

SENATE FACULTY ADVANCEMENTS

SEPTEMBER 25, 2024

AGENDA

- Advancement eligibility review
- Types of cases/reviews
- Case preparation

REVIEW OF ELIGIBILITY ISSUES

- See salary scales and RB I-75 for normative timeframe
- Years at step vs.
Years since last review vs.
Years since last advancement/salary increase
- Prior Service, Start Dates, Leaves
- Overlapping/Special Steps
- Deferrals
- Mandatory Reviews

RANKS, STEPS, NORMAL PERIODS OF SERVICE

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
				VII	3
				VIII	3
				IX	4
				Above Scale	4
					V+ 3 (overlapping step)
					IX+ 4 (overlapping step)

RB I-75

CASE TYPES

- Merit
 - Change in step, e.g. Professor II to Professor III
- Promotion
 - Change in rank, e.g. Assistant Professor to Associate Professor
- Mandatory Review
 - Reviews must be done at least every 5 years
- Deferral
 - Automatic for tenured faculty
 - Requires deferral case submission for tenure-track faculty

DEFERRALS

- Assistant Professor - requires review
- Associate and Full Prof – notification or non-submission of materials
- These actions cannot be deferred:
 - Appraisal (unless the clock is extended)
 - Tenure review into 8th year
 - Mandatory review
- RB I-4

MANDATORY REVIEW

- Minimum of once every 5 years
- Lack of candidate involvement
- Administrative exemption
- RB I-4

TYPES OF REVIEW

DEAN'S AUTHORITY AND EXPANDED REVIEW

APPRAISALS, MERITS, PROMOTIONS

OTHER REVIEW-RELATED ACTIONS

REVIEW APPROVAL AUTHORITIES

Dean's Authority	Expanded Review	Other Case Types (also Expanded)
On-time, one-step	Acceleration	Reconsideration (Appeal)
On-time, one-step w/add'l 1 ½ step o/s	Within-Step Increase	Retention
	Overlapping Steps	Career Equity Review
Decelerated one-step	Formal Appraisal	
Assistant Professor Deferral	Promotion to Tenure/SOE	
	Promotion to Full Professor	
	Merit to Professor VI	
	Merit to or within Above Scale	

DEAN'S AUTHORITY REVIEWS

- One-step advancement, on time or decelerated
- On-time/decelerated one-step advancement plus up to ½ step additional off-scale
- No external evaluation
- Expected, normative level of performance in all review areas
- See RB I-30 for specifics

EXPANDED REVIEWS

- Acceleration
- Career Reviews
- Appraisals
- Retentions, Reconsiderations, and CERs
- Overlapping Steps
- Within-Step Increases
- Explicit justification required for each

ACCELERATIONS

- Types of acceleration
 - In step (more than one step)
 - In salary (additional off-scale on top of step advancement)
 - Mixed/combination
- Explicit justification for acceleration must be provided
 - There are no “set” measures
- Acceleration not permitted if there are deficiencies in any review area!

APPRAISAL

- To assess progress towards tenure/ SOE
- Full career examined
- Done during 4th year as Assistant Professor/Assistant Teaching Professor
- Cannot be deferred, unless
 - Clock extension in place, or
 - Promotion being done during 4th year
- Options for recommendation
- Separate vote if done in conjunction with merit case
- RB I-38

PROMOTION TO TENURE/SOE

- “Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement” (APM 210-1d)
- “Up or out” review
- Timing of review
- Career review
- Recommendation to terminate or not promote
- RB I-40

TENURE/SOE REVIEW TIMELINE

2020 – 21	1	Initial Appointment (7/1/2020)
2021 – 22	2	
2022 – 23	3	
2023 – 24	4	Appraisal (done Fall '23, effective 7/1/24)
2024 – 25	5	
2025 – 26	6	Tenure Review (done in Fall '25, effective 7/1/26)
2026 – 27	7	<i>(new tenure case if F'25 tenure review fails)</i>
2027 – 28	8	Terminal year if tenure not achieved

PROMOTION TO PROFESSOR/TEACHING PROFESSOR (RB I-41)

- Career Review
- “Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement... Sustained excellence in the areas of University and public service as well as professional activity is expected”
- “Sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching... sustained excellence in all three areas of review: teaching, professional and/or scholarly achievement and activity, and University and public service is expected”

ADVANCEMENT TO PROFESSOR VI/TEACHING PROF VI (RB I-42)

- Career review– merit action, not promotion
- “Sustained and continuing excellence in (1) scholarship or creative achievement, (2) University teaching, (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”
- “Sustained and continued excellence in (1) teaching and teaching-related responsibilities, (2) professional and/or scholarly achievement and activity, and (3) University and public service”

ABOVE SCALE (RB I-43)

- “Scholars and teachers of the highest distinction (1) whose work of sustained and continuing excellence has attained national and international recognition (2) whose University teaching performance is excellent, (3) whose University and public service is highly meritorious, and (4) whose professional activity is judged to be excellent.”
- “Teachers of the highest distinction (1) whose contributions to University teaching and education outcomes are excellent; (2) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education... and (3) whose service is highly meritorious”

