

Department Chairs' Academic Personnel Handbook



Fall 2020

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Deadlines for Departmental Submission of Merits and Promotions

Senate Faculty

Dean's Authority: November 9

Expanded Review: December 14

Researchers March 1

Continuing Lecturer April 1

Project Scientist,
Specialist April 1

Academic Coordinator May 1

Deadlines for Faculty Appointment cases

UC Intercampus Recruitments April 1

AAU Recruitments April 30

The Red Binder is periodically revised. Please refer online at <https://ap.ucsb.edu/policies.and.procedures/red.binder> for the current versions of the sections listed below.

Section I: Ladder Rank Faculty and Other Academic Senate Titles

Section II: Temporary Teaching Titles

Section III: Temporary Research Titles

Section IV: Student Academic Titles

Section V: Other Academic Titles

Section VI: Leaves and Compensation

Section VII: Academic Searches

Section VIII: Fellowships and Special Programs

Section IX: Policies on Access and Conduct

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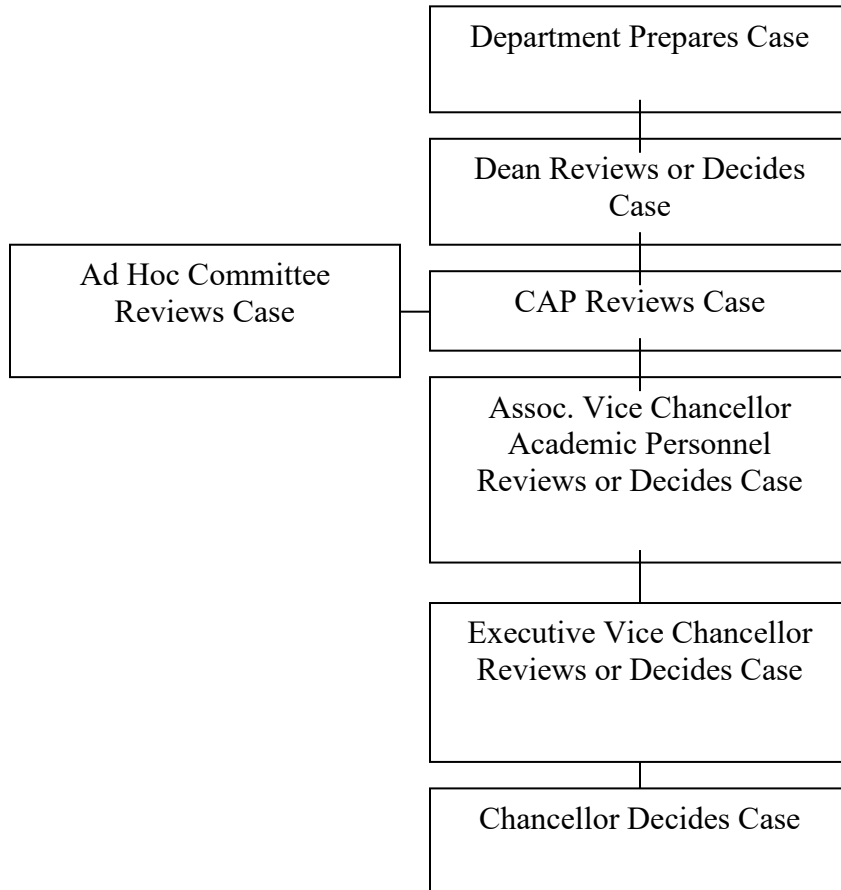
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Senate Faculty Case Review Process



Tips on Preparation of Senate Faculty Appointment Files

General

(Red Binder I-14 Faculty Appointments, and I-75 Appointments and Advancements)

- Begin academic recruitments as early as possible.
- Alert the Academic Personnel Office and the Dean's Office in advance of submission of the appointment case if any special handling will be required.
- Adhere to the UC deadline of April 1 and the AAU deadline of April 30 for offers effective in the upcoming academic year.

In the departmental letter:

(Red Binder I-35 How to Write a Department Letter)

- Enumerate the final vote, e.g. "17 yes, 2 no, 3 abstentions."
- Account for any negative faculty votes or opinions.
- Discuss and include justification for the proposed salary.
- Avoid excessively quoting outside evaluators' comments. Reviewing agencies have access to the letters.
- Assess the candidate's contribution to any collaborative work, including the significance, if any, of the order of authorship.
- Recognize that few campus reviewers will have expertise in the candidate's field. Arguments advanced on behalf of the candidate must be made in plain English. Avoid disciplinary jargon.
- Discuss the significance of awards and honors, including their relative importance within the discipline.
- Provide specific justification for the recommended rank, step, and salary.

