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 in 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.

B. 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, (c) professional activity, and (d) 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.

[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, or care of an ill family member.  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.]

C. 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, (c) professional activity, and (d) 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 his or her 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.

D. 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, (c) professional activity, and (d) 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 his or her 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.

E. 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.
F. Merit to Professor VI

___________ is being considered for advancement to 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. Advancement to 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: (1) scholarship or creative achievement, (2) University teaching, and (3) University and public service and (4) professional activity. In addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching is required for advancement to this step.

G. 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 (1) whose work of sustained and continued excellence has attained national and international recognition, (2) whose teaching performance is excellent, (3) whose University and public service is highly meritorious and (4) whose professional activity is judged to be excellent.

H. 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.
J. Appointment to Lecturer PSOE

___________ is being considered for an appointment as a Lecturer with Potential Security of Employment in the Department of _________. Appointment to Lecturer with Potential Security of Employment within the UC System requires clear evidence of potential excellence in teaching and promise of future growth. Research and creative activity, although not required for Lecturer with Potential Security of Employment positions, is also reviewed when available.

K. Appointment or promotion to Lecturer SOE

___________ is being considered for (an appointment as/ promotion to) Lecturer with Security of Employment in the Department of _________. Appointment (or promotion) to Lecturer with Security of Employment within the UC System requires clear evidence of teaching ability of exceptional quality, and promise of future growth. Research and creative activity, although not required for Lecturer with Security of Employment positions, is also reviewed when available.

L. Appointment or promotion to Sr. Lecturer SOE

___________ is being considered for (an appointment as/ promotion to) Sr. Lecturer with Security of Employment in the Department of _________. Appointment/promotion to Senior Lecturer with Security of Employment within the UC System requires teaching ability of exceptional quality and evidence demonstrated, in terms appropriate to this type of appointment, that the candidate has reached the level of professional achievement required of a professor. Research and creative activity, although not required for Senior Lecturer with Security of Employment positions, is also reviewed when available.

M. 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.

N. 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. Along with continued excellence in the area of teaching, promotion to the Senior rank requires service of exceptional value to the university. Service activities may include departmental or campus governance or activities that involve the candidate’s professional expertise in a context outside the University’s environment.

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

Last year you were kind enough to provide an evaluation of Professor ____________’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 Professor ____________’s current vita and publications to assist in your update.