced to accommodate the Summer Session teaching so that total employment does not exceed 100% time.

II. Professional and Continuing Education teaching

Reference: APM 662, appendix B-2

Faculty may teach courses through Professional and Continuing Education. These payments count towards the 3/9ths maximum that may be earned during the summer if the teaching takes place during the summer months. If a faculty member is earning 3/9ths from other sources during the summer, they may in addition earn compensation from Professional and Continuing Education equal to one day a week during the period in which additional compensation may be paid. During the academic year, payments are subject to the University limits relating to outside professional activities (Red Binder I-29).

The earn code **ACX** is used for University Extension Teacher payments.

III. Faculty consultant services

Reference: APM 664

A faculty member may receive additional compensation for consulting on projects conducted under the auspices of the University if the consulting does not fall within the normal duties of the individual. The rate is negotiated, but may not exceed the daily rate plus 30%. The additional 30% is in consideration of the fact that no benefits are paid on the salary. If payment is to come from a grant, the grant should first be reviewed to assure that consultant payments are allowed. Payments are allowed during both the academic year and the summer months. During the summer the compensation counts toward the 3/9ths limit. For academic-year employees the daily rate is figured by dividing the annual salary by 171. For fiscal-year 11-month employees the daily rate is figured by dividing the annual salary by 236.

The payment is made as additional pay using the earn code of **ACF**.

IV. University awards

When University awards such as the FCDA and Regents' Fellowships are granted, the Department will be instructed as to the proper payment methodology. The earn code of **ADC should be used**. ~~ACA will be used for percentage based (1/9th) awards, and the earn code of ACN will be used for flat rate awards.~~

V. Department Chair and Director stipends

Department Chairs and Directors are paid a monthly stipend with an earn code of **STP** on an 11/12 basis at the rate approved by the Executive Vice Chancellor. Red Binder V-31 provides further detail regarding part-time administrative appointments. Chair and Director stipends paid during the summer months do not count towards the 3/9ths limit.

VI. Start-up and retention research support

Research support from state or gift funds, usually associated with start-up or retention packages, is to be paid using the Daily Factors 19-day chart consistent with the methodology for summer research payments from extramural sources (see Red Binder VI-14).

VII. Dean's summer research compensation

In accord with Red Binder V-28 III D. Deans may be paid summer research funds in exchange for vacation time. Payments are to be made using the Dean title code, the 1/12th rate as the distribution rate, and the earn code of **AFR**.

VIII. Honoraria

Academic employees may receive honoraria for work related to University-sponsored conferences and panels, or creative work unrelated to the primary job responsibilities. Honoraria may not be paid using State funds. When work of this type is performed at a different UC campus, the payment is processed via an intercampus payment (see Red Binder VI0-15). When the work is performed at UCSB, it may be paid through the payroll system as an honoraria, using the earn code of **HON**. 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.

IX. Other Summer Additional Compensation

Occasionally payment for other non-teaching, non-research work may be appropriate. In such cases the Academic Personnel office should be consulted to determine the appropriate title code and earn code to be used.

VII-1
POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS
(Revised 2/23)

It is the policy of the University of California not to engage in discrimination against any person seeking employment with the University. In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor. Conducting open searches for employment positions supports the University of California in fulfilling its requirements under federal and state laws. The University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty, Office of the President, Academic Advancement, are available at:

<http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

An open recruitment is required for all academic positions unless the recruitment is exempt under the specific criteria listed in section II below.

These laws expand pay equity and pay transparency by requiring California employers to disclose pay scales and prohibiting employers from seeking or relying on applicants' salary history information, including compensation and benefits, in the recruitment process. These laws further safeguard the right of all persons to obtain and hold employment without discrimination based on specified characteristics or status, and they are intended to address inequity in pay practices based on gender, race, color, religion, sex, national origin, disability, age, protected veteran status, gender identity, or sexual orientation.

I. Recruitment types and requirements

As appropriate, a Department will recruit both within and outside the workforce to obtain diverse pools of qualified applicants. For Senate faculty the level of position advertised is based on the level of search approved by the Executive Vice Chancellor. Non-Senate searches may be at a specific rank or at open rank.