ABOVE SCALE – CONT'D

- Normative advancement:
 - Continued performance at Above-Scale-expected levels in all areas
 - One increment = 10% of on-scale Step IX rate
 - \$20,500 on general scale; \$22,500 on B/E/E scale (based on 10/1/24 scale)
- Accelerations:
 - Not permitted in time (min 4 years between advancements within AS)
 - Awarded in full or half-step increments
- Within Step IX: limited to \$ amount of one increment

RECONSIDERATIONS (APPEALS)

- Justification:
 - New documentation of material in the case prior to cut-off date
 - Evidence that reviewing agencies neglected important features of the case
- Recommendation remains the same as in original case
- Safeguard statement must be signed for this case, too
- Different standard for terminal appointment (RB I-39)
- RB I-10

RETENTIONS

- Salary match only
 - Change in rank/step only in conjunction with existing MP case
- Does not count towards “within-step merit” limit
- Not a “merit” action (where to draw the line?)
- Retentions other than salary advancement
- RB I-44

CAREER EQUITY REVIEW



- “To examine cases in which normal personnel actions from the initial hiring onward may have resulted in an inappropriate rank and/or step”
- Not an alternative to regular review process
 - Must be processed as separate personnel action outside of regular review
- Addresses equity in rank/step only, not in salary
 - Off-scale remains the same
- No reconsideration/appeal
- Initiated via the Department or via the Dean
- RB I-6

