

June 20, 2024

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

FROM: Leesa Beck, Assistant Vice Chancellor  
for Academic Personnel

RE: Issuance of Red Binder updates

A number of final revisions to the Red Binder, the campus Academic Personnel policy and procedure manual, have been posted on the Academic Personnel website, with an effective date of June 2024. A summary of all changes is listed below.

The complete Red Binder, as well as the annotated changes, are available on the Academic Personnel website at: <https://ap.ucsb.edu/policies.and.procedures/red.binder/>

Summary of changes

I-4	Technical change: "special" changed to "overlapping", add Researchers to service period
I-17	Adds FRA repayment terms
I-27	Clarification of requirements for "Work Submitted" listing
I-31, 1-34, I-75, II-9, II-10, II-11, II-14, II-28, IV-3	Reflect change from ESCIs to SETs as of Summer 2024
I-36	Re-add acceleration language that was inadvertently deleted during last round of updates
I-46	Clarifies maintenance and re-use of external letters in career review advancement cases
I-50	Updated language for Teaching Professor series letters of solicitation
I-51	Clarification of materials sent to reviewers for Teaching Professor series
I-56	Formal update to Professor of Teaching job title
VI-17	Specifies earn code to be used for child care reimbursements
VII-7	Updated language for EO/AA statement
VIII-3	Clarifies end date by which Hellman funding must be exhausted

I-4  
**ELIGIBILITY, DEFERRAL AND MANDATORY REVIEW**  
(Revised 4/24)

### **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 advancement in cases of exceptional merit nor does it preclude less rapid advancement. Service as an Assistant Professor, ~~or~~ Assistant Teaching Professor (including time as an Acting or Visiting Assistant Professor), or Assistant Researcher (including time as a Visiting Assistant Researcher) is limited to 8 years. Service at the Associate Professor/Associate Teaching Professor/Associate Researcher and Professor/Teaching Professor/Researcher levels is unlimited.

### **II. Extensions of the 8-year limit for Assistant Professors, Assistant Teaching Professor, or Assistant Researchers**

Under specific circumstances, an Assistant Professor, Assistant Teaching Professor, 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 (with the exception of [COVID related extension](#)) 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 their 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 their 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 their research activities. Supporting documentation must be provided with the request for extension.

When an extension of the tenure/SOE 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/SOE 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/SOE 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/Assistant Teaching Professor rank contains steps I-VI, although step I is not used at UCSB. The Associate Professor/Associate Teaching Professor rank contains steps I-V. The normal time of service at each step within the Assistant and Associate rank is 2 years, except for service at the [special overlapping](#) steps of Associate Professor/Associate Teaching Professor IV and V (Red Binder I-37). The Professor/Teaching Professor 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. Steps V+ and IX + act as overlapping steps (Red Binder I-37.) 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/Assistant Teaching Professor in cases of promotion (see RB I-36 for guidance on expectations for acceleration) or in cases of lateral promotion from the overlapping steps of Assistant Professor/Assistant Teaching Professor V and VI, and Associate Professor/Associate Teaching Professor IV and V (see RB I-37 for important parameters governing advancement at the overlapping steps).

If the outcome of a merit review is no change in rank, step, or off-scale, the candidate will continue to be eligible for advancement in rank or step each year until the advancement in rank or step occurs. 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/SOE 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 Assistant Teaching Professors 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 6<sup>th</sup> year of service but may be deferred until the 7<sup>th</sup> year. The faculty member's deferral request along with the Chairperson's letter of recommendation must be submitted via AP Folio. Deferral beyond the 7<sup>th</sup> year will not be considered. The Formal Appraisal review may not be deferred, except in cases of extension of the tenure/SOE clock.

I-17  
**NEW SENATE FACULTY COMMITMENTS**  
(Revised 4/24)

A "start-up memo" addressing the equipment, space, housing and other start-up needs should be forwarded with the appointment packet. Note that one memo may be written to cover all of these issues. The Dean's New Senate Faculty Commitment Sheet will be prepared and endorsed by the Dean and then forwarded to the Associate Vice Chancellor.

At the time the Chancellor extends an offer of appointment to the candidate, a copy of the approved Commitment Sheet will be forwarded to the Dean indicating what recruitment commitments have been approved.

**Please note:** Revisions in recruitment commitments require approval by the Associate Vice Chancellor for Academic Personnel. Requests for revisions should be made in memo form to the appropriate Dean's office. For revisions being requested prior to the faculty member's start date, a revised commitment sheet will be completed by the College and forwarded to Academic Personnel for review. For revisions being requested after the faculty member's start date, the Dean may simply endorse the departmental request and forward it to Academic Personnel for review.

**Housing**

Mortgage Origination Program (MOP) loan commitments are made available for approximately a three-year period from the date of appointment. Extension beyond the expiration date may be possible depending upon financial conditions at the time of the extension request. The actual amount of the loan (up to the maximum specified by the Office of the President) will be based on the individual qualification of the faculty member.

An offer may be extended for placement on the wait list for purchase of University owned housing at West Campus Point and Ocean Walk at North Campus. Senate faculty are eligible for placement on the primary housing wait list. Individuals are added to the wait list at the time of job offer. Under no circumstances may faculty names be added to the top of the list.

Rental of family student housing may be offered to Assistant Professors and Assistant Teaching Professors. Rentals are on an "as available" basis and new faculty should be urged to contact the housing office as soon as possible, once an offer has been extended, if they will be exercising this option.

**Faculty Recruitment allowance**

The Faculty Recruitment Allowance (also known as a Relocation Allowance, ~~or~~ Housing Allowance, or FRA), is made available to help newly recruited faculty meet the costs associated with purchasing a home, usually the down payment or closing costs. It may also be used towards the initial deposit necessary for a rental. Uses beyond those specified here, such as those outlined in APM 190, are exceptional and are rarely approved at UCSB. The maximum allowable allocation is based on the rate on Table 40 of the published Salary Scale at the time of hire. Incoming faculty should be advised of the following to avoid unrealistic expectations about how and when they can receive the money.

Faculty may not be issued their faculty recruitment allowance until they are employees and have been entered into the payroll system. Exceptions to this policy may not be made and the appointment start date may not be modified to accommodate payment. The faculty recruitment allowance is to be paid out as close as possible to the time it will be used (for example, upon entry into escrow), not at the time of initial employment. Faculty are encouraged to consult with their departments prior to entering escrow to ensure the payment may be issued during the escrow period. A Department or College may require proof of entry into escrow or other appropriate documentation prior to payment of the faculty recruitment allowance.

Faculty recruitment allowances are considered wages for Federal and State tax reporting and withholding and for Social Security taxes, workers' compensation, and unemployment insurance. Payment of the faculty recruitment allowance is made through UCPath as one-time additional pay. Requests for payment of the faculty recruitment allowance should be made at least 30 days in advance of the date the money is needed.

Faculty who receive the FRA will be entitled to retain the full amount received if they remain employed by UCSB for at

least 5 years after the funds are disbursed. Termination of employment prior to the expiration of this 5-year period will require a portion of the FRA to be repaid on a pro-rated basis. This repayment is calculated at 20% per year for the 5-year period.

**I-27**  
**INSTRUCTIONS FOR COMPLETION OF THE**  
**BIO-BIBLIOGRAPHY**  
(Revised 4/24)

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	August 31
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 historically excluded populations, or research that alleviates structural inequalities.

Final bio-bibs are generated by the online bio-bib system and are tailored to the specific series (e.g., Professor, Teaching Professor, Specialist, etc.). Thus, the Professor series bio-bib contains information on Research/Creative Activity, Teaching/Mentoring, and Service. The Teaching Professor bio-bib contains information on Teaching/Mentoring, Professional and/or Scholarly Achievement and Activity, and Service.

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 Teaching Professor series will include research/creative activity in the section titled: *Professional and/or Scholarly Achievement and 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 definitions:

- Published work: work that has appeared in final, published format
- 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
- Work submitted: work that has been submitted but not yet accepted. ~~Such work~~ If items are listed in this section, copies ~~is~~are 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.
- 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.

When the final version of the bio-bib is generated for use in the review process, a line will be automatically inserted separating all new items from those 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 (e.g., from Work Submitted to In Press; from In Press to Published; change in title).

If the previous action resulted in 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 online publication site. 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. 2002-1: "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. "The Beginning of Time" 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.

Other research/creative activity-related activities should be noted in the appropriate available categories (e.g., academic presentations, grants and contracts, research awards, etc.).

#### Teaching and Mentoring (For Senate Faculty only)

The bio-bib must contain an itemized list of workload since the last successful review, which will automatically be placed in chronological order (by quarter). 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.

A single link to student course evaluations and student written feedback can be inserted at the top of the teaching section of the bio-bib or individually for each course. 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.)

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.

Other teaching/mentoring-related activities should be noted in the appropriate available categories (e.g., undergraduate projects directed, teaching/mentoring awards, supervising postdocs, etc.).

Appointees to the Research series should list participation on PhD or MA committees as Professional Activity.

#### University and Public Service

The bio-bib must include an itemized list of various activities by categories or level (e.g., department, college, campus, system-wide, public) that have occurred since the last successful review. Mentoring and advising of faculty may be listed as University service.

Other service-related activities should be noted in the appropriate available categories (e.g., reviewing and refereeing, service awards, special appointments, etc.).

In the Research series, mentoring of students that furthers diversity and equal opportunity should be listed as University service.

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



**I-31**  
**DOCUMENTS TO BE SUBMITTED BY THE CHAIR**  
**DEAN'S AUTHORITY MERITS**  
(Revised 4/24)

*All personnel review cases are submitted via AP Folio*

**I. Departmental Letter**

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

- Is the letter an accurate, concise and **analytical** representation of the case?
- Is the final departmental vote included (e.g. 10(yes)-0(no)-0(abstentions)-3(not voting))? Is there an indication of how many were eligible to vote? Are any no votes explained if the reason is known?
- Are all appropriate areas of review and accomplishments covered?
- Are contributions to diversity and equal opportunity given appropriate recognition?
- Is all relevant information from the Departmental letter accurately entered on the case upload screen?

**II. Chair's Separate Confidential Letter**

See Red Binder I-35 for further information.

- If a Chair's confidential letter is included is it clearly marked "Chair's Separate Confidential"?

**III. Safeguard and Certification Statement.**

The candidate must sign an online safeguard and certification for each departmental recommendation. If it is difficult or impossible to obtain the required signature, the Chairperson should explain the situation and indicate in what manner they have attempted to meet the requirements outlined in the form.