External Recruitments are open to all applicants and are listed in various off-campus publications and the UC Recruit job board. Typically, external recruitments generate the largest and most diverse applicant pools consistent with the campus commitment to equal opportunity and diversity.

In some unique situations, an internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants. Internal recruitment requests require consultation, prior to the beginning of the recruitment, with the Office of Equal Opportunity & Discrimination Prevention and Academic Personnel.

Recruitments may be conducted in the following ways:

One-time recruitment: The recruitment is advertised for the duration of the recruitment for a specific position or positions. Most often the one-time recruitment will be for a single hire, however occasionally a single recruitment may yield multiple hires. This may be either the result of multiple positions being available at the beginning of the search, or may occur through a special request to make multiple hires. Requests to make multiple hires from a Senate Faculty search originally designated as a single hire will be initiated by the Department Chair and submitted to the Executive Vice Chancellor via the Dean. The Dean will be asked to provide additional information concerning the FTE to be used for the additional hire, and the Executive Vice Chancellor will consult with the Academic Senate as appropriate. Requests to make multiple hires from a non-senate search originally designated as a single hire are to be addressed to the Associate Vice Chancellor for Academic Personnel.

Standing pool recruitment: A standing pool recruitment may be used to fill multiple positions at various times for research or teaching positions.

- Pre-six Unit 18 Lecturer standing pool recruitment advertisements must be terminated on March 31, annually. New advertisements may begin after April 1 of each year.
- Researcher title standing pool recruitment advertisements may be set to open on any date but must have a final date no longer than one year (365 days) from the open date. New advertisements may begin after the close of the previous pooled search.
- Departments are encouraged to initiate their replacement search plans in advance of their existing pool closure dates to allow for adequate processing time.
- These search time limits help to ensure compliance with federal data reporting requirements.

II. Exemptions from Open Recruitment Policies

- A. Appointment to temporary academic administrator positions by individuals already holding an academic appointment
- B. Recall appointments
- C. Visiting appointments in the Professor, Researcher, Specialist, or Project Scientist series. The individual must be a “true visitor” i.e. on leave from (or for the Professorial series only, retired from) an equivalent position at another academic institution.
- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position without a break in service due to non-reappointment. See RB II-1.
- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers or trainee status, e.g. Postdoctoral Scholars.
- F. A modification of the current position from the Professorial series to the Lecturer SOE series or one non-senate research series to another (e.g. Project Scientist to Researcher) assuming the original appointment had either an open search, an approved waiver or is exempt from search due to without salary status.
- G. Without salary appointments.

Although open recruitment is not required in the above situations, a department may choose to conduct a search. When a search is conducted, all appropriate policies and procedures must be followed.

III. Search waivers

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of compliance with University policy and the quality of the individual offered a position. However, special circumstances may on occasion justify a waiver of the search requirement.

A. Non-Senate Titles

1. Emergency Hire: Unexpected circumstances result in insufficient time to recruit: (e.g., unexpected illness, leave of absence of faculty, emergency research need.) Waivers will be granted with a specific end date.
2. Spousal or Domestic Partner Hire: the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member. Waivers will be granted for the duration of employment in the job series.
3. PI/Co-PI/Leadership Status: the proposed appointee is the principal investigator, co-principal investigator of a grant/contract, or has been named in the grant/contract for a specific leadership role. Supporting documentation must be available in the departmental file and may be requested as necessary. Waivers will be granted for the duration of the contract or grant.
4. Continuation of Training: the proposed appointee is currently a graduate student researcher or postdoctoral scholar at UCSB and will remain for a short period to complete a research project begun while in the current status. Waivers may not be granted for longer than one year.
5. Research Team: the proposed appointee is part of an existing research team of a new faculty member relocating from another academic institution and will be continuing in the same capacity in the lab. The waiver is valid for the duration of appointment in the same title within the same team.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit *using one of the appropriate categories as listed above.*

The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the impact of the proposed hire on affirmative action goals and the Campus Affirmative Action Plan. The request will then be reviewed by the Dean or Associate Vice Chancellor with approval authority for the requested action. If the request is approved, the department may then submit an appointment case. If the request is denied, an open search will be required.