External letters:

(Red Binder I-46 Guidelines for Letters of Evaluation)

- Placement files are appropriate for entry-level assistant professor appointments.
- Appointments at Assistant Professor IV or V should preferably also include independent letters solicited by the department.

- A minimum of six analytical letters is required for appointments to tenured positions; at least half should come from letter writers suggested by the department.
- The sample wording in the Red Binder for soliciting external letters must be used. Any modifications must have the prior approval of Academic Personnel.
- Chairs may contact external letter writers in order to urge them to respond, but great care must be taken to avoid biasing or influencing their judgment.

Tips on Preparation of Senate Faculty Merit and Promotion Files

General:

(Red Binder I-2 Deadline Dates, I-4 Eligibility, Deferral and Mandatory Review, and Review, and I-75 Appointment and Advancement)

- Notify faculty well in advance of their eligibility for advancement or promotion and of departmental deadlines for submission of materials.

In the departmental letter:

(Red Binder I-35, How to Write a Departmental Letter)

- Enumerate the final vote, e.g. "17 yes, 2 no, 3 abstentions."
- Account for any negative faculty votes or opinions.
- Discuss and include justification for the proposed salary.
- Justify an acceleration or advancement to a special step.
- Avoid excessively quoting outside evaluators' comments. Reviewing agencies have access to the letters.
- Discuss teaching effectiveness (rather than merely listing courses taught). Acknowledge and discuss any problems related to teaching. Indicated which courses were evaluated on-line.
- Discuss any notable positive or negative changes in the research/professional trajectory.
- Assess the candidate's specific contribution to any collaborative work. Explain the significance, if any, of the order of authorship on collaborative works.
- Recognize that not all campus reviewers have expertise in the candidate's field. Write in plain English and avoid disciplinary jargon.
- Discuss the significance of awards and honors, including their relative importance within the discipline.
- Discuss contributions that promote diversity and equal opportunity in all areas of review.

External letters:

(Red Binder I-46 Guidelines for Letters of Evaluation)

- The sample wording in the Red Binder for soliciting external letters must be used. Any modifications must have the prior approval of Academic Personnel.
- A minimum of six analytical letters is required.
- Letters from faculty at other UC campuses are necessary for all promotions and career reviews. If none are included, the coded list must explain why.
- At least half the letters included with the case should come from letter writers independently chosen by the department.
- Chairs may contact external letter writers in order to urge them to respond, but great care must be taken to avoid biasing or influencing their judgment.

Bio-bibliography:

(Red Binder I-27 Instructions for Completion of the Biobib)

- Proper formatting must be followed with respect to all updates made since the candidate's last review.
- Assure that all electronic links to publications and other supporting materials are functioning links.

Retention cases:

(Red Binder I-44 Retentions)

- Inform the Dean and AVC of potential retention cases as soon as possible.
- Include a copy of the outside-offer letter

Deans Authority and Expanded Review Cases

Dean's authority

- On-schedule merit advance to:
 - Assistant Professor/Lecturer PSOE III and IV
 - Associate Professor/Lecturer SOE II and II
 - Professor/Sr. Lecturer SOE II-V and VII-IX
- Decelerations of any of the above, including mandatory reviews
- Assistant Professor and Lecturer PSOE deferral requests

Expanded Review: (require CAP review, AVC or Chancellor authority)

- Formal Appraisal
- Terminal Appointments
- Promotion to Associate Professor or Lecturer SOE
- Promotion to Professor or Sr. Lecturer SOE
- Merit to a Special Step (Asst V or Assoc IV)
- Merit to Professor Step VI
- Merit to or within Professor Above Scale or Sr. Lecturer SOE Above Scale
- No change recommendations
- All accelerated actions
- Career Equity Reviews

Suggested Time Line for Departmental Personnel Reviews for Senate Faculty cases

Spring

- April 1: Eligibility List available to departments

Chairs and Analysts plan for coming cycle:

- Chairs talk with eligible colleagues
- Faculty update bio-bibs and provide copies of new publications, etc.
Departments are strongly encouraged to set Spring targets for bio-bib updates.
- Departmental ad hoc committees, case supervisors, etc., appointed according to dept. procedures
- Requests for extramural evaluation sent to potential reviewers
Career review cases require a minimum of six letters. At least three should come from referees chosen by department independently of candidate; letters from UC faculty required. External letters should be solicited in Spring.
- Fall personnel meetings scheduled and announced

Summer

- Candidate's materials sent to external reviewers:
Departments must require career-review candidates to provide materials for external reviewers in a timely fashion so that materials can be sent out in Summer.
- Suggested deadline for external reviewers: Oct 15 - Nov 1
Six to eight weeks should be sufficient for reviewers to provide evaluations, particularly if reviewers have been lined up in the Spring.