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

**IV. Bio-bibliographical Update**

- Have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly documented?
- 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. Evaluation of the teaching record**

At a minimum, two sources must be included in the case. *For Spring quarter 2024 and earlier* ESCI summary sheets and scores for questions A and B are mandatory. *For Summer 2024 and later, complete SET reports are mandatory*

- If the B&P printout is used, is it noted which classes have ESCI's *or SET surveys*?
- If small courses do not have ESCIs *or SET surveys* is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- Has the second source of teaching been clearly identified on the AP Folio upload screen?
- Have the courses that were counted toward the expected teaching load been clearly identified, with any deviations explained (see RB I-35)?*

VI. **Self-assessment of research, teaching or other accomplishments and activity (optional).**

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

VII. **Sabbatical leave reports.**

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

VIII. **Copies of publications.**

It is the responsibility of each faculty member to maintain copies of published research or other creative work and reviews.

- Have all items included in research and creative activity section 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?
- Have links to electronically submitted items been verified?
- If items cannot be submitted electronically, have arrangements been made with the Dean's office?
- If any publications are missing from the file, is a note included noting which are missing and explaining why?

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

(Revised 4/24)

*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 the 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? Are any no votes explained if the reason is known?
- 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 appropriate areas of review and accomplishments covered?
- Is the teaching load documented, per RB I-35?
- 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.

- If a Chair's confidential letter is included is it clearly marked "Chair's Separate Confidential"?

**III. Safeguard and Certification Statement**

The candidate must sign an online 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 they have 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**

- Have items previously listed as "In Press", "Submitted" been accounted for?
- Are all items, including "In Press", "Submitted", and "In Progress" properly documented?
- 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?
- 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 they check box 7A on the Procedural Safeguards Statement?
- Are any anomalies in the composition of reviewers explained (e.g. less than six letters, letter writer who wrote in previous review, etc.)?

**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 included (e.g. CV, bio-bib, publications sent, etc, per RB I-46-V)? 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. *For Spring quarter 2024 and earlier* ESCI summary sheets and scores for questions A and B are mandatory. *For Summer 2024 and later, complete SET reports are mandatory*

- If the B&P printout is used, is it noted which classes have ESCI's *or SET surveys*?
- If small courses do not have ESCIs *or SET surveys* is an explanation provided in the departmental letter and an alternate form of teaching evaluation included?
- Has the second source of teaching been clearly identified on the AP Folio upload screen?
- Have the courses that were counted toward the expected teaching load been clearly identified, with any deviations explained (see RB I-35)?*

- VII. **Self-assessment of research, teaching or other accomplishments and activity (optional).**

- If a self-assessment was submitted, is it included in the case? Self-statements may address research, teaching, professional accomplishments, 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 the research and creative activity section 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/SOE 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?

**I-36**  
**MERIT ADVANCEMENTS**  
(Revised 4/24)

The merit review process at UCSB (and across the UC system) is designed to reward meritorious performance with advancement in step and/or rank and the corresponding salary increment. This system of regular evaluation integrates faculty salary with specific levels of scholarly achievement, determined through peer review. The phrase “merit review” in the UC is used to refer to the review process to move up a step on the scales, which is directly linked to compensation.

Departments should define standards and expectations for their field and apply them consistently in the merit review process. Reasonable flexibility should be used in balancing heavier commitments in some areas against lighter ones in others, as appropriate for the candidate’s field, department, or division (per APM 210-1-d). Thus, the weighting of the three areas need not be equal in all cases. Likewise, accomplishments within a review period may be uneven across areas.

Merit increases are granted when performance meets or exceeds the high standards of the campus and discipline. The level of increase depends on the extent to which the record exceeds expectations. Criteria and principles for advancement are described below.

I. Normative, One-Step Advancement

A one-step advancement generally requires meeting departmental and campus standards of achievement, appropriate for rank and step, in all three areas of review. The overall record may not demonstrate equal strength in all areas of review, but at the very least, overall performance must meet expectations with no recurring deficiencies in any area of review. A normative advancement is appropriate either when the expectations for performance in all areas have been met or when heavier responsibilities in one area of review can justify a **temporary** reduction in the accomplishments in another area, for a single review period. Such flexibility does not suggest a relaxation of standards; instead it can be afforded to short-term circumstances in which patterns of work, which can be explained, depart from established expectations, not to ongoing deficiencies in performance.

II. Accelerated Advancements

When formulating justifications for advancements beyond one step, the department and reviewing agencies must first provide evidence that the candidate has met the requirements for a regular, one-step advancement prior to addressing any recommendation for acceleration. Because ongoing excellence is the expectation for merit advancements, a detailed analysis and justification, explaining the basis for any acceleration, must be provided. Extraordinary achievements in the record do not qualify a candidate for acceleration if performance in all areas does not meet expected standards. **In no case for accelerated advancement may deficiencies be evident in any area of review.**

The larger the acceleration, the greater the need for major accomplishments that distinguish the record. These achievements must be fully contextualized and justified. Accelerations at a more senior level require more evidence of exceptional performance than accelerations at a more junior level. What might justify an acceleration for an Assistant Professor/Assistant Teaching Professor might justify only a normative advancement for a Full Professor/Full Teaching Professor and might not meet expectations for a Professor/Teaching Professor at Above Scale. Similarly, service duties are expected to increase as faculty advance in rank and step.

Accelerations are awarded in full step and/or one-half step increments (e.g., 1½ steps, 2 steps, 2½ steps, 3 steps, etc.). Typically, accelerations will be expected to be awarded in step, except when the recommendation justifies a one-half step increase, which is conferred in off-scale (i.e., a one-half step equivalent in off-scale). In rare and unique cases, accelerations beyond one-half step in off-scale may be granted when warranted based on appropriate circumstances and justification (such as at barrier steps).

As the size of the acceleration increases, increasingly meritorious achievements are expected. Increases at the highest levels require evidence of identifiable extraordinary accomplishments and/or impact in both research/creative activity and teaching, as well as evidence of superior accomplishments and/or recognitions in other areas.

Acceleration at the time of a merit review must be based on activity during the period since the last successful review and calibrated based on expectations for that rank and step. [Acceleration in step at the time of a career review may be based on the cumulative record.](#)

A variety of accomplishments founded in the overall record for the period and/or based on significant, specific achievements may form the basis for an acceleration. A non-exhaustive list of examples that may warrant acceleration are noted below. It is possible to be accelerated on the basis of achievements that are not listed here. The extent of acceleration must be justified by the level of performance/achievement.

- Professor series: Achievement well above disciplinary/field norms in research/creative activities coupled with excellent performance in all other areas.
- Teaching Professor series: Achievement well above the high campus standards in teaching coupled with excellent performance in all other areas.
- Extraordinary achievements in two areas of review, coupled with excellent performance in the other area.
- 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 review.
- 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).

### III. Decelerated Advancement

#### One-half Step advancement

In rare cases, when performance does not meet the standards required for a normative increase, a within-step increase of one-half step may be granted (i.e., a one-half step equivalent in off-scale only, without an advancement in step), when justified by a convincing explanation. Circumstances in which a one-half step advancement might be appropriate include cases in which a **consistent** shortcoming in the record exists in a single area, but with demonstrated achievements in other areas. In these cases, a normative advancement cannot be justified based on the ongoing deficiency, however, the accomplishments in other areas can be acknowledged.

Further advancement will be allowed only when the normative number of years at step since previous advancement in off-scale has passed. A faculty member may receive no more than two consecutive ½ step increases in the off-scale supplement; off-scale may not be used to bypass career reviews.

As with any on-time advancement, the individual's next eligibility date for academic review will be based on the effective date of the advancement, if an acceleration 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, step, or off-scale occurs. See Red Binder I-4-III for important parameters.

**I-46**  
**GUIDELINES FOR LETTERS OF EVALUATION**  
(Revised 4/24)

**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 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~~-in (Red Binder I-50), “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/Assistant Teaching Professor Appointments and Restricted letters**

Restricted letters may be used in Assistant Professor/Assistant Teaching Professor appointment cases of candidates who have not held prior academic positions post-terminal degree. Appointments requested at the Assistant Professor IV, 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/Assistant Teaching Professor 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 their 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 O, “Restricted Material” in RB I-50 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.

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

Letters should come from tenured faculty at distinguished institutions, preferably from full professors.

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 Teaching Professor cases). 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 multiple levels may be used. 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/SOE 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 or for 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. **Teaching Professor series:** In the Teaching Professor 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 recordings of lectures, commentary on course syllabi, reading assignments, and examinations. In some cases, for Teaching Professor series appointees 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. Non-conflicted evaluators are expected.

Any relationship between the candidate and the external letter writer or deviation from the above requirements (e.g. 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 department-suggested. In addition, the list must contain the following information for individuals who provide letters: name, position/title, institution, 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, with an explanation for the declination if provided. 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., bio-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 a [career review](#) advancement case, the letters must be maintained by the department and be included in the next [career review](#) advancement case along with any new letters solicited. However, if the letters are not used within three years, they may be destroyed.

If email is used to solicit or receive letters of recommendation the sample letter format must be followed, and a 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 email attachment, the email 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.

**WORDING FOR SOLICITATION LETTERS BY PROPOSED ACTION**

(Revised 4/24)

**Professor series****A. Appointment to Assistant Professor**

\_\_\_\_\_ is being considered for an appointment as an Assistant Professor in the Department of \_\_\_\_\_. Appointment to Assistant Professor within the UC system is made with the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research.

**A. Appointment or Promotion to Associate Professor**

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Associate Professor in the Department of \_\_\_\_\_. Appointment (or promotion) to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, and (c) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment (promotion) to tenure positions.

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities.

[When appropriate in promotion cases add: UCSB encourages its faculty members to consider extensions of the pre-tenure period under circumstances that could interfere significantly with development of the qualifications necessary for tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, or COVID-19 related hardship. In such cases, University of California policy requires that the file be evaluated without prejudice as if the work were done in the normative period of service.]

**B. Appointment to Professor I-V**

\_\_\_\_\_ is being considered for an appointment as Professor in the Department of \_\_\_\_\_. The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, and (c) University and public service is carefully assessed. A candidate for the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by their peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment to a Professor rank position.

