

# Merit Review Process & Red Binder Updates

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Comprehensive Overview for Department Chairs

# Department Notifications and Deadlines

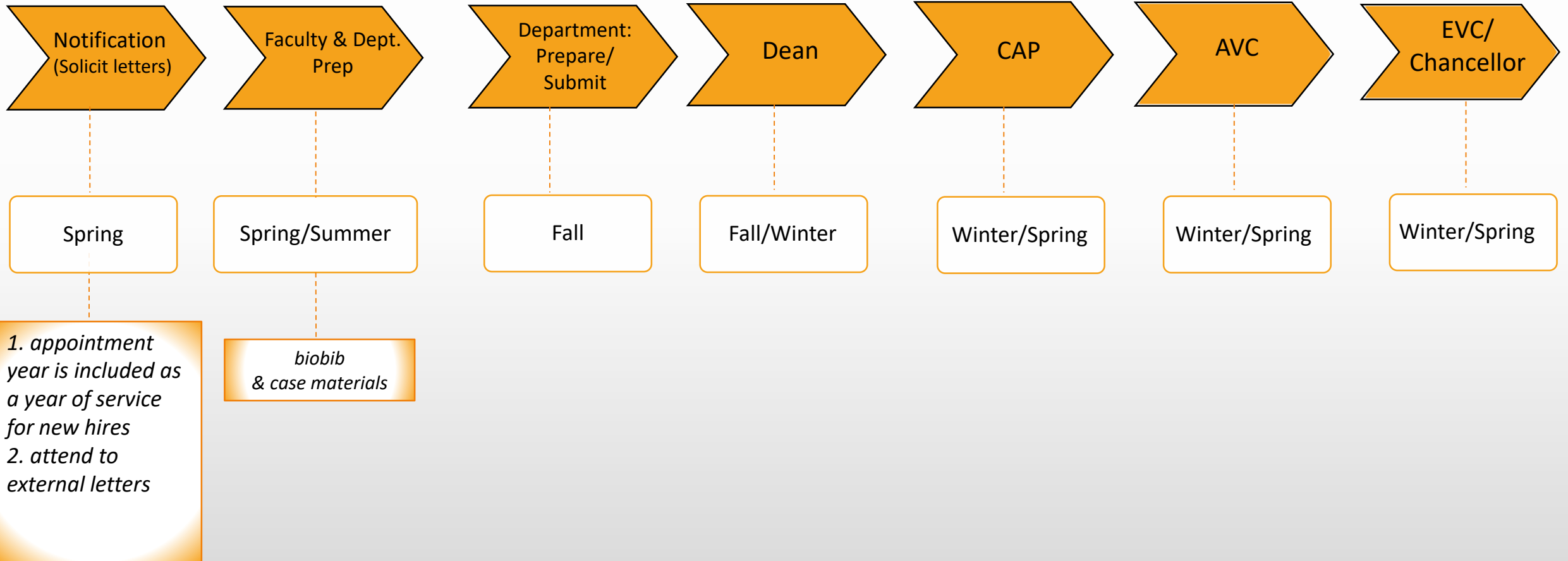
## (Red Binder I-2)

- Notification of Eligibility for Merit & Promotion (RB I-4)
  - Early April
- Dean's Authority Cases: 2<sup>nd</sup> Monday in November
  - This year: November 13, 2023
    - One-step advances at Assistant/LPSOE & Associate/LSOE level with up to 1/2 step in additional off-scale
    - One-step advances at Professor/SLSOE
- Expanded Review Cases: 2<sup>nd</sup> Monday in December
  - This year: December 11, 2023
    - Basically, everything else:
      - Formal appraisal, promotions, advancement to P-VI & Above Scale, advancement to special steps, accelerations (except as noted in RB I-30), reductions in off-scale, terminal appt

## Note: Eligibility has changed (RB I-4)

- Any change in rank, step, or off-scale resets eligibility
- Only 2 possible exceptions, in rare cases:
  - Promotion from Assistant Professor/LPSOE to Associate Professor/LSOE
  - Promotion from the special step (Asst/LPSOE V, Assoc/LSOE IV)
    - Must meet exceptional requirements detailed in RB I-36 & RB I-37