Fall

September 15

- Campus-wide cut-off date.
Bio-bib items submitted after Sept 15, the campus-wide default date, will count in next review period. Any department may establish an earlier deadline. Departments will assure faculty members who meet their responsibility to submit their personnel cases in a timely way that the Department will meet its responsibility to submit their cases on time.
- Automatic deferral by default for tenured faculty
An eligible tenured faculty member who has not submitted materials by September 15 AND whose department has not submitted a case by the Fall deadlines will be regarded as having deferred by default. The Chair will not have to secure a signed deferral statement.
- Assistant Professors and Lecturers PSOE must request deferral

September 15 – November 12: Dean's Authority cases completed

- Departmental review and vote on Dean's Authority cases.
- College Analysts work with departments to ensure that cases are complete when submitted.
Dean's Authority cases are indeed "routine" and the department letter may consist of a single page of succinct analysis so long as all four areas of review are dealt with. The department letter should not simply repeat information from the bio-bib. A comment on professional activity, for example, might consist of a single sentence noting that the bio-bib indicates excellent professional activity.

- November 12: Dean's Authority cases and list of deferrals due to colleges

November 13 – December 9: Expanded Review cases completed

- Outside letters analyzed in department
 - If one or more outside letters has not yet been received, the department may either proceed with the letters in hand or may request an extension for the purpose of securing a full complement of letters. Chairs should be able to demonstrate that the letters were requested in a timely fashion.*
- College Analysts work with departments to ensure that cases are complete when submitted.
- Departmental review and vote on Expanded Review cases
- December 9: Expanded Review cases due to colleges

Post December 9 tasks for departments:

- Respond to minor clean-up operations requested by college analysts
- Respond to any reviewing agency requests for more information

Specific Issues

Advancement within-step

Campus policy allows for a maximum of two within-step increases--that is, an increase in the off-scale supplement without a corresponding advancement in step (e.g. Prof I to Prof I o/s). Within-step increases may be justified in some circumstances, but chairs should take into account the impact of the increase when the time comes to recommend the next advancement in step. This is especially the case when advancement to the next step occurs soon after the last within-step increase. For example, a faculty member advanced from Prof V to Prof V o/s as of 7/1/20 and then to Prof VI as of 7/1/21 may be recommended for less than the normative salary action to account for the incremental increase as of 7/1/20. Within step advancement may not occur earlier than the normative time at step. For example, a faculty member advanced from Prof IX may not be advanced to Prof IX o/s before having spent 4 years at step.

Deferrals

An academic employee eligible for review who has not submitted the necessary review materials by the date set by the department and whose case is not submitted to reviewing agencies by the campus deadlines will be considered to have deferred by default. No signed statement of deferral is needed with the exception of Assistant Professors, Lecturers PSOE, and Academic Researchers who are required to formally request deferral.

Mandatory Reviews

If a Senate faculty member or other academic employee due for a mandatory, fifth-year review has not provided updated information by the established deadlines, the department will conduct the review with whatever information it has in hand.

Requests for Extensions

Requests for extension of the case submission deadlines should be rare. They should be addressed by email to the AVC for Academic Personnel with copies to both the relevant dean and the college analyst. Requests should be made before deadlines arrive. They should make clear what circumstances require an extension to be granted and how and when these circumstances will be met. Any extension will be brief.

Requests for Reconsideration

Unsuccessful cases sometimes lead to requests for reconsideration. Such requests require either new documentation relating to accomplishments already in place before the cut-off date or evidence that the decision was not based on a fair evaluation of the materials submitted (RB I-10). Under no circumstances can a request for reconsideration and a new personnel action be pending simultaneously.

Faculty Retentions

The questions below are intended to stimulate thinking about the complicated issues that surround retentions. They should not be addressed point by point in the departmental recommendation

Record and Achievement

- 1) Does the faculty member's research program influence other research on campus (e.g., collaborations, interdisciplinary, and multidisciplinary research)?
- 2) Do the teaching, research, professional and public service contributions of the faculty member promote diversity and equal opportunity on campus?
- 3) In fields in which outside research funding is the norm, does the faculty member raise enough money to support his/her research program?
- 4) Has the faculty member displayed a pattern of accelerated advancements?
- 5) Does this faculty member frequently entertain outside offers? Is there reason to think a salary increase equivalent to the current outside offer will end the cycle of retention battles?

Potential and Estimate of Loss

- 1) What does the faculty member's scholarship contribute to the national and international standing of his/her discipline and to UC Santa Barbara's strengths? If the faculty member were to resign would you seek to replace him or her? Is he or she the only person on campus in the field?
- 2) In terms of importance to the campus, is the candidate for retention worth two or more junior faculty?
- 3) How would losing the faculty member affect recruiting graduate students? Would the loss of the faculty member tempt colleagues to leave?
- 4) How do you estimate the faculty member's potential in terms of research, teaching, and campus leadership?
- 5) Does the candidate meet the standards of "collegiality" set forth in the APM and the AAUP Statement of Ethics?