### C. Promotion to Professor

\_\_\_\_\_ is being considered for promotion to Professor in the Department of \_\_\_\_\_. Individuals under consideration for this rank have attained tenure at the Associate Professor rank. The record of performance in (a) teaching, (b) research or other creative work, and (c) University and public service is carefully assessed. A candidate for promotion to the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by their peers within the larger discipline or field. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for promotion to a Professor rank position.

In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

### A. Appointment at Professor VI- IX

\_\_\_\_\_ is being considered for an appointment as Professor [specify step] in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Professor. The normal period of service is three years in each of the first five steps. Service at Professor, Step V, may be of indefinite duration. Appointment to Step VI, or higher, calls for evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for appointment at this step.

### A. Appointment or Merit to Professor Above Scale

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) Distinguished Professor (Professor Above Scale) in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished scholars. There is one further rank beyond Step IX, Distinguished Professor. Distinguished Professor is the highest rank attainable by a faculty member in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (a) whose work of sustained and continued excellence has attained national and international recognition, (b) whose teaching performance is excellent, and (c) whose University and public service is highly meritorious.

For merit cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of

\_\_\_\_\_’s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

### Teaching Professor series

#### B. Appointment to Assistant Teaching Professor

\_\_\_\_\_ is being considered for an appointment as an Assistant Teaching Professor in the Department of \_\_\_\_\_. *Appointment to Assistant Teaching Professor within the UC System requires clear evidence of potential excellence in teaching and In the UC system, Assistant Teaching Professors are members of the Senate faculty whose primary responsibilities are teaching and teaching-related activities. They are additionally expected to demonstrate promise of productive and creative contributions to professional and/or scholarly activity that would support excellent teaching and pedagogical leadership. Assistant Teaching Professors also have responsibility for University and public service.*

#### A. Appointment or promotion to Associate Teaching Professor

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Associate Teaching Professor in the Department of \_\_\_\_\_. *In the UC system, Associate Teaching Professors are members of the Senate faculty whose primary responsibilities are teaching and teaching-related activities. They are additionally expected to demonstrate productive and creative contributions to professional and/or scholarly activity that would support excellent teaching and pedagogical leadership. Associate Teaching Professors also have responsibility for University and public service. Accordingly,* appointment (or promotion) to Associate Teaching Professor includes assessment of the record of performance in (a) teaching/*mentoring*, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in teaching is an indispensable qualification for appointment (promotion) to Associate Teaching Professor and is the primary factor for evaluation.

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_’s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities.

[When appropriate in promotion cases add: UCSB encourages its faculty members to consider extensions of the pre-tenure period under circumstances that could interfere significantly with development of the qualifications necessary for tenure. Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member or COVID-19 related hardship. In such cases, University of California policy requires that the file be evaluated without prejudice as if the work were done in the normative period of service.]

#### I. Appointment or promotion to Teaching Professor

\_\_\_\_\_ is being considered for (an appointment as/ promotion to) Teaching Professor in the Department of \_\_\_\_\_. *In the UC system, Teaching Professors are members of the Senate faculty whose primary responsibilities are teaching and teaching-related activities. They are additionally expected to demonstrate productive and creative contributions to professional and/or scholarly activity that would support excellent teaching and pedagogical leadership. Teaching Professors also have responsibility for University and public service. Accordingly,* appointment/promotion to Teaching Professor within the UC System includes assessment of the record of performance in (a) teaching/*mentoring*, (b) professional and/or scholarly activity, and (c) University

and public service. Consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject are indispensable qualifications for appointment (promotion) to Teaching Professor and are the primary factors for evaluation.

For promotion cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus

research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities.

#### I. Appointment to Teaching Professor VI

\_\_\_\_\_ is being considered for an appointment as Teaching Professor [specify step] in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Teaching Professor. The normal period of service is three years in each of the first five steps. Service at Teaching Professor, Step V, may be of indefinite duration. Appointment at Step VI, or higher, involves an evaluation of the candidate's entire career and calls for evidence of sustained and continuing excellence in each of the following categories: (a) teaching, (b) professional and/or scholarly activity, and (c) University and public service. Consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject are indispensable qualifications for appointment as Teaching Professor VI.

#### J. Appointment or Merit to Teaching Professor Above Scale

\_\_\_\_\_ is being considered for (an appointment as/ advancement to) Distinguished Teaching Professor (Teaching Professor Above Scale) in the Department of \_\_\_\_\_. In the University of California, there are nine steps within the rank of Teaching Professor (steps I-IX). Steps VI, VII, VIII, and IX are reserved for highly distinguished teachers. There is one further rank beyond Step IX, Distinguished Teaching Professor. Distinguished Teaching Professor is the highest rank attainable by an appointee to the Teaching Professor series in the University of California system. (Appointment/advancement) to an Above Scale salary is reserved for the most highly distinguished faculty (a) whose contributions to University teaching and education outcomes are excellent; (b) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; and (c) whose service is highly meritorious

For merit cases add: In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

#### **Continuing Lecturers**

#### K. Continuing Lecturer Excellence review

\_\_\_\_\_ is being considered for review to be appointed as Lecturer, Continuing Appointment in the

Department of \_\_\_\_\_. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years.

In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

#### I. Continuing Lecturer promotion to Sr. Lecturer

\_\_\_\_\_ is being considered for a promotion to Senior Lecturer, Continuing Appointment in the Department of \_\_\_\_\_. Appointment beyond six years as a Lecturer within the UC system includes the right to a Continuing Appointment so long as the University determines that the instructional need exists and that the instructional performance of the lecturer is excellent. The record of performance in teaching is carefully assessed and the standard of excellence is an indispensable qualification for appointment beyond six years. \_\_\_\_\_ completed a review for Lecturer, Continuing Appointment in \_\_\_\_\_ and is now being considered for promotion to the rank of Senior Lecturer, Continuing Appointment. Achieving Senior Continuing Lecturer status is based on demonstrated exceptional performance based on assigned instructional duties, academic responsibility, and other assigned duties. Instructional contributions that are broad ranging and/or greatly enhance the academic mission of the University, may be considered exceptional.

In assessing the academic record of the candidate, please keep in mind the significant disruptions the University experienced as a result of COVID-19. In March of 2020, just as the Winter Quarter was ending, the UCSB campus was closed and our faculty rapidly transitioned to remote instruction. All campus research facilities including labs and libraries were closed; travel was halted; access to external facilities and archives ceased; and opportunities for professional engagement and visibility were restricted.

At the same time, many faculty had to provide full-time childcare or dependent care, as our local daycares and other facilities closed. Some had to work and teach in home environments that presented significant technical and logistical obstacles.

It is our expectation that these unprecedented circumstances be taken into consideration in the evaluation of \_\_\_\_\_'s contributions since Winter 2020. Although our standards for quality and excellence have not changed, we wish to be realistic about the constraints that faculty experienced during this difficult time, and the impacts and consequences of these limitations on faculty research, even after a return to more normal activities

#### **All series**

#### I. Sample Thank You Letter for Unsolicited Comments

Use the sample letter, modifying as follows:

[Opening remarks: e.g., Thank you for sending us your letter of recommendation regarding \_\_\_\_\_ who is currently under consideration for an appointment in our department. I would like to inform you that



[Confidentiality paragraph]

I would appreciate if you would inform me whether, in light of our policies, we may proceed with the use of your letter in the personnel file or if you wish it to be destroyed. If you do not respond by \_\_\_\_\_ the materials will be maintained in our files.

#### I. Sample Letter for Restricted Materials (Non-UC Placement Files)

Use the sample letter, modifying as follows:

We have received your letter of evaluation regarding \_\_\_\_\_ who is currently under consideration for an appointment in our department. This letter was received as part of a placement file from \_\_\_\_\_ which states that this material (not be made part of the individual personnel file/be returned to you after we have completed our use of it/be destroyed after we have completed our use of it/etc.) I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use that you have stated, and to explain why we are unable to do so.

Under University of California policy, evaluatory material about an individual who is (appointed to an academic position/being considered for promotion) becomes part of the individual's permanent personnel record. (In addition, we are required under applicable legal standards to retain in our files for at least two years documentary material that we have considered on all applicants for a position that has been filled.)

[Confidentiality paragraph here]

I would appreciate if you would inform me whether, in light of our policies, we may proceed to use the material from the placement file, or whether you wish us to destroy the materials without using them in the file. If you do not respond by \_\_\_\_\_ the materials will be maintained in our files.

#### I. To Letter Writers from a Prior Review for Amendment or New Letter

Last year you were kind enough to provide an evaluation of \_\_\_\_\_'s work in consideration of advancement to \_\_\_\_\_. We appreciate your time and attention in preparing that letter. For institutional reasons, [we did not pursue the case at that time] or [further consideration of this proposed action is currently taking place]. Your earlier evaluation is now part of the official record (copy enclosed). I write to inform you that you may, if you wish, at this time add further comments or an update letter to be included in the record. We certainly encourage you to do so. We are enclosing \_\_\_\_\_'s current vita and publications to assist in your update.

I-51  
**MATERIALS TO EXTERNAL REVIEWERS**  
(Revised 4/24)

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

Professor series and research titles:

~~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 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 department may choose to send other materials to external reviewers such as a self-statement covering one or more of the review areas. 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.

Any materials beyond the CV/bio-bib and publications that are sent to external reviewers must be consistent among all employees within any given series undergoing the same type of review.

Teaching Professor series:

For Teaching Professor 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 type (e.g., general education, lower division, upper division, graduate, etc.); and descriptions of course approach (e.g., details of content, evaluative procedures, methods, learning objectives, teaching innovations, assessment of learning outcomes, etc.) illustration of class content (e.g., annotated number of undergraduate and graduate advisees and advising role; syllabi, assignments, teaching tools, and exams, etc.); number of undergraduate and graduate advisees and advising role; examples of class content; summary of efforts to improve instruction; descriptive account or summary of student feedback on evaluations of teaching, with necessary context. Materials not listed here may also be appropriate.*

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

For all series:

~~A~~ For all series, 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.

Requirements for external letters in each series are included in the corresponding Red Binder sections.

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**TEACHING PROFESSOR SERIES**  
(Revised 4/24)

An appointee in the ~~Lecturer Security of Employment (SOE)~~ *Professor of Teaching* series is an Academic Senate faculty member appointed to help meet “the long-term instructional needs of the University that cannot be best fulfilled by an appointee in the professorial series” (APM 285-0). Appointments as *Associate Professor of Teaching and Professor of Teaching* ~~Lecturer SOE and Senior Lecturer SOE~~ confer Security of Employment, in accord with Regents’ Bylaw 40. An appointment with Security of Employment may not be terminated except for good cause after a hearing before the appropriate committee of the Academic Senate.