# The Review Process: In Brief



# The UC Step System

ASSISTANT PROFESSOR (8 year limit, non-tenured)		ASSOCIATE PROFESSOR (6 years standard, tenured)		PROFESSOR (indefinite, tenured)		ABOVE SCALE
<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	<u>Step</u>	<u>Normal period of service</u>	Normal period of service: 4
<del>I</del>	<del>2 (not used at UCSB)</del>					
II	2					
III	2					
IV	2					
V	2 (special, overlapping)	I	2			
<del>VI</del>	<del>2 (not used at UCSB)</del>	II	2			
		III	2			
		IV	3 (special, overlapping)	I	3	
		<del>V</del>	<del>3 (not used at UCSB)</del>	II	3	
				III	3	
				IV	3	
				V	3	
				VI	3 (barrier step)	
				VII	3	
				VIII	3	
				IX	4	

# The Many Roles of a Department Chair

- Serve as the liaison between faculty members and the dean (and other reviewing agencies)
- Provide mentoring for faculty, especially junior faculty
  - Consult with faculty who are eligible for review; think proactively about the trajectory of case (e.g., will this be an acceleration that will require letters that otherwise would not be needed)
- Ensure personnel processes is fair, consistent, and efficient
- Ensure that department and university policies are followed
  - Work with faculty to confirm that all materials, including biobib, are accurate and updated
    - Biobib templates for Professor Series and LSOE Series on the AP website under “Forms”
- Enforce deadlines

# Foundation for Success

- Understand and adhere to the steps in the personnel review process. There have been significant changes this year.
  - *See Red Binder I-22: Departmental Checklists for Academic Advancement*
- Understand the format & content of the Biobib
  - *See Red Binder I-27: Instructions for Completion of the Biobib*
    - remind faculty it is each member's responsibility to appropriately & accurately maintain their biobib
- Understand appropriate justifications for accelerations
  - *See Red Binder I-36: Accelerations*

# Foundation for Success cont.

- Understand the advancement and review process
  - *See Red Binder I-75: Appointment and Advancement*
- Understand Dept bylaws and ensure up-to-date for Prof & Teaching Prof
- Follow guidelines for external reviewers and associated materials, when relevant
  - *See Red Binder I-46, I-48, I-49, I-50, and I-51 for important updates and clarifications*
  - Although external letters not required for advancement to Professor VI, faculty should submit CVs with cases to P-VI



# Chair Responsibilities

## (Red Binder I-22)

- *Stay informed of your Department's bylaws, current RB policy, UC policy*
  - Notify candidate
  - Explain criteria for advancement
    - departmental, campus, and system-wide
  - Explain campus review process and UC policy on personnel records
    - Explain materials used by the department, campus, & UC in the review process (e.g., biobib, outside letters, etc.)
  - Provide Safeguard statement (RB I-26) and Advancement Checklist (RB I-22)
  - Notify candidate of due-date for all materials
    - Inform them of consequences for late submission of materials or submission of inaccurate/incomplete materials
  - Address any issues relevant to their particular case
    - Answer questions they may have

# Types of Cases to Consider

- Normative advancement
- Deferrals (Asst Prof/LPSOE requires memo and deferral case)
- Mandatory reviews
  - Faculty must undergo review a minimum of every 5 years
  - Specific actions, e.g. appraisal at Year 4, tenure review no later than Year 7
- Accelerations
  - If warranted, must be explicitly and separately justified
- Within-Step increases
  - Only if normative time has been served
- Career reviews
  - Promotion to Associate or Full; Advancement to P/SLSOE VI, Above Scale

# Areas of Review

## Professor Series

- **Research & Creative Activities**
- **Teaching & Mentoring**
- **Professional Activity**
- **Service**

## LSOE Series

- **Teaching & Mentoring**
- **Professional &/or Scholarly Achievement and Activity**
  - research credited here (*not* required)
- **Service**

