

Merit Review Process & Red Binder Policy

Comprehensive Overview for Department Chairs

October 10, 2024

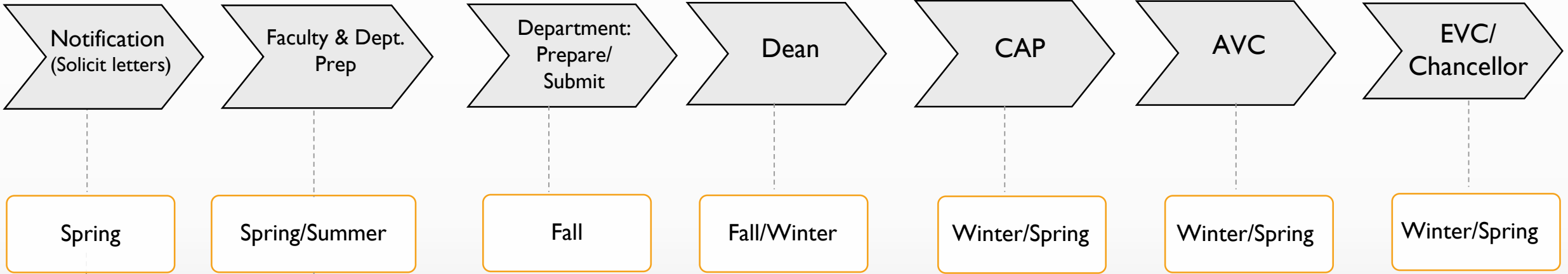
Department Notifications and Deadlines

(Red Binder I-2)

- Notification of Eligibility for Merit & Promotion (RB I-4)
 - Early April
- Assistant Professor Deferral Requests: Monday, September 30
- Dean's Authority Cases: 2nd Monday in November
 - This year: November 11, 2024
 - One-step advances at Assistant, Associate, & Full levels with up to ½ step in additional off-scale (including to the overlapping steps)
- Expanded Review Cases: 2nd Monday in December
 - This year: December 9, 2024
 - 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: Campus-wide cutoff date: August 31

The Review Process: In Brief



1. appointment year is included as a year of service for new hires

2. attend to external letters

biobib & case materials

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. For example:
 - will this be an acceleration that will require letters that otherwise would not be needed?
 - will the recommendation situate the candidate appropriately on the ladder?
- Ensure personnel process 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
- Enforce deadlines

Foundation for Success

- Understand and adhere to the advancement criteria in the personnel review process. There have been notable changes this year.
 - *See Red Binder I-75: Appointment and Advancement*
- Understand options and appropriate justifications for advancements and accelerations. Familiarize yourself with the changes.
 - *See Red Binder I-36: Merit Advancements*
- Follow the steps in the review process.
 - *See Red Binder I-22: Departmental Checklists for Academic Advancement*
- Follow guidelines for external reviewers and associated materials, when relevant
 - *See Red Binder I-46, I-48, I-49, I-50, and I-51*
 - Note: 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*

- Ensure Department bylaws and merit review documents are up-to-date for Professor Series & Teaching Professor Series
- 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

Chair Responsibilities: Department Meetings

- 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, etc., when provided
 - plan ahead to ensure cases submitted on time
 - help the department come to a realistic recommendation

Types of Cases to Consider

- Mandatory reviews
 - Faculty must undergo review a minimum of every 5 years
 - Formal appraisal at Year 4 for Assist Prof/Assist Teaching Prof
 - Tenure review no later than Year 7
- Career reviews
 - Promotion to Associate or Full; Advancement to Prof VI/Teaching Prof VI; 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
- Deferrals (Asst Prof/Asst Teaching Prof requires request for approval)
- Normative advancement
- Accelerations
- Within-Step advancement (deceleration)

Key Red Binder Sections & Important Updates

What to know before we get started..

- The fundamental basis of faculty evaluations remains the same
 - all of the same accomplishments can continue to be considered and rewarded
- Expectations, standards, and values continue to be defined by Departmental/disciplinary norms and campus/UC standards
- Extent of possible advancements/accelerations remains the same

- At the same time:
 - Creates opportunity for assessment and reevaluation:
 - ensure that procedures foster and prioritize innovation, impact, quality, and transformative thinking, within the three pillars of review
 - incorporate flexibility into the review process
 - prioritize special impact/achievement over numeric tabulations
 - thoughtfully consider workload and reevaluate priorities within/across areas

Career Equity Reviews (RB I-6)