Appointees in the series may use the campus working title of Teaching Professor appropriate to their rank.

The primary responsibilities for faculty in the Teaching Professor Series are teaching/mentoring and teaching-related activities (APM 285-4), such as working with other faculty in the department to lead teaching-focused initiatives or activities. They carry a heavier teaching load than faculty in the Professor Series. Teaching Professors are expected to fulfill leadership expectations as teachers and as facilitators and initiators of instructional development, curriculum design, course structure, teaching methods, mentorship practices, new technologies, and/or coordinating a spectrum of teaching and mentoring activities. They play a leadership role in teaching in the departments and their disciplines. Appointment to this series is reserved for faculty whose contributions to teaching are exceptional and invaluable.

In addition, faculty in the Teaching Professor Series are responsible for professional and/or scholarly achievement and activity (which may include research/creative activity related to instruction and pedagogy or to the underlying discipline) as well as for University and public service.

Teaching Professors can be assigned to teach courses at any level, including graduate courses (APM 285-20). As with all faculty, adjustments to teaching load may be made at the discretion of the Department Chair or Dean if justified by other responsibilities contributing to the educational mission of the university. However, the expected teaching responsibilities and contributions for Teaching Professors should be clearly communicated by the Department and should allow for time to be devoted to professional/scholarly activity and service.

Teaching Professors who have attained Above Scale status may use the title “Distinguished Teaching Professor” as an honorary title. Because these titles are honorific, they may not be used on legal documents such as contract and grant applications that require an official employment title. The title may be used for such purposes as correspondence, CV, or website listings.

**APPOINTMENT AND ADVANCEMENT**

(Revised 4/24)

This compilation is intended as an aid for the use of Departmental Chairs, reviewing agencies, 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 and the application of criteria in reviews.

The official manual governing personnel actions is the Academic Personnel Manual (APM), issued and revised by the Office of the President of the University of California. UCSB campus policies and procedures are contained in the Red Binder. The Office of 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 primarily concerns the faculty in Professor and Teaching Professor series: Assistant Professor/Assistant Teaching Professor, Associate Professor/Associate Teaching Professor, and Professor/Teaching Professor.

Information contained within this document applies equally to both series unless otherwise noted. For ease of use, only the professorial series ranks are listed in the table below.

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) depends upon merit. Advancement in rank and/or step is never automatic, and it can be faster than normal in recognition of outstanding performance (an acceleration) or delayed when performance does not meet normal expectations (a deceleration).

ASSISTANT PROFESSOR		ASSOCIATE PROFESSOR		PROFESSOR		
(8 year limit, non-tenured/PSOE)		(6 years normal, tenured/SOE)		(indefinite, tenured/SOE)		
Step	Normal period of service	Step	Normal period of service	Step	Normal period of service	
I	2 (not used at UCSB)					
II	2					
III	2					
IV	2					
V	2 (overlapping step)	I	2			
VI	2 (overlapping step)	II	2			
		III	2			
		IV	3 (overlapping step)	I	3	
		V	3 (overlapping step)	II	3	
				III	3	
				IV	3	
				V	3	
				VI	3	V+ 3 (overlapping step)
				VII	3	
				VIII	3	
				IX	4	
				Above Scale	4	IX+ 4 (overlapping step)

Assistant Professor V and VI, Associate Professor IV and V, and Professor V+ and IX+ are overlapping 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. See Red Binder I-37 for further information on the use of overlapping steps at UCSB. Normal advancement in rank 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 Professor rank. Senate faculty members will be formally evaluated at least once every five years (a mandatory review).

In addition to the regular steps, some appointments or advancements may be made at the Above Scale level, i.e., above Professor IX. These salaries are reserved for scholars of the highest distinction, whose work has been internationally recognized and acclaimed.

### Off-scale salary supplements

An individual may be given an off-scale salary, consisting of a salary supplement added to the salary rate at the assigned step. A recommendation for such a salary increase must be in accordance with Red Binder guidance and 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 merit 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, including working links to publications and other creative works. (Red Binder I-27) (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. 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. co-author, etc.) and if the reviewer has previously written for the candidate. (Red Binder I-46)

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 (see Red Binder I-35). 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. Electronic links in the bio-bib to all publications in 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. If it is not possible to submit items via links, 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 Academic Personnel office provides departments with 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.

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, a case supervisor, or the Chair. Deadlines for submission of materials to departments should be set in line with College and Campus deadlines to allow timely processing of cases. 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.
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. The letter should provide a rigorous but succinct 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 concise but complete professional evaluation (accurate and analytic), including both supportive and contrary evidence. Extended quotations from supporting documents and rhetorical statements are to be avoided, since overly long letters are a burden to all reviewing agencies. In career review cases 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. See Red Binder I-35 for more details on writing a Department letter.
7. This letter is available for inspection, amendment, or rebuttal by all eligible department members. 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.
8. The Chair communicates the outcome of the case evaluation 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 and the candidate is provided the opportunity to comment.
9. The candidate completes the Safeguard Statement.
10. 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.
11. The case, including the department letter and other required materials, is uploaded into AP Folio and is sent forward to the Dean. 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.
12. In cases where the Dean does not have final authority, the case, 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 two members, usually from as similar a field as possible, to serve as primary reviewers and to lead the discussion with the full committee. (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.)
13. In appointments and promotions to tenure, terminations, and advancements to Above Scale, an ad hoc review committee is appointed by the Associate Vice Chancellor for Academic Personnel on nomination from CAP. CAP may elect to serve as their own internal ad hoc except in the case of a terminal appointment recommendation. If a separate ad hoc committee is formed, that 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.
14. 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. CAP has access to the analyses and recommendations of all other reviewing agencies, and to previous recommendations concerning the candidate. 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 cases when a consensus recommendation cannot be reached.

15. CAP's recommendation is forwarded to the Office of Academic Personnel for the final decision. The final decision may be made by the Associate Vice Chancellor for Academic Personnel, the Executive Vice Chancellor or the Chancellor, according to the delegation of authority. (Red Binder I-33) If the Chancellor's (or designee's) tentative decision differs from CAP's and/or the Dean's recommendation by one step/increment or more (in salary or step), it is sent back to that agency for further comment. When the recommendation differs by a one-half step increment, the Chancellor (or designee) will not be required to consult further.
16. 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)

#### **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 that was 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. 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 accordance 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 (Section 220-83) 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.

This appraisal is normally made during the fourth year of the Assistant Professor's career at the University. If promotion to Associate Professor occurs at year 4 or earlier, an appraisal will not occur.

The departmental letter concerning an appraisal should contain:

- a. A description and analysis of the candidate's total performance in each of the 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 review will often occur at the same time as a merit review. The two actions may be addressed in a single case, but both actions need to be separately addressed in the departmental letter.

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

5. No Change Recommendations. 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. Deferral Requests. 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 in their deferral request is accurate and should briefly review the available evidence in their letter. The request and Chair's letter are 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. The candidate may also elect to have copies of the reviewing agency reports provided to the Department Chair.

## V. CRITERIA FOR EVALUATIONS

All Academic Senate faculty members are eligible for regular advancement based on academic performance, at scheduled intervals. In assessing cases for advancement, reviewing agencies should exercise flexibility in applying advancement criteria, taking contextual factors into account, and communicate those criteria to those being reviewed. Recommendations from reviewing agencies should stem from a comprehensive but concise analysis of the record within the pillars of faculty research/creative activity, teaching/mentoring, and service; with consideration of the body of accomplishments as a whole, rather than a tally of activities, and with consideration of the expectations and standards specific to the field or discipline. The goal should be to convey the justification for advancement without relying solely on quantitative assessments.

Chairs and reviewing agencies should articulate the grounds for advancement beyond simple numerical tabulations of papers/creative works, citations, courses, and committees: for example, by describing the special impact or significance of the scholarly work, the significance of prizes, fellowships, or professional recognition, or the scale and scope of campus or university service. In all cases, the departmental letter must articulate how the requirements for a normal, one-step advancement have been met, taking into account all review areas, prior to addressing any recommendation for acceleration. Departments should define standards and expectations for their field and apply them consistently.

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

- (1) Teaching and Mentoring
- (2) Research and other Professional Creative Work
- (3) University and Public Service

The criteria for promotion and advancement in the Teaching Professor series are:

- (1) Teaching and Mentoring
- (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 Professor 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 Teaching Professor 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 and accomplishments. An individual may not be arbitrarily disadvantaged if they elected to take a childbearing or parental leave, to stop the clock, or to defer a personnel review.

### **Teaching and Mentoring (Professor series and Teaching Professor 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 Professor series, "Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion" (APM 210-1-d-1). This includes both formal coursework instruction as well as mentoring of students and University-affiliated trainees, such as postdoctoral scholars. Mentoring focused on scholarly activity is considered Teaching, whereas mentoring activities focused on non-scholarly support (e.g., life skills, social-emotional development) as well as mentoring of faculty are considered Service.

It is expected that faculty in the Professor series will create an instructional environment that, among other things (APM 210-1-d-1) is open and encouraging to all students, including students from historically excluded groups; provides expertise in the subject matter; is presented in an effective manner that promotes student learning, critical thinking, and growth; encourages high standards; and inspires creative work.

In the Teaching Professor series, demonstrated teaching of truly exceptional quality is a fundamental expectation for advancement. Effective mentoring focused on disciplinary expertise is also expected. Faculty in the Teaching Professor Series are also typically expected to provide educational leadership and contributions to instruction-related activities (e.g., discipline-specific pedagogical development, curriculum development, TA training, development of instructional materials/multimedia, etc.).

### **How should teaching and mentoring be evaluated?**

In judging the effectiveness of a candidate's teaching and mentoring, multiple dimensions should be considered. Possible areas for consideration include: the candidate's command of the subject; continuous growth in the subject field; current expertise in the subject; ability to organize material and to present it in a manner that effectively promotes student learning; capacity to relate the subject matter in one course to other fields; fostering of student independence and capability to think critically; ability to arouse curiosity in students, to encourage high standards, and to inspire students in research and creative work; extent and skill of the candidate's participation in the general guidance, outreach, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students; use of evidence-based teaching practices for course design and delivery; engagement in professional development for teaching; involvement in departmental or campus-wide educational equity or student success initiatives.