- *Contributions to Diversity*

# Accelerations (RB I-36)

- Must meet the requirement for normative advancement
  - i.e., no deficiencies in any areas
    - *NOTE: Early accelerations in time not permitted*
- Can be apportioned in off-scale or in rank/step
- Must be justified by “compelling evidence”
  - Justification narrative provided in department letter
    - Can be provided in separate section

# Accelerations cont. (RB I-36)

- Only under rare circumstances will accelerations deviate from the following:
  - Professor Series: Particularly noteworthy achievement and/or impact in research/creative activities
  - Teaching Professor Series: Particularly noteworthy achievement well above high campus standards in teaching/mentoring
  - Extraordinary achievements in two or more areas of review
  - Prestigious new awards or other such evidence of peer recognition
  - Extraordinary achievements and activities in DEI, exceeding normative expectations
  - Extraordinary accomplishments in administrative service roles (non-career administrators) after the completion of a normative term (see also RB I-67)

# Accelerations cont.

- Above Scale reminders (RB I-43):
  - Accelerations in time are not permitted
    - minimum 4 years between advancements
  - 1 increment = 10% of the on-scale Step IX rate
  - 1½ increments: *extraordinary* achievements in 2+ areas of review
  - 2 increments: *extraordinary* achievements in ALL areas of review
    - ½ increment can be used only in rare and specific circumstances

# Formal Appraisals (RB I-38)

- Review during 4th year of service at the rank of Assistant Professor/LPSOE to assess “the prospects of candidates for eventual promotion to tenure”
  - May not occur if appointed at the higher steps of the Assistant rank
    - i.e. promoted to tenure by year 4 or earlier
  - Recommendations include:
    - Continued Candidacy
    - Continued Candidacy with Reservations
    - Termination

# Special Steps (Red Binder I-37)

## What are the special steps?

- Assistant/LPSOE V and Associate/LSOE IV, which are lateral to Associate I and Professor I

## When and why are they used?

- “...work that is likely to lead to promotion in the near future when completed, but ... not yet attained sufficient strength to warrant promotion.” For example...
- Advancement at the normative time is to Step II at the next rank, maintaining career progress
- To be used *only* when faculty have evidence of work that is near completion and once published/produced will be ready for promotion to the next rank
  - **Again, should be seen as a rare situation, with very specific criteria to qualify**



# Special Steps cont. (Red Binder I-37)

- Advancement from Assistant/LPSOE V
  - After 1 year at Step V: promotion to Associate/LSOE Step I (lateral, no additional o/s)
  - After 2 years at Step V: promotion to Associate/LSOE Step II (one step advance, potential for additional o/s)
- Advancement from Associate/LSOE IV
  - After 1-2 years at Step IV: promotion to Professor/Sr. LSOE Step I (lateral, no additional o/s)
  - After 3 years at Step IV: promotion to Professor/Sr. LSOE Step II (one step advance, potential for additional o/s)

# Chair Responsibilities, continued

- For career reviews, familiarize yourself with the process & expectations for external letters
  - Make note of the clarifications, updates, and changes to **Red Binder I-46: *Guidelines for Letters of Evaluation*** including:
    - elimination UC Familiar requirement
    - up to 3 letters submitted as part of the application (i.e., UC Recruit) are acceptable
    - necessary qualifications for external reviewers
    - explanation of conflict vs non-conflicted letter writer.
    - variations for LSOE letter writers and variations for LSOEs with a focus on professional practice (e.g., experts in professional roles that are not full profs).
    - necessary information and justifications for deviations that should be provided in coded list
    - specification that even those who decline or do not respond must be listed (with explanation if provided).