- CER now decoupled from merit review process
 - May only be initiated during a non-review year
 - May not be initiated during the year of a deferral
 - Effective immediately, in current case cycle
- Justifications for CER unchanged
 - Additional clarification provided

The Bio-bib (RB I-27)

- Use of online biobib expected in all case cycles
- Biobib 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 assessments must also be listed on the bio-bib
- Discourage listing of routine, expected activities (e.g., attending graduate student committee meetings; lunches with job candidates)
 - these are understood and including such items adds unnecessary work at all levels
- Remember: faculty are responsible for maintaining accurate and up-to-date content
 - including responding to staff requests for corrections/updates

Merit Advancements (RB I-36)

- Standardized range of advancement options (including Above Scale):
 - Normative 1-step
 - Reasonable flexibility can/should be used
 - 1½ steps
 - 2 steps
 - 2½ steps
 - 3 steps, etc....
 - Advancements & Accelerations awarded in step (i.e., on the ladder), except when the recommendation includes a ½ step increase
 - Increases awarded only in full steps or half steps
 - In rare circumstances, accelerations in off-scale may be granted, based on appropriate circumstances
 - Increasing expectations as ascend ranks/steps
 - Larger accelerations require increasingly meritorious achievements
 - Cases for acceleration may not contain deficiencies in any area
- Within-step advances
 - ½ step may be granted when justified
 - maximum 2 within steps, at the same rank/step

Merit Advancements, continued (RB I-36)

- Important additional considerations for accelerations:
 - Candidate must meet the requirements for a normative, one-step advancement to be eligible for acceleration (i.e., no deficiencies in the record)
 - Accelerations at a more senior level require more evidence of exceptional performance than accelerations at a more junior level.
 - Performance warranting an acceleration at the Assistant Professor/Assistant Teaching Professor level might only justify a normative advancement for a Full Professor/Full Teaching Professor and might not meet expectations for a Professor/Teaching Professor at Above Scale.
 - As the size of the acceleration increases, increasingly significant achievements are expected.
 - Increases at the highest levels require evidence of identifiable extraordinary accomplishments and/or impact *in both research/creative activity and teaching* (Professor series), as well as evidence of superior accomplishments and/or recognitions in other areas.
- Only under rare circumstances will accelerations deviate from the following:
 - Professor Series: Particularly noteworthy achievement and/or impact well above department/disciplinary norms, in research/creative activities
 - Teaching Professor Series: Particularly noteworthy achievement well above high campus standards in teaching/mentoring
 - Extraordinary achievements in two 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)

Helpful resources:

➤ *Half-step Increase Chart* available on the AP Website under Compensation & Benefits

*Half-step Increase Charts
(General Scale & B/E/E Scale)*

See: AP Website under
Compensation & Benefits

General Scale (Table 1)

<u>Rank</u>	<u>Step</u>	<u>10/1/2024 Annual</u>	<u>half-step increment</u>
Assistant Professor / Assistant Teaching Professor	II	\$82,200	\$2,200
	III	\$86,600	\$2,400
	IV	\$91,400	\$2,500
	V	\$96,400	\$2,500
	VI	\$101,400	\$2,700
Associate Professor / Associate Teaching Professor	I	\$96,500	\$2,500
	II	\$101,500	\$2,700
	III	\$106,800	\$3,000
	IV	\$112,800	\$4,400
	V	\$121,600	\$4,800
Professor / Teaching Professor	I	\$112,900	\$4,400
	II	\$121,700	\$4,700
	III	\$131,100	\$5,000
	IV	\$141,000	\$5,300
	V	\$151,600	\$5,700
	VI/ V+	\$163,000	\$6,200
	VII	\$175,400	\$7,100
	VIII	\$189,500	\$8,000
	IX	\$205,400	\$10,300
	IX+	\$225,900	\$10,300

advance to Step III with 1/2 step o/s

IX+ is equivalent to step IX plus one above scale increment

VI+/IX+ in UCPath = V/IX on-scale plus o/s+ . o/s+ does not carry forward at next review

Formal Appraisals (RB I-38)

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

Overlapping Steps (Red Binder I-37)

- What are the Overlapping Steps?
 - Lateral with corresponding step at the next rank
 - Assistant V and VI, which are lateral to Associate I and Associate II
 - Associate IV & V, which are lateral to Professor I and Professor II
 - Professor V+, which is lateral to Professor VI
 - Professor IX+, which is lateral to Professor Above Scale
- How are they used?
 - counts in lieu of service at the lateral, next rank/step in calculating eligibility & advancement
- Important considerations:
 - Does not change normative advancement
 - e.g., Asst IV to Assoc I
 - Expectation is to remain for normative time
 - Departments should consider trajectory & advancement options
 - Departments should consider placement upon promotion