Variations in expectations based on disciplines, departments, the type of teaching and mentoring, and the level of the candidate all should be taken into consideration when evaluating teaching and mentoring performance; with proper reference to assigned teaching responsibilities. (APM 210-1-d-1). Departments should clearly specify these expectations, as well as expectations for teaching load and mentoring load.

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 campus wide student survey items (see section b. i)
  - ii. Enumeration of the M.A. and Ph.D. candidates they are supervising or 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-bib.

- 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*: UCSB's campus course evaluations are required for all classes taught by the candidate. These evaluations must be part of the record and must be supplied for each course taught. The departmental letter must compare the candidate's scores with departmental scores for comparable classes and provide necessary context. 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.

*For courses taught during Spring 2024 or earlier*, 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 the accompanying 1-5 scale, from: (5) Excellent; (4) Very Good; (3) Good; (2) Fair; (1) Poor.

*For courses taught during Summer 2024 or later*, departments must include the full SET report. As part of their analysis the department may wish to do the following:

- *Report the range of mean responses across all courses in the review period (from Part I) for the 7 items, for each type of class (i.e., undergraduate large, undergraduate small, graduate). For example, during the review period, for large undergraduate classes, the mean instructor evaluation for items 1-7 ranged from xx to xx.*
- *Compare these with the Department means in Part I and discuss if there is any deviation worth noting in either direction.*
- *Discuss if any of the 7 items are notably below department means and look to the feedback at the individual class level in Part II to analyze the situation.*
- *Review open ended comments and briefly address relevant patterns in responses.*

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. Typically, the expectation is that, at minimum, the written student feedback from campus wide course evaluations will be provided.

Many forms of evidence may be used to evaluate teaching practices and accomplishments. Although no single form of evidence should be expected to be sufficient or appropriate to demonstrate teaching excellence, it is also unnecessary to draw upon every form of evidence. Assessment tools that may be used to evaluate teaching practices include but are not limited to:

- *Student/TA evaluations: when viewed in appropriate context.* Open-ended questions asked of graduating seniors, graduate students, or alumni can be 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 evaluations conducted by faculty familiar with discipline and/or pedagogy.* 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.
- *Self-statement:* statement of teaching philosophy, course learning goals and outcomes, tools used to achieve goals, efforts to address ongoing challenges, engagement in professional development of teaching, and reflection on growth toward improved teaching practices. Department Chairs should encourage the submission of teaching self-statements.
- *Evidence of teaching and/or mentoring with a demonstrated impact* on learning and productivity of students
- *Evidence of external impact* (e.g., textbooks)
- *Number of students and mentees in guided research and teaching* alongside evidence of achievement of learning outcomes
- *Materials pertaining to the development of new and effective instructional techniques, technologies, or modalities of instruction*
- *Significant awards* for teaching or mentoring: including description of nomination/selection practice, intramural, extramural, etc.
- *Other evidence:* consisting of individual items and/or an organized teaching portfolio that supports the reflective teaching statement or showcases undertakings and practices that support excellence in teaching. For example:
  - annotated course syllabi
  - examples of assignments or teaching tools
  - materials pertaining to the development of new and effective instructional techniques
  - evidence of student learning gains

### **Research and Creative Work (Professor series):**

As addressed in APM 210-1-d-2, it is expected that faculty in the Professor series will be “continuously and effectively engaged in [research or] creative activity of high quality and significance.” The activities that constitute research and creative work may vary, for example, by department, discipline, or even a candidate’s specialty. Irrespective of these variations, most activities that count toward research/creative activity will typically meet the following criteria:

- (a) Represent new knowledge, innovation, and/or analysis in the discipline/field, as judged by peer or other external review
- (b) Be published/disseminated in publicly accessible forums beyond the University
- (c) Have impact and influence on the field, the academy, communities outside the academy and/or the wider community/society

### **What types of achievements and activities constitute research/creative activity?**

Both core research/creative works as well as professional activities related to scholarly endeavors may meet these criteria and, accordingly, would be recognized in the review process. Examples of research/creative activity include, but are not limited to: peer-reviewed scholarly publications or externally reviewed publications of creative writing (e.g., journal articles, books, essays, chapters, conference proceedings, poetry, etc.); art curation or media exhibits at galleries or important venues; film and media production; academic reports in the discipline; policy papers and reports, submitted to agencies and generally accessible to the public; expert commentary in the press or online publications; community-based participatory research products; blogs that fulfill obligations to non-academic community partners; public presentations at professional societies or conferences; invited seminars or lectures at other institutions or professional societies; grants to support scholarly activities; scholarly awards or prizes; development of software tools; patents; visibility as an expert/leader in research/creative activity; and/or evidence of external impact (e.g., adoption of research findings).

### **How should research/creative activities be evaluated?**

Although numerous scholarly and professional accomplishments can be considered research/creative activities, this does not imply that all activities hold equal weight or warrant equal recognition. As such, achievements that meet the above criteria (a, b, & c) or otherwise constitute research or creative work should not merely be enumerated. Instead, assessments of the record should consider factors such as: (i) discipline-associated or other important indicators of quality and productivity (e.g., selectivity of peer reviewed journals or conferences, prestigious of artistic venues); (ii) discipline-associated or other metrics of impact and/or influence; (iii) evaluation of quality and impact by external experts especially in cases of career review; and (iv) development of a cohesive body of scholarly work. For example, presentations at meetings of disciplinary associations and talks at peer universities, while meaningful research-related professional activities, would not be equivalent to articles appearing in peer-reviewed journals or monographs published by scholarly presses. Similarly, non-peer-reviewed reports or policy papers would typically not be treated with the same weight as peer-reviewed contributions. At the same time, when taken together, this body of activities suggests a profile of a faculty member who is both productive in knowledge-generation and active in the field and/or community. Accordingly, Departments must make clear the range and types of accomplishments that are recognized, the value of these activities, and the expected balance between core research/creative activities and scholarly professional activities. Although professional accomplishments in the field/discipline cannot permanently replace expectations for scholarly publications and creative activity, such efforts can reasonably account for variations in typical expectations for principal research/creative activities in the short term. Similarly, core research and creative activities cannot consistently substitute for engagement with and leadership in one's discipline but can explain short-term variations in broader professional service.

Classifying works is not always easy, but this specification 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 and significance should be made as clear and helpful as possible.

When published work is jointly authored or when creative work is a product of joint effort, the role/contribution of the candidate should be clearly established. 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 are normally considered evidence of teaching ability in the Professor series. 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.

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. The case must present the publication record for the current review period according to the following delineation outlined in Red Binder I-27: Published work; Work in press; Work submitted; 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 in the departmental letter or candidate's self-assessment, the department must define them carefully and state how they relate to the four categories above. Not doing this may prevent a candidate from receiving proper credit or cause other anomalies in the review process.

### **Professional and/or Scholarly Achievement and Activity (Teaching Professor series)**

Professional and/or scholarly activities may be related to the underlying discipline itself or to pedagogy, including activities that reflect the faculty member's growth in content knowledge or pedagogical content knowledge. Because faculty in the Teaching Professor Series are expected to maintain currency in the profession and pedagogy, professional and/or scholarly activities should provide evidence of achievement, leadership, and/or influence on the campus or beyond. Evidence may include:

- Pedagogically-related administrative work (e.g., of learning centers and teaching programs) or community outreach.
- Creative activities or participation in scholarly activities designed to enhance scholarly expertise in relevant fields.
- Evidence-based design and evaluation of educational curricula or pedagogy
- Development of pedagogical innovations that support and enable teaching or learning in the discipline
- Writing textbooks or ancillary materials
- Securing external grants for educational/instructional initiatives or scholarly activities
- Accomplishments/activities that represent new knowledge, innovation, and/or analysis in the discipline or in pedagogy, as evidenced by peer or external review or by other metrics which reflect the impact of the work, e.g.:
  - First, senior, or collaborative authorship of scholarly or professional publications in leading journals/outlets
  - Presentations of seminars or lectures at other institutions or professional societies
  - Publication/dissemination and public accessibility of work beyond the university
  - Accomplished performance, artistic, or literary creation with visibility outside of UCSB
- Leadership, impact, influence on and service to the field, the academy, or the wider society, e.g.:
  - Participation and/or leadership in professional organizations
  - Professional reviewing of scholarly work and editorial board membership
  - Review of grants for funding agencies
  - Develop novel course materials which are submitted to a peer reviewed process leading to adoption at other universities.

### **University and Public Service (Professor series and Teaching Professor series):**

“The faculty plays an important role in the administration of the University and in the formulation of its policies” (APM 210-1-d-4). Therefore, effective and high-quality Service is expected of all Senate faculty. Service activities vary in kind and significance, with the degree, scope, and impact of service expected to increase with rank and step. Scope may range from the level of the department to the division/college/school; to the broader campus and Senate; to disciplinary/professional service; to efforts in service of the local community, state, nation, or international community.

Teaching Professors frequently specialize in service roles related to teaching and pedagogy, such as committees related to undergraduate or graduate education. Service activities and roles associated with professional and scholarly organizations will typically be considered Professional and/or Scholarly Achievement and Activity for Teaching Professors.

Additionally, mentoring activities that are non-scholarly in nature should be considered Service (e.g., mentoring other faculty members, helping trainees with general life issues, responding to requests outside of the faculty member’s scholarly area). Impact may be measured by effectiveness, influence, quality, structural improvement, and/or transformational outcome, among others.

Examples of service to the university or the public may include (among others):

- Participation in and/or leadership on department, campus, and/or Academic Senate committees and initiatives
- Service to student organizations
- Reviewing for journals or presses
- Service to scholarly associations such as leadership roles or membership on committees
- Conference planning for scholarly associations
- Expert consultation to a governmental agency or non-profit
- Administration of a teaching program or a learning center
- Service related to the improvement of elementary and secondary education
- Developing and conducting workshops or trainings related to teaching, pedagogy, teaching innovation, instructional technology
- Operational responsibilities to important student-serving programs that fall outside the standard departmental teaching obligations
- Leadership or participation in outreach programs for student recruitment
- Administrative roles at the department, college, university, or system level
- Leading significant positive changes in policy and or practice, particularly as they relate to matters of teaching, mentorship, student success, and issues of particular impact to instructional faculty.
- Mentoring other faculty

Maintaining an appropriate level of service activity without overburdening faculty requires thoughtful choices and sensible time management at each stage of a faculty member’s career. Some meaningful service at the early stages of one’s career is desirable, and typically consists of Department-level activities and disciplinary engagement, but should not occur at the expense of a faculty member’s research and teaching responsibilities. However, it is not uncommon for women and members of historically excluded groups to experience numerous and time-consuming requests for service. To help mitigate this issue, departments and committees should take responsibility for ensuring equity in faculty workloads, and Assistant Professors should be careful not to overcommit to such activities. Given the importance of such activity to the campus, faculty should be duly acknowledged for this work.