An existing waiver with an end date may be extended if the appointment continues to meet the criteria under which the waiver was originally granted. The request to extend the waiver may be included with the reappointment request and must specify the new end date.

B. Senate Faculty

1. Partner Hire: the hire of a partner in order to initially hire or retain a Senate faculty member. In such cases, the partner should have a record and credentials that provide evidence he or she would likely be among the top candidates if an open search had been conducted.
2. Exceptional Opportunity: an unusual opportunity to hire an individual who has qualifications that are so uniquely outstanding as to justify the waiver. In all these cases the candidate would be on the short list of top candidates if a full search were conducted, and the individual would be highly sought after by peer institutions. Examples would include an internationally recognized leader in a particular field (e.g., a Nobel Laureate or a Pulitzer Prize winner), an exceptional scholar who would make special contributions to diversity in a particular program or field; or a highly sought after individual who is on the market for a very limited time period. Exceptional Opportunity are normally expected to be at the Full Professor level, but under exceptional circumstances, justified by compelling reasons, they may be at a lower level.
3. President's Postdoctoral Fellowship Recipients: the proposed hire is a current or former recipient of a UC President's or Chancellor's Postdoctoral Fellowship.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit **using the appropriate category of the three listed above. Departments may not select "Other."**

The department memo must address the following:

- Which category of waiver is being requested.
- The departmental vote on the request for a waiver.
- A report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan
- In the case of an Exceptional Opportunity request, an explanation why it is not possible to consider the candidate as an applicant in an open search (for example, the individual under consideration is available only for a limited period of time.)

Requests will be routed to the Dean for review. As part of ~~his or her~~ **their** recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis. If the Department has not identified an FTE, the Dean must do so. The Executive Vice Chancellor will consult with the Director of Equal Opportunity & Discrimination Prevention, the Council on Planning and Budget, and the Committee on Academic Personnel prior to making a final decision. The Director of Equal Opportunity & Discrimination Prevention will provide information regarding the request in the context of the Campus Affirmative Action Plan and placement goals. The Council on Planning and Budget will provide guidance regarding resource allocation for the position. The Committee on Academic Personnel will provide an initial assessment of the candidate's qualifications for an academic senate position. If the request is approved, the department may submit an appointment case. If the request is denied, an open search will be required.

In recruitments that are limited to either the Assistant or Associate level, if a candidate is promoted to a higher level at their home institution while the search is in progress, or an appointment at a higher rank is justified by the need to make a competitive recruitment offer (such as a competing offer at a higher rank) the department may request permission to allow appointment at the next highest rank. The request will be forwarded from the department, via the Dean, and Associate Vice Chancellor for Academic Personnel, to the Executive Vice Chancellor. If the request is approved, the department may then submit the appointment case with a request for the higher rank. Additional external evaluation may be required to support the higher rank appointment.

VII-4
**PROCEDURES FOR RECRUITMENT OF
SENATE FACULTY AND OTHER PERMANENT ACADEMIC APPOINTMENTS**
(Revised 9/21)

Before initiating a search, the department chair should review Red Binder I-14 Faculty Appointments, and I-13 Retention of Academic FTE. The department must have an allocated FTE and prior approval from the Executive Vice Chancellor to recruit for the position. For other permanent academic positions (i.e. Librarians) appropriate approval for the use of the FTE must have taken place.

The following steps are to be taken by the Department:

A. Recruiting

1. Form a search committee.
2. Determines the length of the recruitment period.
3. *In consultation with appropriate control points, determines the expected salary or budgeted range that the department reasonably expects to pay – see Guidelines for the Application of SB 1162 and AB 168 on AP website.*
4. Determines the publications or recruitment sources to be used. Advertising through the JobElephant service is highly recommended to assure Labor Certification requirements are met should the eventual hire be a non-US citizen. If JobElephant is not used, the department should consult with the Office of International Students and Scholars at oiss@sa.ucsb.edu to assure current Labor Certification requirements are met.
5. Sets a realistic deadline for applications so that campus Equal Opportunity & Affirmative Action policy and procedures can be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. Permanent positions must be advertised for at least 30 days.
6. Follows established departmental and campus procedures and review criteria for the application process.
7. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
8. Submits the Recruitment Plan in UC Recruit for review and approval by the Department Chair, the Office of Equal Opportunity & Discrimination Prevention, the Dean, and Academic Personnel.
8. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
9. Places any additional approved advertisements for the position, *including required EO/AA and SB 1162 language, as specified in Red Binder VII-7.* Retains all copies of advertisements as they appear in publications and on-line, including the duration of advertisements.
10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