The Step System

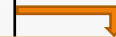
ASSISTANT PROFESSOR/ ASSISTANT TEACHING PROFESSOR		ASSOCIATE PROFESSOR/ ASSOCIATE TEACHING PROFESSOR		PROFESSOR/ TEACHING PROFESSOR	
(8 year limit, non-tenured)		(6 years normal, tenured)		(indefinite, tenured)	
Step	Normal period of service	Step	Normal period of service	Step	Normal period of service

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
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IV	3 (overlapping step)	I	3
V	3 (overlapping step)	II	3

III	3
IV	3
V	3

VI	3	V+ (3yrs, overlapping step)
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VII	3
VIII	3
IX	4

Above Scale	4	IX+ (4 yrs, overlapping step)
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Helpful resources:

Overlapping Step Advancement Matrix

See: AP Website under Compensation & Benefits

Rank and Step	Year	On-time Advancement	
Asst Prof V	1	Lateral to Assoc Prof I	No change in salary. Next review for merit would be after one year
Asst Prof V	2	Promotion to Assoc Prof II	
Asst Prof V	2	Merit to Asst Prof VI	
Asst Prof VI	1	Lateral to Assoc Prof II	No change in salary. Next review for merit would be after one year
Asst Prof VI	2	Promotion to Assoc Prof III	
Assoc Prof IV	1	Lateral to Prof I	No change in salary. Next review for merit would be after two years
Assoc Prof IV	2	Lateral to Prof I	No change in salary. Next review for merit would be after one year
Assoc Prof IV	3	Promotion to Prof II	
Assoc Prof IV	3	Merit to Assoc Prof V	
Assoc Prof V	1	Lateral to Prof II	No change in salary. Next review for merit would be after two years
Assoc Prof V	2	Lateral to Prof II	No change in salary. Next review for merit would be after one year
Assoc Prof V	3	Promotion to Prof III	
Prof V+	1	Lateral to Prof VI	No change in salary. Next review for merit would be after two years
Prof V+	2	Lateral to Prof VI	No change in salary. Next review for merit would be after one year
Prof V+	3	Advancement to Prof VII	
Prof IX+	1	Lateral to Above Scale	No change in salary. Next review for merit would be after three years
Prof IX+	2	Lateral to Above Scale	No change in salary. Next review for merit would be after two years
Prof IX+	3	Lateral to Above Scale	No change in salary. Next review for merit would be after one year
Prof IX+	4	Advancement to Above Scale with merit	

Helpful Resources:
Step V+ and IX+ Examples

Available on the AP Website under
 Compensation & Benefits

Example: normative advancement using V+

	eff date	on-scale	off-scale	o/s+	total	Notes
Current status: Prof V	7/1/2022	\$151,600	\$10,000		\$161,600	
Action: merit to Prof V+ New status: Prof V	7/1/2025	\$151,600	\$10,000	\$11,400	\$173,000	Overlapping step
Action: merit to Prof VI New status: Prof VI	7/1/2026	\$163,000	\$10,000		\$173,000	Normative time on step not yet met; lateral move to Step VI (no salary change)
Action: merit from V+ to VII New status: Prof VII	7/1/2028	\$175,400	\$10,000		\$185,400	Normative time on step (3 years) has passed, so salary increases

Example: normative advancement using IX+

	eff date	on-scale	off-scale	o/s+	total	Notes
Current status: Prof IX	7/1/2021	\$205,400	\$10,000		\$215,400	
Action: merit to Prof IX+ New status: Prof IX	7/1/2025	\$205,400	\$10,000	\$20,500	\$235,900	Overlapping step
Action: merit to Above Scale New status: Prof Above	7/1/2029	\$256,400			\$256,400	Normative time on step (4 years) has passed, so salary increases

Note: these figures are based on the 10/1/24 Table 1 salary scale, and do not reflect intervening range adjustments

External Letters

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

- For career reviews, familiarize yourself with the *process & expectations* for external letters
 - Make note of the requirements in Red Binder I-46: *Guidelines for Letters of Evaluation* including:
 - note that up to 3 letters submitted as part of the application (i.e., UC Recruit) are acceptable
 - be aware of necessary qualifications for external reviewers & provide this in coded list
 - understand what constitutes a conflicted vs non-conflicted letter writer
 - understand permissible variations for letter writers for Teaching Professors and Teaching Professors with a focus on professional practice
 - e.g., experts in professional roles that are not full profs
 - provide justifications for deviations in coded list
 - avoid repeat letter writers
 - be aware that even those who decline or do not respond must be listed, *with explanation if provided*