### **How is service evaluated?**

In general, service to UCSB carries greater weight than professional or public service although there are notable exceptions in which such service contributes significantly to the goals and mission of the University. Disciplinary service aimed at developing and maintaining a national/international scholarly profile, such as reviewing for journals or presses, holding committee or leadership positions in professional associations, etc., cannot consistently replace

service to the campus; however, significant professional service can reasonably account for decreases in campus-level service on a temporary basis. Similarly, time-intensive and impactful campus service cannot permanently substitute for engagement with and leadership in one's discipline. Appropriate flexibility should be applied, taking contextual features into consideration, when accounting for variations in typical expectations for service in the short term.

Certain mentoring activity that is non-scholarly in nature and outside of the faculty member's scholarly area can be considered Service, including activities that contribute to colleagues', trainees', or community members' well-being, professional progress, and/or career development such as providing institutional knowledge, coaching to impact professional growth, or sponsoring professional opportunities, among others.

Departments should clearly communicate expectations for breadth, quality and impact of service activities, corresponding to the level of the professoriate. Meaningful service at the campus and/or on Senate councils and/or committees is an expectation for faculty at more advanced steps at the rank of Professor.

## **VI. CONTRIBUTIONS TO DIVERSITY, EQUITY, AND INCLUSION**

Substantial and impactful efforts and activities that advance diversity, equity, inclusion, justice, and belonging and/or that improve the academic success of students from historically excluded identities within the context of faculty areas of responsibility, are also valued considerations in the review process, reflecting a commitment to the mission of the University and UC System. As articulated in APM 210-1-d, "Contributions in all areas of faculty achievement that promote diversity, equity, inclusion, and equal opportunity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity, equity, inclusion, and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities."

Although not a separate area of review, contributions to DEI that exceed expectations in any of the three pillars of review (research/creative activity, teaching/mentoring, & service), or across these areas, can be the impetus for acceleration. The extent of DEI recognition will depend on the assessment of impact, in keeping with general merit and promotion practices. Publishing scholarship that reports on the context of DEI issues, or research on minoritized communities in and of itself, would typically fall within expected activities for research/creative activity. Examples of research or professional service that might surpass normative standards include (but are not limited to) activities that: improve and/or advance the outcomes or experiences of historically excluded or marginalized groups; engage socially/historically structured inequities with a demonstrable impact on the community or a transformative impact on the field/discipline; and/or help to understand how structural inequities are reproduced and remedy these barriers to success for members of historically excluded identities. Similarly, teaching that fosters equity and inclusion and that incorporates strategies for the educational advancement of students from various underrepresented groups are examples of activities that reflect normative expectations of teaching effectiveness. Examples of teaching and mentoring related activities that go beyond the norm might include (but are not limited to): designing and implementing significant pedagogical or curricular reforms to support DEI or other program-building initiatives in a department; the development of evidence-based practices that produce more equitable graduate admissions; significant engagement in culturally responsive mentoring at all levels. In terms of service, participating on a committee that addresses DEI or on a number of committees in this domain, falls within expected activities. Service that might surpass normative expectations includes, but is not limited to: efforts that result in structural or transformative improvements for marginalized groups; work that establishes or transforms policies or practices that apply beyond the original context; and/or work that creates new conditions for the advancement of historically excluded communities.

Contributions to DEI typically pertain to dimensions of diversity that result from different identities, such as ethnic, cultural, socioeconomic, racial, gender, sexual orientation, and disability. Most often, DEI activities are highlighted in a Diversity Statement submitted by the faculty, as these efforts may otherwise go unrecognized. Such self-assessments should provide context and documentation of the nature of the work and evidence of impact, possibly including, but not limited to:

- Detailed description of the faculty member's role and/or leadership in the activities.
- Detailed description and evidence of impact and/or outcomes, within a given field/discipline or in society.
- Documentation of consistent track record that spans many years.
- Articulation of the challenges in the context of the DEI activity, faced by minoritized individuals, including those whose identities intersect multiple minoritized groups.
- Discussion of the underrepresentation and/or marginalization of specific groups and the consequences for education,



the profession, or the public good.

- Effectiveness in facilitating institutional, structural change.
- Efforts to leverage the activity to broaden dissemination and impact.

## **VII. 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 ensure that the use of confidential documents does not cloak abuse.

## **VIII. DEPARTMENTAL VOTING ON PERSONNEL CASES**

Departmental voting rights in personnel cases are governed by **SENATE BY-LAW 55** (Santa Barbara Division Bylaw 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.

II-9  
**EXCELLENCE REVIEWS**  
(Revised **2/24**)

This section outlines the requirements for the Excellence Review, which determines a Unit 18 faculty's Continuing Status. See Article 7B and Article 43 of the MOU.

### **I. Eligibility**

A Unit 18 faculty member shall be eligible for Excellence Review when:

1. The Unit 18 faculty is appointed for an 18<sup>th</sup> quarter of service in the same department and
2. Instructional need as defined in Article 7B.B exists in the 19<sup>th</sup> quarter

Excellence Reviews will be conducted by the department in response to the annual call issued by the Office of Academic Personnel. Excellence Reviews are to be submitted to the Dean's office based on the schedule provided by Academic Personnel so that the campus review process may be completed by the end of the 18<sup>th</sup> quarter of service.

The department shall notify the eligible Unit 18 faculty in writing no less than 45 days prior to the date by which the review materials must be submitted. The notification requirements are outlined in [Article 43.B.2](#) and the [notice template](#) on the AP website should be used.

### **II. Criteria**

The standard for continuing status is demonstrated excellence in teaching, academic responsibility per Article 3 of the MOU, and other assigned duties.

Per [Article 43](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work

### **III. Documentation of Performance**

The following review materials are required:

- Current CV or bio-bibliography
- A self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities
- ESCIs (*Spring 2024 and earlier*) or SET reports (*Summer 2024 and later*) and written student evaluations
- Term-by-term enumeration of the number and types of courses taught
- Solicited, confidential extramural letters of evaluation (see Section IV below)

See [Article 43.C](#) for other, optional review materials that may be submitted and used in the review.

### **IV. Extramural Evaluations**

As part of the review file for the Excellence Review, departments must submit five or more letters of recommendation. Departments should strive to ensure that at least half the letters submitted with the case come from references chosen by the Chair in consultation with the department, but independent of feedback from the candidate and without consulting the candidate. These letters may be of two types:

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

Both types of letters are subject to the same redaction and confidentiality policies as extramural letters.

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

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

## **V. Review Procedure**

Excellence Reviews will be conducted by a departmental committee composed of academic appointees with sufficient knowledge in the field of expertise of the candidate. In addition, the department will make reasonable efforts to ensure that a qualified Unit 18 faculty member will participate in such review committees. All such service will be voluntary. If the review is conducted by an ad hoc committee rather than a standing departmental committee, the individual under review will be consulted concerning the Unit 18 faculty representation. If it is not practical to form a review committee within a department, the committee will be formed at the college level following established procedures.

Once all materials are assembled, and before the departmental review committee evaluates the file, the candidate will be provided an opportunity to inspect all non-confidential materials in the file, pursuant to [Article 10](#). The candidate may also, at this time, request redacted copies of the confidential materials in the file. The candidate will then have 5 days from the date materials are received, to submit an optional written statement in response to or commenting upon the materials. This statement would be added to the review file.

The departmental review committee evaluates the case file and makes a preliminary recommendation. This preliminary recommendation should accurately reflect all committee views, including those of dissenting members. The review committee will present its recommendation to the eligible Senate faculty within the department (voting faculty, as defined by the department's by-laws). The voting faculty will review the case file, discuss the committee's recommendation, vote on supporting the committee's recommendation, and provide additional analysis as appropriate. These comprise the department's final recommendation. Once the final department recommendation is complete, the candidate should be advised of the outcome and, upon request, provided a copy of the department letter. The candidate will have 5 days to submit an optional written statement in response to the departmental recommendation, which will be added to the file. The candidate will sign the Safeguard Statement within AP Folio, and the complete case file is sent to the office of the appropriate Dean.

The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. The case is then forwarded to the Associate Vice Chancellor (AVC) for Academic Personnel.

The AVC has approval authority for Excellence Review cases, and if they determine that additional review is necessary for proper evaluation, they may request that the Committee on Academic Personnel (CAP) review the case.

The final decision is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and CAP (in those cases where CAP is asked to review).

If the candidate's performance is deemed excellent and they achieve Continuing status, they will first be moved to the salary point on Table 16 that corresponds to their current pre-six salary. A minimum of 2 salary points shall be awarded from there as a merit increase.

Requests for reconsideration of a final decision will be governed by Red Binder I-10.

II-10  
**CONTINUING AND SENIOR CONTINUING LECTURER MERIT REVIEWS**  
(Revised **2/23**)

This section outlines the requirements for the Merit Review of a Continuing or Senior Continuing Unit 18 faculty. See Articles 7C, 7D, 22, and 43 of the MOU.

### **I. Eligibility**

Continuing Lecturer and Senior Continuing Lecturers are eligible for merit review every 3 years, with effective dates of July 1. Merit cases are due to the Dean's office by March 31. A Continuing appointee may request a 1-year deferral of the review. Such requests must be made via the department chair, to the Dean.

The department shall notify the eligible Unit 18 faculty in writing no less than 45 days prior to the date by which the review materials must be submitted. The notification requirements are outlined in [Article 43.B.2](#) and the appropriate notice templates on the AP website should be used:

- Continuing Lecturer [merit review template](#)
- Senior Continuing Lecturer [merit review template](#)

### **II. Criteria**

The standard for merit advancement for Continuing Lecturers is demonstrated excellence in assigned instructional duties, academic responsibility per Article 3 of the MOU, and other assigned duties.

The standard for merit advancement for Senior Continuing Lecturers is demonstrated exceptional performance in assigned instructional duties, academic responsibility per Article 3, and other assigned duties.