B. Processing Applications and Interviewing

1. After the close date, reviews the quality of application materials. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Consults with the Dean's office to schedule the Dean review of the applicants. College requirements may vary.

3. Generates the Short List Report in UC Recruit and submits for approval in UC Recruit by the Department Chair, Equal Opportunity & Discrimination Prevention, and the Dean.
4. Upon receiving the approval of the Short List Report, contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel policies.

C. Search Report and Hiring Proposal

1. Once a potential hire has been identified, completes the sections labeled “Search Report” in UC Recruit.
2. Updates applicant’s status in UC Recruit and enters disposition reasons for all applicants including those who were interviewed but were not selected for the position.
3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

VII-5
**PROCEDURES FOR RECRUITMENT OF
TEMPORARY ACADEMIC POSITIONS**
(Revised 9/18)

The following steps are to be taken by the Department:

A. Recruiting

1. Form a search committee, if appropriate. If a committee is formed, it must include one academic employee designated as the departmental equity/diversity advisor.
2. Determines the length of the recruitment period.
3. Determines the publications or recruitment sources to be used.
4. *In consultation with the appropriate control point, establishes the expected salary or budgeted range that the department reasonably expects to pay – see Guidelines for the Application of SB 1162 and AB 168 on AP website.*
5. Sets a realistic deadline for receiving applications so that campus Equal Opportunity & Affirmative Action policy, and procedures may be carried out without undue pressures. The advertising period should be long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool. In no case may a recruitment run less than two weeks.
6. Follows established departmental and campus procedures and review criteria for the application process.
7. Completes the Recruitment Plan in UC Recruit. The Recruitment Plan contains all relevant information on how the position will be advertised, how the applicants will be evaluated, and the efforts that will be made to ensure equal employment opportunity and to reach a diverse applicant pool in which women and minorities are represented.
8. Publishes the recruitment in UC Recruit after the Recruitment Plan is approved.
9. Places any additional approved advertisements for the position, *including required EO/AA and SB 1162 language, as specified in Red Binder VII-7.* Retains all copies of advertisements as they appear in publications and online, including duration of advertisements.
10. Performs all other good faith recruitment efforts to increase the diversity of the pool.

B. Processing Applications and Interviewing

1. When an applicant pool does not contain sufficiently qualified people to fill a vacancy, it may become necessary to extend or reopen a search. The department is responsible for repeating the requisite steps as necessary.
2. Updates the applicant's status in UC Recruit.
3. Contacts prospective candidates and invites them to campus for an interview. Additionally, ensures that the proposed interview schedule is appropriate and that it is applied uniformly to all candidates. Departments may reimburse candidates for interview travel and related expenses in accord with IRS regulations and University travel policies. Under exceptional circumstances, if funding is available, a candidate who has accepted an offer may be reimbursed for a single house hunting trip in accord with IRS regulations and University travel policies.

C. Equal Opportunity Hiring Proposal

1. Once a potential hire has been identified, completes the sections labeled "Search Report" in UC Recruit.
2. Updates the applicant's status in UC Recruit and enters disposition reasons for applicants including those who were interviewed but were not selected for the position.
3. Generates Search Report in UC Recruit and submits for approval by the Chair, Dean, and Equal Opportunity & Discrimination Prevention.

VII- 7
SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING
(Revised 2/22)

I. General

The Office of Equal Opportunity & Discrimination Prevention, whether the advertising source is free or for a fee, must approve all academic advertisements.