Analysis of Competing Offer

- 1) Is the offer from a peer institution? If not, what are the grounds for responding? Does the offer include or consist of an administrative position? Does the salary offer include a stipend or the equivalent for the administrative function?
- 2) Is the offer for a tenured or non-tenured position? Is the salary paid over a fiscal (12 months) or academic (9 months) year? The UC standard for converting from FY to AY is 86% of salary (multiply the FY salary by .86 to get the AY equivalent).
- 3) Is the offer from a non-academic institution or organization?
- 4) Is the offer from a non-U.S. institution? If so, consider the currency conversion rate and any other factors that might impact a "comparable" counter-offer.
- 5) Are there spousal or partner consequences for UCSB. For example, will the loss of the faculty member entail the loss of a faculty member in another department/program/school?

Active Service Modified Duties for Academic Senate Faculty

Active service-modified duties is a period during which normal university duties are reduced so that a faculty member may prepare for and/or care for a newborn child or a child under age five (5) newly placed for adoption or foster care. ASMD should generally reflect a 50% reduction of duties, although that may be difficult to quantify. University policy is purposefully vague regarding specifics so that reduced duties may vary as needed in each specific situation. While variability exists in the exact reduction of duties, it is important that ASMD be made available equitably to all faculty who qualify. Department Chairs should strive to meet the needs of the faculty member to the extent possible, while assuring that there is continued engagement by the faculty member with the department and campus during the period of ASMD. The following provides guidance regarding possible ways to reduce duties.

Teaching

Often ASMD will involve a reduction in the formal teaching load for the period of ASMD. This should be a reduction in the annual teaching load; the faculty member may not be required to shift all or part of the assigned teaching load to another quarter. When ASMD is being combined with childbearing leave during a single quarter, teaching reduction often makes sense because the period of childbearing leave is a full release from duties and teaching a course for only a portion of the quarter may be disruptive to all involved. Situations may arise where a reduction in the formal teaching load is not included in the accommodation, for example if the ASMD occurs during a quarter that is a non-teaching quarter, or if the faculty member requests to have teaching as the on-going activity during the period of ASMD. Faculty often have a reduction in the formal teaching load but continue to advise graduate students or oversee independent study work.

Service

Service commitments may be reduced during a period of ASMD, particularly if a heavy service load was scheduled for the quarter. Often service commitments continue as they may have more flexibility and less stringent time requirements than formal teaching.

Research

Faculty often continue research involvement during a period of ASMD, however there may be ways in which this area is reduced. Direct oversight of daily activity may be handled by a co-PI or other senior member of the lab or travel may be delayed, resulting slowed research activity. Reductions in this area will be very specific to the faculty member and research goals involved.

Professional Activity

Faculty often continue professional activity during the period of ASMD, however there may be reductions in this area as well. The faculty member may need to travel less during the period of ASMD, or not take on major projects and commitments.

Reductions in activity during a period of ASMD cannot be counted against a faculty member in future advancement reviews. Faculty at the Assistant Professor/Lecturer PSOE level may want to consider requesting an extension of the tenure clock during this time. Extension of the clock does not limit the possibility of advancement on the pre- extension schedule, but it allows for extra time to compensate for the period of reduced activity. In future reviews, the department should provide the context of the periods of ASMD and/or clock extension and may not penalize the faculty member for the reduced activity during this period.

Timing of ASMD

In most cases ASMD is taken in full quarter increments, however, it is possible for ASMD to be for a partial quarter, most commonly when combined with childbearing leave. It is also possible for a non-

birth parent to take ASMD starting at a time other than the beginning of the quarter, but as a practical matter it is generally more straightforward to take a full quarter at a time, particularly if teaching is the area of reduced duties. Neither leaves nor ASMD may be taken during the summer because it is not an academic-year term. A mother giving birth during the summer may have fall quarter as a partial childbearing /ASMD, or fully ASMD, depending on the timing of the birth.

Requesting ASMD

Requests for ASMD are submitted by the faculty member via the leave module in AP folio on the Academic Personnel web site. The request must include the period of ASMD, the reason for the ASMD request, and a description of the duties to be reduced during the period. The request will be routed to the Department Chair for additional comment as they see fit, then to the Dean for final approval. A decision notification will be sent directly to the faculty member at the end of the approval process. Faculty needing assistance with submission of a request should contact their departmental business officer or academic personnel analyst/assistant. Policy questions may also be directed the College or Academic Personnel Office analysts.