Per [Article 43](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work; and
- For Senior Continuing Lecturers: Exceptional instructional performance would include introducing new teaching practices into the course(s)

### **III. Documentation of Performance**

The following review materials are required:

- Current CV or bio-bibliography
- A self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities
- ESCIs (*Spring 2024 and earlier*) or SET reports (*Summer 2024 and later*) and written student evaluations
- Term-by-term enumeration of the number and types of courses taught

See [Article 43.C](#) for other, optional review materials that may be submitted and used in the review.

### **IV. Review Procedure**

Once all materials are assembled, and before the departmental review committee evaluates the file, the candidate will be provided an opportunity to inspect all non-confidential materials in the file, pursuant to [Article 10](#). The candidate may also, at this time, request redacted copies of the confidential materials in the file. The candidate will then have 5 days from the date materials are received, to submit an optional written statement in response to or commenting upon the materials. This statement would be added to the review file.

The departmental review committee evaluates the case file and makes a preliminary recommendation. This preliminary recommendation should accurately reflect all committee views, including those of dissenting members. The review committee will present its recommendation to the eligible Senate faculty within the department (voting faculty, as defined by the department's by-laws). The voting faculty will review the case file, discuss the committee's recommendation, vote on supporting the committee's recommendation, and provide additional analysis as appropriate. These comprise the department's final recommendation. Once the final department recommendation is complete, the candidate should be advised of the outcome and, upon request, provided a copy of the department letter. The candidate will have 5 days to submit an optional written statement in response to the departmental recommendation, which will be added to the file. The candidate will sign the Safeguard Statement within AP Folio, and the complete case file is sent to the office of the appropriate Dean.

The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. The Dean has authority on merit cases. For individuals appointed at the College level, the Associate Vice Chancellor (AVC) for Academic Personnel has authority for the merit review.

The normative advancement for merit reviews for Continuing Lecturers is 2 salary points, which shall be awarded if the candidate's performance has been deemed "excellent".

The normative advancement for merit review for Senior Continuing Lecturers is 3 salary points, which shall be awarded if the candidate's performance has been deemed "exceptional".

Requests for reconsideration of a final decision will be governed by Red Binder I-10.

II-11  
**PROMOTION TO SENIOR CONTINUING LECTURER**  
(Revised **2/24**)

This section outlines the requirements for the Promotion Review of a Continuing Unit 18 Lecturer to Senior Continuing Lecturer. See Article 7D and Article 43 of the MOU.

### **I. Eligibility**

In order to be eligible for promotion to Senior Continuing Lecturer, a Continuing Lecturer must have received at least 2 consecutive positive merit reviews as a Continuing Lecturer in the same department. Upon the third normative merit review (minimum of 9 years after achieving Continuing status), a Continuing Lecturer may request a promotional review. This request must be submitted *in writing* to the department chair or equivalent.

### **II. Criteria**

The standard for promotion to Senior Continuing Lecturer is demonstrated exceptional performance in assigned instructional duties, academic responsibility per Article 3 of the MOU, and other assigned duties. Evaluation of academic qualifications for promotion will be based on the candidate's broad-ranging instructional contributions and how they have greatly enhanced the academic mission of the University.

Length of service and continued excellent performance as a Continuing Lecturer alone are not justification enough for promotion.

Per [Article 43](#), instructional performance shall be evaluated according to the following criteria, as demonstrated by the materials in the review file:

- Dedication to and engagement with teaching;
- Command of the subject matter and continued growth in mastering new topics;
- Organizing and presenting course content effectively and with demonstrated learning outcomes;
- Setting pedagogical objectives appropriate to the course topic, level, and format;
- Responding to student work in ways commensurate with student performance, course topic, level, and format;
- Awakening in students an awareness of the importance of the subject matter;
- Inspiring interest in beginning students and stimulating advanced students to do complex work;
- Developing pedagogically effective assignments, lecture slides, lesson plans, exams, and/or other course materials and/or prompts for student work; and
- Exceptional instructional performance would include introducing new teaching practices into the course(s)

### **III. Documentation of Performance**

Once a Continuing Lecturer provides their written request to be considered for promotion, the department shall notify the candidate in writing, no less than 45 days prior to the date by which the candidate's review materials must be submitted to the department. The notification requirements are outlined in [Article 43.B.2](#) and the [notice template](#) on the AP website should be used.

The following review materials are required:

- Current CV or bio-bibliography
- A self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities
- ESCIs (**Spring 2024 and earlier**) or SET reports (**Summer 2024 and later**) and written student evaluations
- Term-by-term enumeration of the number and types of courses taught
- Solicited, confidential extramural letters of evaluation (see Section IV below)

See [Article 43.C](#) for other, optional review materials that may be submitted and used in the review.

The Senior Continuing promotional review will be based on performance since achieving Continuing Lecturer status.

#### **IV. Extramural Evaluations**

As part of the review file for promotion to Senior Continuing Lecturer, departments must submit five or more letters of recommendation. Departments should strive to ensure that at least half the letters submitted with the case come from references chosen by the Chair in consultation with the department, but independent of feedback from the candidate and without consulting the candidate. These letters may be of two types:

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

Both types of letters are subject to the same redaction and confidentiality policies as extramural letters.

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

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

#### **V. Review Procedure**

Once all materials are assembled, and before the departmental review committee evaluates the file, the candidate will be provided an opportunity to inspect all non-confidential materials in the file, pursuant to [Article 10](#). The candidate may also, at this time, request redacted copies of the confidential materials in the file. The candidate will then have 5 days from the date materials are received, to submit an optional written statement in response to or commenting upon the materials. This statement would be added to the review file.

The departmental review committee evaluates the case file and makes a preliminary recommendation. This preliminary recommendation should accurately reflect all committee views, including those of dissenting members. The review committee will present its recommendation to the eligible Senate faculty within the department (voting faculty, as defined by the department's by-laws). The voting faculty will review the case file, discuss the committee's recommendation, vote on supporting the committee's recommendation, and provide additional analysis as appropriate. These comprise the department's final recommendation. Once the final department recommendation is complete, the candidate should be advised of the outcome and, upon request, provided a copy of the department letter. The candidate will have 5 days to submit an optional written statement in response to the departmental recommendation, which will be added to the file. The candidate will sign the Safeguard Statement within AP Folio, and the complete case file is sent to the office of the appropriate Dean.

The Dean of the appropriate college makes an analysis and recommendation based on the materials and recommendation submitted by the department. The case is then forwarded to the Associate Vice Chancellor (AVC) for Academic Personnel.

The AVC has approval authority for Senior Continuing Lecturer promotion cases, and if they determine that additional review is necessary for proper evaluation, they may request that the Committee on Academic Personnel (CAP) review the case.



The final decision is based on the documentation presented in the departmental file, as well as the recommendations of the Dean and CAP (in those cases where CAP is asked to review).

If a Continuing Lecturer is promoted to Senior Continuing Lecturer, a minimum of 3 salary points will be awarded. Once promoted, a Senior Continuing Lecturer will be eligible for merit review at least once every three years, and will continue to be reviewed under the standard of “exceptional”.

If a Continuing Lecturer is not promoted to Senior Continuing Lecturer, the candidate will still be assessed for merit as a Continuing Lecturer under the standard of “excellent”. A Continuing Lecturer may request another promotional review at their next normative merit review.

Requests for reconsideration of a final decision will be governed by Red Binder I-10.

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

(Revised 5/24)

*All personnel review cases are submitted via AP Folio*

**I. Departmental review committee letter of recommendation**

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

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

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

- Have all letters been coded, on all copies?
- If the letters were sent via email, is a copy of the email and any attachment included?
- Was the proper wording used in the solicitation letter (Red Binder I-50)?
- If different versions of either the letter or the materials went out, is a sample of each included?
- Is a Coded list of referees, along with a brief biography of each included with the case?
- Do the codes on the letters match the codes on the list and the codes used in the departmental letter?
- Does the list clearly indicate if the referees were candidate suggested, department suggested, or independently suggested by both?
- Is a copy of the redacted letters given to the individual included?

**III. Complete CV**

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

**IV. Self-assessment of other accomplishments and activity**

- Has the self-reflection/self-statement/self-evaluation of the candidate's performance, teaching objectives, and teaching activities been included in the case?

**V. Safeguard Statement**

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

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

**VI. Evaluation of the teaching record.**

At a minimum, two sources must be included in the case. *For Spring quarter 2024 and earlier* ESCI summary sheets and scores for questions A and B are mandatory. *For Summer 2024 and later, complete SET reports are mandatory*

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

VII. **Other Materials submitted by the candidate**

- Are all materials identified as candidate submitted?
- Were all materials considered and evaluated as part of the departmental review?
- Have all links to supporting documents been verified?

II-28  
**VISITING PROFESSOR**  
(Revised 9/18)

**I. Definition**

The Visiting prefix is used to designate one who:

1. Is appointed temporarily to perform the duties of the title to which the prefix is attached; and
2. Either has held, is on leave from, or is retired from an academic or research position at another educational institution; or whose research, creative activities or professional achievement makes a visiting appointment appropriate.
3. Fits both of the above criteria and is appointed through Summer Session. Summer Session Visiting appointments are covered by separate policies and procedures (Office of Summer Sessions Summer Visiting Faculty Appointment and Review Policies and Procedures, June 12, 2001)

See APM 230 for System-wide policy on Visiting titles.

**II. Appointment Criteria**

A Visiting Professor who is on leave or retired from another institution, will normally be appointed at the same rank and step as the individual's title at the home educational institution.

The criteria for evaluation shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of IV below.

Appointment of an individual who has never held a comparable academic or research position elsewhere is subject to CAP review and the approval of the Associate Vice Chancellor for Academic Personnel. Such appointment requests must meet the following criteria:

1. The appointee will have formal teaching responsibilities and will make identifiable contributions to the department through research and service.
2. Appointment as Visiting Associate Professor or Visiting Professor will require proof of professional achievements equivalent to those of UCSB faculty of the same ranks.
3. Appointments as Visiting Assistant Professor may be recommended for special fellowship programs for recent Ph.D.'s, such as the Mathematics Visiting Assistant Professor program or other national, UC, or local fellowship programs. Appointments also may be recommended to cover short-term faculty vacancies, such as those caused by retirements, leaves of absence, or temporary faculty administrative assignments. The appointee in such cases must participate in the research mission of the department and typically will contribute to the graduate program through teaching or related activities.

Appointment of an individual who does not either 1) currently hold a comparable academic or research position or 2) is retired from a comparable academic or research position will require an open search.