External Letters, continued

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

- 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
 - 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).
 - 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

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 recommend promotion, 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.
 - Please note examples & expectations on reporting in RB I-48

Appointment and Advancement

(Red Binder I-75)

- Criteria and expectations for each area of review:
 - Teaching and Mentoring (*Professor series and Teaching Professor series*)
 - Evaluating teaching and mentoring
 - Forms of evidence in evaluating teaching
 - Research/Creative Activity (*Professor Series*)
 - Achievements and activities that constitute research/creative activity
 - Evaluating research/creative activity
 - Professional and/or Scholarly Achievement and Activity (Teaching Professor series)
 - Achievements that constitute professional and/or scholarly activities
 - University and Public Service (Professor series and Teaching Professor series)
 - Achievements and activities that constitute service
 - Evaluating service
- Contributions to DEI
 - Evaluating DEI contributions
 - Achievements and activities that are expected vs. exceed expectations

The Department Letter

The Department Letter: *Do's & Don'ts*

(RB I-35 and RB I-75)

- Disciplinary expertise is the strength of the department's recommendation
 - A concise but analytical and balanced department letter lends weight to the department's assessment
- *Dos & Don'ts* of a Department letter (See Red Binder I-35: *How to Write a Departmental Letter*)
 - DOs:
 - Define the standards, weights, and expectations of activities/accomplishments, and apply them consistently
 - address all 3 areas of review (see RB I-75)
 - Explain how the requirements for a normative advancement have been met before addressing any recommendation for acceleration
 - Include analysis, evidence, context, and justification
 - provide succinct contextualization of accomplishments, in all areas of review
 - provide clear, compelling evidence in support of recommendation for acceleration
 - address influence, impact, prestige, importance, innovation, role, etc., rather than mere counts
 - ensure all information is referenced in the biobib
 - Explain deviations from expectations, when justified
 - Accurately reflect the overall recommendation of the department
 - Include the vote and explain 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 template provided in RB I-35
- The normal department teaching load is [] 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 [____], 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 rely solely on quantitative assessments and numerical counts
- Don't simply list and summarize all of the items on the biobib
- 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 simply duplicate content from self-assessments
- Don't use jargon or technical terms

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

- DON'T:
 - Don't conflate traditional research accomplishments (e.g., peer reviewed journal article) with scholarly professional accomplishments (e.g., invited talks, conference presentations)
 - Don't merge University service (e.g., department, Senate, etc.) with professional service (e.g., academic conference planning, manuscript reviewing)

Common Mistakes in Department Letters/Cases

- Letter fails to clarify Department expectations and/or disciplinary norms
 - e.g., selectivity of journal, norms of authorship order, contribution to multi-authored work
 - e.g., expectations for normative advancement
- Letter simply summarizes items on the biobib
 - should provide an analytical & evidence based evaluation of the significance, impact, contribution of research/creative activity
 - should provide an analytical and evidence based evaluation of the quality and effectiveness of teaching/mentoring
- Letter merely repeats language and/or details from other case materials such as self-statements, rather than providing original, contextual assessment and analysis
- Accelerations not adequately or appropriately justified (specific to rank/step), with clear evidence
- Not enough context provided for service activities/achievements or awards
 - role associated with and or impact of service
 - significance, competitiveness, selectiveness of awards/prizes

Common Mistakes in Department Letters/Cases, cont.

- Mismatch between bio-bib and other case materials
 - e.g. self-assessment or department letter references items not present on bio-bib; materials sent to outside reviewers contain items beyond the department cut-off date
- 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
- 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)
- 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

Optional Self-Assessments

- If provided, consider information provided in optional self-assessments:
 - These can offer additional context and insights on candidates accomplishments, including:
 - Research Statements
 - provide additional context on contributions, impact, and implications of research accomplishments
 - Teaching Statements
 - describe teaching efforts, innovative approaches, addressing criticism in student evaluations
 - Service
 - provide context on roles and scope of responsibilities for these activities
 - DEI Statements
 - provide context on roles and scope of responsibilities for these activities as well as significance & impact
 - Note: may be folded into various other self-statements

Final Steps

- 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

Final Steps, 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 checklist on Dean's Authority Cases
 - See Red Binder I-34 for checklist on 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