Responsibility for the cost and placement of ads with vendors, distribution of advertisement flyers, etc., is the responsibility of each hiring department. Deans or control points may allocate funds to departments for the purpose of advertising. Costs beyond those allocations are the responsibility of the department.

All academic position advertisements are posted on UC Recruit.

II. Basic Elements of an Advertisement

1. Name of campus department and the academic program where the vacancy is located
2. Job Number–Assigned by UC Recruit at the time the search plan for the position is created.
3. Expected recruitment type (external or internal search)
4. Expected hire type (single, multiple, or pooled recruitment)
5. The level of the position if determined (e.g., Assistant, Associate, Open). For Senate faculty positions the level of the position listed in the ad must reflect the approved level of the provision.
6. The area of specialization/research–Preference or emphasis for a particular area of specialization can also be included. For Senate faculty positions the area must reflect the approved area of the provision.
7. The expected start date of the position (e.g., effective July 1, 2022; or effective 2022-23)
8. *The expected salary or budgeted range that the department reasonably expects to pay, per newly updated SB 1162 guidelines – see Guidelines for the Application of SB 1162 and AB 168 on AP website*
9. Requirements–List any educational or other academic degree requirements if applicable. Care should be taken to clearly identify required basic qualifications from additional or preferred qualifications for the position.
10. Specify what constitutes a complete application. Departments may wish to request items such as the following:
 - a curriculum vita
 - statement of research interests
 - samples of published work
 - number of references required and the manner by which a letter of recommendation is obtained.
11. Specify a deadline for receiving applications. Whenever possible, Senate faculty searches should set an application deadline between November 15 and December 31. Application deadlines later than February 1 should be avoided when anticipating a July 1 start date. Departments should be mindful of the AAU recruitment deadline of April 30, and the Intercampus deadline of April 1 (APM 510 500-16).
12. The following **wording** must be included in each ad:
 - *The pay scale the department reasonably expects to pay (\$X-\$Y) must be included in all job postings in UC Recruit and shared with any third parties engaged to assist with job postings, as applicable.*
 - “The University is especially interested in candidates who can contribute to the diversity and excellence of the academic community through research, teaching and service as appropriate to the position.” In addition, the

advertisement must end with: “The University of California is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law.”

- ~~“As a condition of employment, you will be required to comply with the University of California SARS-CoV-2 (COVID-19) Vaccination Program Policy https://policy.ucop.edu/doc/5000695/SARS-CoV-2_Covid-19. All Covered Individuals under the policy must provide proof of Full Vaccination or, if applicable, submit a request for Exception (based on Medical Exemption, Disability, and/or Religious Objection) or Deferral (based on pregnancy) no later than the applicable deadline. New University of California employees must (a) provide proof of receiving at least one dose of a COVID-19 Vaccine no later than 14 calendar days after their first date of employment and provide proof of Full Vaccination no later than eight weeks after their first date of employment; or (b) if applicable, submit a request for Exception or Deferral no later than 14 calendar days after their first date of employment. (Capitalized terms in this paragraph are defined in the policy.) Federal, state, or local public health directives may impose additional requirements.”~~
- “As a condition of employment, you will be required to comply with the [University of California Policy on Vaccination Programs – With Updated Interim Amendments](#). All Covered Individuals under the policy must provide proof of receiving the COVID-19 Vaccine Primary Series or, if applicable, submit a request for Exception (based on Medical Exemption, Disability, Religious Objection, and/or Deferral based on pregnancy or recent COVID-19 diagnosis and/or treatment) no later than the applicable deadline. All Covered Individuals must also provide proof of receiving the most recent CDC-recommended COVID-19 booster or properly decline such booster no later than the applicable deadline. New University of California employees should refer to [Exhibit 2](#), Section II.C. of the [SARS-CoV-2 \(COVID-19\) Vaccination Program Attachment](#) for applicable deadlines. All Covered Individuals must also provide proof of being Up-To-Date on seasonal influenza vaccination or properly decline such vaccination no later than the applicable deadline. Please refer to the [Seasonal Influenza Vaccination Program Attachment](#). (Capitalized terms in this paragraph are defined in the policy.) Federal, state, or local public health directives may impose additional requirements.”