**III. Term of Appointment**

Each appointment or reappointment with a Visiting prefix shall not exceed one year. The total period of consecutive service shall not exceed two years.

In the case of Visiting Assistant Professor Programs in Mathematics or similar disciplines where curriculum-driven justification supports the need, the total period of consecutive service may be extended to three years.

If the appointee is later considered for transfer to a corresponding appointment in the regular series, the

proposal for such transfer shall be treated as a new appointment subject to full customary review.

**IV. Compensation**

The salary for a visiting position is negotiated. While the salary does not have to be on-scale on the corresponding regular series scale, the salary may not be below the minimum rate for the rank. For example, a Visiting Professor may not be paid below the Professor Step I rate. Because these salaries are negotiated on an individual basis, they are not subject to range adjustments. For travel expense reimbursement, see APM 230-20h.

Visiting appointments may also be made without salary.

**V. Appointment process**

Requests for appointment in the Visiting Professor series must include a Departmental letter of recommendation, a UCSB Biography form and either a CV or Bio-bibliography. The Departmental letter must indicate the courses to be taught, the pay rate, the term of the appointment and information concerning the individual's current academic appointment. The JPF# from UCRecruit should also be included if a search was conducted.

For reappointment as a Visiting Professor, evaluation of past teaching is also necessary. ESCI scores (*Spring 2024 and earlier*) or SET reports (*Summer 2024 and later*) and, if possible, student comments should be included with the request.

**VI. Restrictions**

1. An appointee with a visiting title is not a member of the Academic Senate.
2. Sabbatical leave credit may be accrued if the visiting position is immediately followed by employment as a faculty member in the regular ladder series (APM 740-11b).
3. Neither tenure nor security of employment is acquired, although eligible service with certain visiting titles is credited under the University's eight-year limit (APM 133).

**VII. Approval Authority**

Action

Authority

Appointments up to 6 quarters  
Beyond 6 quarters

Dean  
Associate Vice Chancellor

Appointments with no prior  
comparable academic appointment:  
    Initial appointment  
    Reappointment up to 6 quarters  
    Beyond 6 quarters

Associate Vice Chancellor  
Dean  
Associate Vice Chancellor

IV-3  
**ASSOCIATE INSTRUCTOR**  
(Revised 5/24)

There is no APM section describing this title. Appointments into this title are governed by the Memorandum of Understanding between the University and the UAW. At UCSB, the application of this policy is outlined in the following:

**I. Definition**

An Associate Instructor (Job Code: 1506) is a registered UC graduate student in full-time residence, employed temporarily to give independent instruction of a course.

**II. Appointment Criteria**

- A. The basic criteria for appointment are embodied in the definition of the Associate Instructor series. In addition, appointees to the Associate Instructor title are subject to all eligibility requirements listed in Red Binder IV-1.
- B. Appointees must be within the Departmental and Graduate Council approved number of years for both advancement to candidacy and degree completion as specified in Academic Senate Regulation 350A.
- C. Appointees must hold a Master's degree, or be advanced to candidacy, and have at least one year of teaching experience.
- D. An Associate Instructor should be competent to conduct independently and without supervision the entire instruction of a course.

**III. Terms and Conditions of Employment**

- A. Appointments as Associate Instructor are subject to the Limitations on Service as described in Red Binder IV-1 General Information.
- B. Normally an Associate Instructor will conduct the entire instruction of a course. Associate Instructors may not be assigned an upper-division undergraduate course without the approval from the Committee on Courses and General Education (CCGE) and may not teach a graduate course without approval from the Graduate Council.
- C. Associate Instructors may not evaluate fellow graduate student appointees (i.e., Teaching Assistants). For courses in which Teaching Assistants are appointed, a specific faculty member must be named to be responsible for evaluation and mentorship of the Teaching Assistants.
- D. This appointment does not imply the responsibility of engaging in research.
- E. Associate Instructors who are assigned as Instructors of Record will normally receive a 50% appointment for a regular academic course.

**IV. Personnel Actions**

- A. Appointment requests that include an exception to employment policy (see RB IV-1, IV.) must include the Exception to Employment Policy Form endorsed by either the student's Home Academic Department or the Graduate Division.
- B. Appointment packets must be submitted to the Dean of the Graduate Division at least eight weeks in advance of the beginning of the teaching quarter. Packets will be routed for additional review and endorsement as required:

Dean, Graduate Division: Academic Eligibility, Quarters of Service, and Exception to Policy

Academic Senate (CCGE or Graduate Council): Teaching of an upper-division undergraduate course or graduate-level course

College Dean: Final approval

Academic Personnel: Final approval for appointments in the College of Creative Studies and Bren School of Environmental Science & Management and post-audit of all appointments

- C. Appointment packets should include the following:
- Associate Appointment Form
  - UCSB Biography form with initial appointment in department
  - Teaching Evaluations and ESCIs (*Spring 2024 and earlier*) or *SET reports (Summer 2024 and later)* from the following:
    - Appointee's three most recent quarters as TA
    - Appointee's ESCIs (*Spring 2024 and earlier*) or *SET reports (Summer 2024 and later)* from any offerings as TA of the same course as the proposed Associate Instructor appointment
    - All courses taught as an Associate Instructor
  - Graduate transcript
  - Current CV
  - Course Syllabus
  - Request for Exception to Employment Policy Form, if applicable
- D. Appointments are established only by the issuance of the Written Notice of Appointment letter (WNA) per the Appointment Notification Article of the MOU. WNA templates are available on at:  
<https://ap.ucsb.edu/resources.for.department.analysts/graduate.student.appointments/>
- E. Hiring Departments shall issue the WNA and supplemental documentation no less than thirty calendar days before the start of appointment, or as soon as possible in cases in which positions become available following the start of the academic term.
- F. The graduate student employee must confirm their acceptance of the offer by signing and returning the WNA on or before the first day of employment or by the date specified by the department, if earlier. Upon receipt of the acceptance, the Hiring Department may enter the appointment in UCPath.
- G. The Hiring Department shall retain copies of the WNA and supplemental documents in the appointee's employment file.
- H. Any changes to the appointment must be communicated to the appointee in writing.

## V. **Supervision and review**

The selection, supervision and training of all student-teachers is an important responsibility of the teaching department, and in particular of the department chairperson. All candidates for appointment and reappointment should be subject to careful review and recommendation, either by the department as a whole or by a responsible committee. In order to ascertain the quality of the Associate Instructor's work and to make improvements when necessary, regular review is necessary.

## VI. **Compensation**

- A. Individuals appointed to this title are generally compensated at an on-scale rate within the published Associate Instructor Salary Scale (Table 19) at the 1/9th rate. Hiring Departments may also provide salaries that exceed the maximum salary point.
- B. Prior Experience for salary scale placement:
- An Associate Instructor with at least six quarters of experience at 25% or higher at the same campus shall be placed at salary point 3 or higher, including when this

- threshold is met during a multi-quarter appointment
  - An Associate Instructor with at least six quarters of experience at 25% or higher and who has advanced to candidacy at the same campus shall be placed at salary point 5 or higher including when this threshold is met during a multi-quarter appointment
  - Prior experience includes teaching at UCSB as both Teaching Assistant and Associate Instructor, excluding Summer Session teaching appointments.
- C. Hiring Departments may establish their own criteria for placement above the salary point minimum as long as the criteria is applied consistently to all Associate Instructor appointments within the Hiring Department.
- D. Salaries are subject to an annual range adjustment as outlined in the MOU.
- E. A graduate student who is appointed as an Associate Instructor for 25% time or more during an eligible academic quarter will qualify for partial fee remission and payment of student health insurance.

## VII. Approval Authority

<u>Action</u>	<u>Authority</u>
All normal actions	Dean, College
Exceptions under RB VI-1, IV.A.	Chair, Home Academic Department
Eligibility and Exceptions under RB. VI-1, IV.B.	Dean, Graduate Division
Upper-Division, Undergraduate Courses or Graduate Courses	Academic Senate Committee on Courses and General Education Graduate Council
For appointments in The College of Creative Studies and the Bren School, All Post-Audits	Academic Personnel



VI-17  
**OTHER ADDITIONAL COMPENSATION**  
(Revised 4/23)

**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.

## **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 1/12<sup>th</sup> 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. Child Care Reimbursements**

Many early career grants, as well as the Chancellor's Initiative for Assistant Professor Infant Care, provide child care reimbursements. These may be processed as additional pay through the payroll system, using the earn code **CCA**.

## **~~IX~~.X. 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- 7  
**SUPPLEMENTAL INFORMATION ON ACADEMIC ADVERTISING**  
(Revised 2/24)

**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 Intercampus deadline of April 1 (APM 510).
12. The following 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. For the University of California's Affirmative Action Policy please visit: <https://policy.ucop.edu/doc/4010393/PPSM-20>. For the University of California's Anti-Discrimination Policy, please visit: <https://policy.ucop.edu/doc/1001004/Anti-Discrimination>.”

- As a condition of employment, you will be required to comply with the [University of California Policy on Vaccination Programs](#), as may be amended or revised from time to time. Federal, state, or local public health directives may impose additional requirements.

VIII-3  
**HELLMAN FELLOWS PROGRAM**  
(Revised 2/24)

The Hellman Fellows Program was established through a generous gift from the Hellman Family Faculty Fund of the Hellman Family Foundation. The fellowships are awarded annually and are intended to support the research and creative activity of promising Assistant Professors to assist in the successful attainment of tenure.

An annual call is issued during winter quarter for submission of applications. Awards are normally announced by the end of spring quarter.

**Eligibility:** Assistant Professors who will have served at least two years at rank by the time of award issuance are eligible to apply. Hellman Fellowships may not be received during the year an assistant professor is undergoing tenure review. The Hellman Fellowship is a one-time award.

**Nature of Support:** Awards may be used for such research-related expenses as research assistants, equipment, travel, or summer salary up to one ninth. All funds need not be spent in one year, but recipients must exhaust their funding ~~before~~ by the end of the summer (9/30) in the academic year they come under tenure review. All expenditures must relate to the project proposed in the Hellman application.

**Evaluation Criteria:** Awards are made without regard to the apparent timeliness or popularity of the field of study; preference will be given to research not substantially supported by other sources.

**Administration:** The program is administered by the Office of Academic Personnel. An advisory committee will be appointed to review the proposals and make recommendations to the Associate Vice Chancellor for Academic Personnel.