# Chair Responsibilities, continued

- For career reviews, explain process for external letters to your faculty
  - Compile list of outside reviewers
    - Carefully adhere to Red Binder I-46: Guidelines for Letters of Evaluation
    - 6 letters minimum
      - UC Familiar no longer required
    - Balance between department and candidate letters
      - Candidate and department derive list of names *independently*
    - Tenured faculty at distinguished institutions, preferably full professors, **non-conflicted**
      - No close collaborators or previous letter writers
  - Understand and advise the candidate on the materials to be sent to external reviewers (RB I-51 & Department Bylaws). **NOTE: clarified for Professor Series and updated Teaching Professor Series**
  - Solicit letters using appropriate RB template (RB I-49; RB I-50)
    - Include solicitation letter with case materials
  - Redact appropriately & provide candidate opportunity to request/review letters from external reviewers – if candidate requested letters

# More on External Letters

(Red Binder I-46, I-48, I-49, I-50, and I-51)

- **NOTE: Follow guidance regarding conflicted relationships which include:**
  - Advisor/Mentor or Student/Advisee
  - Close personal, family, or direct financial relationship
  - Current UCSB employee (except as appropriate with SOE cases)
  - Substantive collaboration in the last 4 years
    - Including co-authorship, grant collaboration, co-teaching, co-editorial work, etc
- **NOTE: External Letters for SOEs with a focus 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 *with appropriate justification on the coded list*
    - these practical expertise referees may, in exceptional circumstances, include former students *with distinguishing qualifications* who have had no relationship with the candidate in at least the past 4 years.

# Even More on External Letters

(Red Binder I-46, I-48, I-49, I-50, and I-51)

- Submit an accurate and complete Coded List of External Reviewers (RB I-48)
  - This is carefully scrutinized by reviewing agencies and can lead to requests for additional reviewers, or even failure to promote, if not properly documented
    - Description and other relevant info about reviewers belongs on the Coded List
    - *Justifications for deviations from external reviewer standards also must be provided on the Coded List*
- Do not provide potentially-identifying information about letter writers in the department letter
  - This can result in these letters being excluded from the case and the need to solicit additional letters. Instead, use the Coded List.
    - **NOTE:** updated examples & expectations on reporting in RB I-48

# Which Cases are Career Reviews?

- Promotion to tenure/SOE (Associate Professor/LSOE)
- Promotion to Full (Full Professor/SLSOE)
- Advancement to P-VI/SLSOE VI
- Advancement to Above Scale
  - Career reviews require additional time and consideration; anticipate the potential for accelerations to push case into a career review
- All but Step VI advancement require external letters
  - **Please Note:** Faculty member's CV covering full career accomplishments should be submitted in all Step VI cases

# Chair Responsibilities, continued

- **Running Department meetings:**
  - follow Department bylaws, UCSB policy, and UC policy
    - verify and adhere to voting procedures
    - report any anomalies
  - ensure eligible faculty have access to all pertinent information/materials
    - e.g., publications, teaching evaluations, self-assessments, external letters (if relevant)
  - thoughtfully consider self-assessments, DEI statements, COVID impact statements, when provided
  - help the department come to a realistic recommendation
  - plan ahead to ensure cases submitted on time

# The Department Letter

- Disciplinary expertise is the strength of the department's recommendation
  - an informed, balanced, and analytical department letter lends weight to the department's assessment
    - make the department's recommendation count
- *Dos & Don'ts* of a Department letter (See Red Binder I-35: *How to Write a Departmental Letter*)
  - DOs:
    - Include analysis, evidence, context, and justification (see also RB I-75)
      - provide thoughtful and thorough contextualization of accomplishments, in all areas of review
      - address influence, impact, prestige, importance, role, workload, etc. (as appropriate)
      - ensure all information is referenced in the biobib
    - Accurately reflect the overall recommendation of the department
    - Include the vote and present supporting and opposing views if 'no' votes are present



# *Dos & Don'ts* of a Department letter, cont.

- DOs

- Provide an accurate accounting of the teaching load and how it was met
  - Use the new template provided in RB I-35

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

## If applicable, incorporate the following:

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

# *Dos & Don'ts* of a Department letter, cont.

- DON'T:

- Don't address accomplishments from outside of the review period (except in career reviews, then only in career assessment)
- Don't address previously in-press or already credited items
- Don't over-advocate for the candidate; particularly in first reviews where there is less teaching, fewer service opportunities, etc.
- Don't use jargon or technical terms
- Don't simply duplicate content in self-assessments