VIII-1
CAREER DEVELOPMENT AWARDS
(Revised 12/19)

The Career Development Awards are available to Senate Faculty and include three distinct awards and fellowships:

1. FACULTY CAREER DEVELOPMENT AWARD (FCDA)

The **Faculty Career Development Award (FCDA)** program provides Assistant Professors and Lecturers with Potential Security of Employment the opportunity to strengthen their records in research and other creative activity by providing funds to enable them to spend uninterrupted time pursuing research interests or independent study. The FCDA program is specifically geared toward non-tenured faculty who, because of the nature of their position or their role in campus affairs, have encountered significant obstacles in pursuit of their research, creative work, teaching, service, or mentoring obligations, or who have made unusually time-consuming efforts in helping to achieve campus diversity. The FCDA program is also intended to support these faculty in helping the campus in meeting the goals of academic excellence and faculty diversity by ultimately contributing to the recruitment and retention of quality faculty.

Eligibility: Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, then he/she is no longer eligible.** This policy is consistent with the principal purpose of the program, which is to help eligible non-tenured faculty develop a substantial record in research and creative work necessary for advancement to tenure, and should be taken into account in deciding whether to apply. Faculty are eligible to receive two FCDA awards during their career.

2. REGENTS' JUNIOR FACULTY FELLOWSHIP

The principal purpose of the program is to help eligible junior faculty develop a substantial record in research and creative work necessary for advancement to tenure.

Eligibility: Eligible faculty include Assistant Professors and Lecturers with PSOE. Applications may be submitted by faculty who are under review for tenure or security of employment. **However, if the applicant is subsequently awarded tenure or security of employment during the award period, he/she is no longer eligible.** Faculty are eligible to receive **one** two Regent's Junior Faculty Fellowships during their career.

3. REGENTS' HUMANITIES FACULTY FELLOWSHIP

The purpose of the **Regents' Humanities Faculty Fellowship** program is to encourage and facilitate research, advanced or independent study, or improvement of teaching effectiveness in the humanities by providing supplemental summer or sabbatical leave salary.

Eligibility: The Humanities Fellowship Program is open to faculty members in the regular and acting Assistant and Associate professorial series, Lecturers with PSOE, and Lecturers with SOE regardless of department affiliation. However, awards are recommended only for those whose projects are clearly humanistic (i.e., studies in language, both modern and classical; religion; literature; jurisprudence; philosophy, archaeology, the history, criticism and theory of the arts; and those aspects of history, linguistics and the social sciences that have humanistic content and employ humanistic methods) or in the creative arts (painters, sculptors, composers, writers, poets, stage designers, performers and other artists in creative fields). ~~There is no limitation on the number of awards a~~ **A** faculty member may receive **one Regents' Humanities Faculty Fellowship** during their career.

An annual call is issued during fall quarter for submission of applications for the Career Development Awards. Awards are normally announced by the end of Winter quarter.

Nature of Support: Career Development Award funding is granted for specific research proposals and related scholarly activities. Two types of awards are available: course release (one course) or summer research funds. Applications specify which type of award is being sought during the application process.

Evaluation Criteria Applications for each award are carefully evaluated with respect to the following criteria:

- a. Quality of the proposal, particularly with respect to potential for long-term career opportunities and development.
- b. Timing of the proposed project in terms of critical periods of career advancement (e.g., tenure appraisal or other impending personnel reviews).

In addition, applications for FCDA award will also be evaluated for with particular consideration given for prior and current obstacles to the development of a record in research and creative work necessary for achievement of tenure and further advancement.

Administration: The program is administered by the Office of Academic Personnel in consultation with the Office of Equal Opportunity & Discrimination Prevention and Deans. The Career Development Award Advisory Committee will review the proposals and make recommendations in each award category to the Associate Vice Chancellor for Academic Personnel.

Reporting Requirements: At the conclusion of the award period, a brief narrative report specifying activities undertaken and the manner in which they contributed to the academic career development of the awardee is required. This report is due one month after fellowship termination and should be addressed to the Associate Vice Chancellor for Academic Personnel. Future awards will not be granted if this report is not received.