# Common Mistakes in Department Letters/Cases

- Letter merely rehashes details already available in other case materials such as self-statements, rather than providing original, contextual assessment and analysis
- Reframing the period of review in a faculty member's first review since hire as an abbreviated period and evaluating accomplishments based on a "shortened" period
  - this is not how the accomplishments for the case will be evaluated by the Dean, CAP and beyond
- Mismatch between bio-bib and other case materials
  - e.g. self-assessment or department letter references items not present on bio-bib
- Not enough context provided for activities/achievements, e.g.:
  - role/workload associated with service or professional activities
  - significance of awards/prizes, publication venues, etc.

# Common Mistakes in Department Letters/Cases, cont.

- Lack of clarity on teaching load and how the candidate met this load during the review period
- “No” votes not explained (especially problematic if vote is split)
- Accelerations not adequately & appropriately justified
- Special step not appropriate and/or not appropriately justified
- Over-disclosure in letter about external reviewers, potentially revealing identity
- External Reviewers do not meet RB criteria and/or deviations from policy not justified in coded list

# Common Mistakes in Department Letters/Cases, cont.

- Crediting accomplishments in an inappropriate area of review
  - If the Department letter includes accomplishments in an incorrect area, it can lead to disappointment and confusion from the candidate. Although notable accomplishments will be rewarded in the appropriate area, it is disconcerting to faculty
    - e.g., textbooks are credited as teaching, so including as a research accomplishment can lead to inflated evaluations in that area of review

# The Bio-bib

- Updated templates available on “Forms” page of AP website for the professor series and the LSOE series
- Serves as the official document of record for accomplishments during the review period
  - materials must be consistent; items mentioned in the department letter or self assessment must also be listed in bio-bib
- Teaching Section should specify Department Teaching Load
  - clarify normative department load and explain how candidate met this load
- Remember: faculty are responsible for maintaining accurate and up-to-date content
  - including responding to staff requests for corrections/updates

# Optional Self-Assessments

- **Research Statements**
  - Provide context on contributions, impact, and implications of research
- **Teaching Statements**
  - Discuss teaching efforts, innovative approaches, addressing criticism in student evaluations
- **Service and/or Professional Activities**
  - Provide context on roles and scope of responsibilities for these activities
- **DEI Statements**
  - Can be folded into various other self-statements, or stand alone
  - Winter 2022 AP Newsletter (see AP Website) contains details on basic expectations for all faculty vs. accomplishments that exceed normative expectations for DEI
- **COVID Impact Statements (see COVID Information & Resources on AP Website)**
  - Used to ensure accomplishments are evaluated in light of impacted opportunities; personal/private information not necessary

# Chair Responsibilities, continued

- Make department letter available to eligible department members, for inspection
  - ‘minority opinion’ letter may be submitted at this time (these are not anonymous)
    - Unresolved issues must be addressed in a Chair’s confidential letter (see: RB I-35)
- Inform candidate of department recommendation, vote, and substance of evaluations in all areas (verbally or in writing)
  - Provide candidate opportunity to review all non-confidential documents
  - Inform candidate of right to provide a written response within 5 days to Dept or Dean, to be included in the file
    - Give sufficient time so that response can be considered in dept. letter
    - Unresolved issues should be addressed in a Chair’s confidential letter (RB I-35)
- Encourage faculty to request and read Reviewing Agency Reports upon case conclusion



# Chair Responsibilities, continued

- Forwarding the completed case:
  - Ensure the candidate completes safeguard statement in AP Folio
  - Ensure the letter contains all necessary material, is complete, and properly formatted
    - See Red Binder I-31 for Dean's Authority Cases
    - See Red Binder I-34 for Expanded Reviews
  - Confirm that faculty have reported outside professional activities (OATS)
  - Forward case to your Dean's office
- After the case has been completed, pay attention to Reviewer Concerns; these call attention to specific deficits in the content or presentation of cases
  - Addressed to either department or candidate (or both)
  - Chairs receive copies of *all* Reviewer Concerns
  - Pay attention to these and implement corrections for next cycle

Q & A