THE ADVANCEMENT CASE

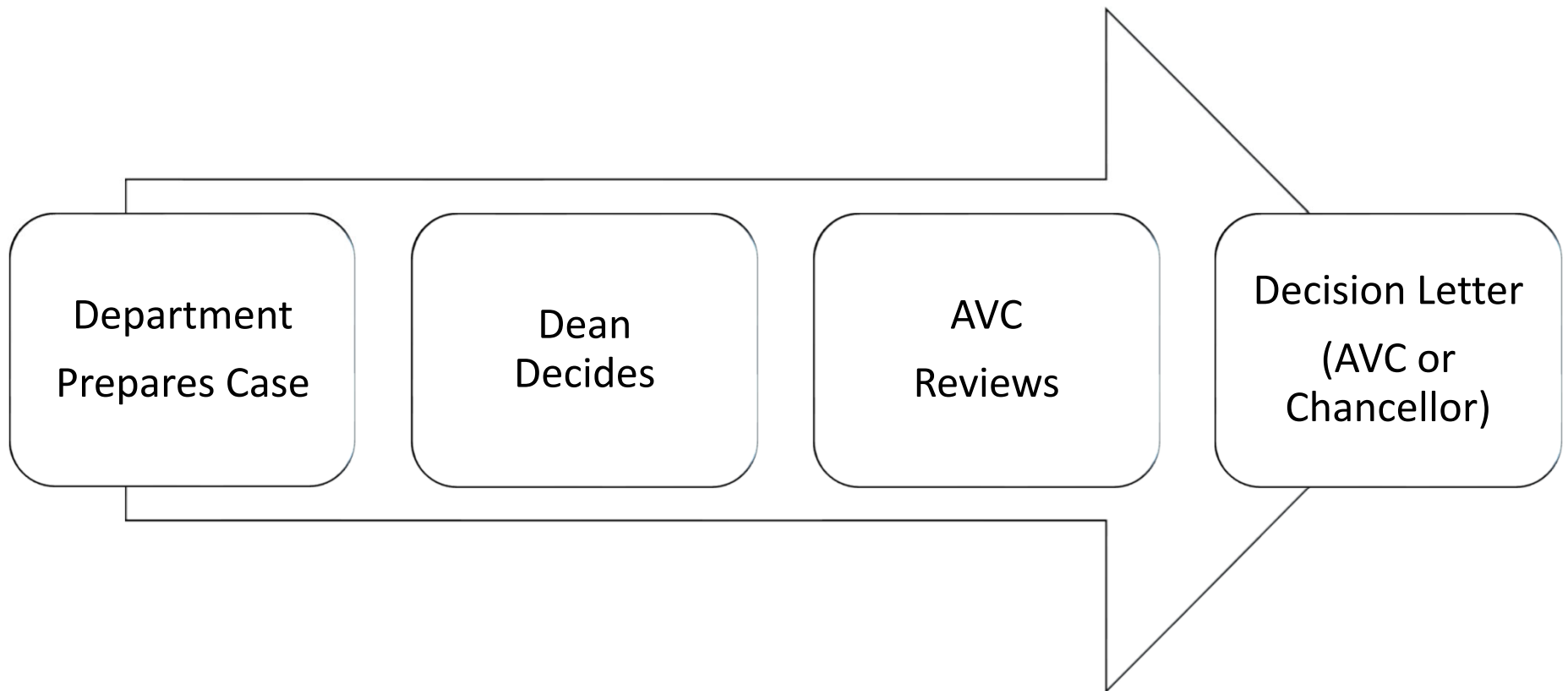
FLOW AND APPROVAL AUTHORITY

CASE CONTENTS

DEADLINES AND IMPORTANT NOTES

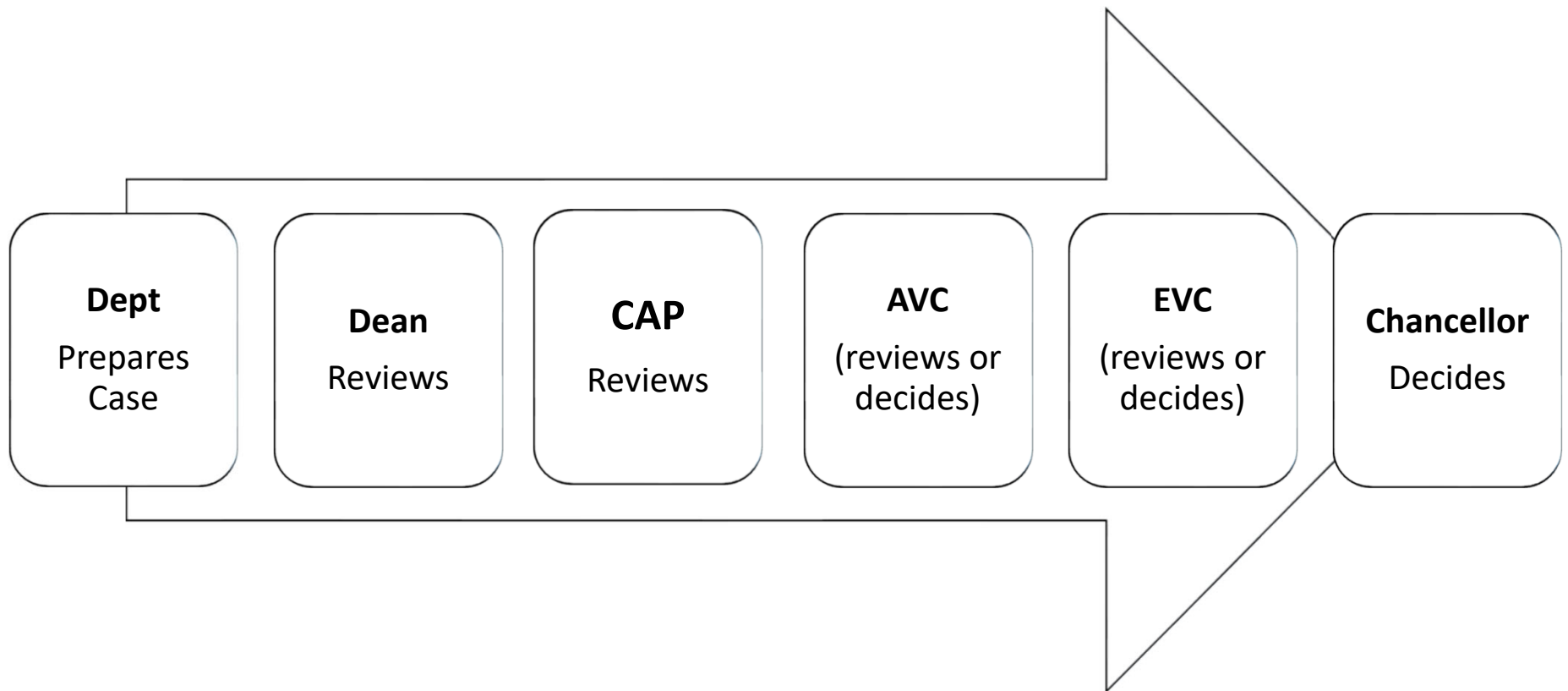
ADVANCEMENT CASE REVIEW PROCESS

DEAN'S AUTHORITY CASES



ADVANCEMENT CASE REVIEW PROCESS

EXPANDED REVIEW CASES



ADVANCEMENT APPROVAL AUTHORITY

Merits	
Normative, one-step merits (on-schedule/decelerated)	Dean
Normative merit + add'l ½ step	Dean
Merit to Professor VI, to and within Above Scale	Chancellor
Other merits	Associate Vice Chancellor
Formal Appraisal	Associate Vice Chancellor

Promotions	
Associate Professor, Professor	Chancellor
Associate Teaching Professor, Teaching Professor	Chancellor

DEADLINES

- Campus Cut-off Date (Aug 31)
- Departmental deadlines
- College deadlines:
 - Dean's Authority: 2nd Monday in November
 - Expanded Review: 2nd Monday in December
- Internal: Dean to AP, AP to CAP
- All cases finalized by June 30
- RB I-2

CONTENTS OF A CASE

- Departmental Letter
- Bio-bib
- Safeguard Statements (includes Outside Activity reporting confirmation)
- External Letters and associated items (for career reviews)
- Self Statements
- Sabbatical Leave Reports
- Teaching Evaluations
- Publications
- Dean's Authority Cases checklist: RB I-31
- Expanded Review Cases checklist: RB I-34

COVER SHEET – SUMMARY

[Jump to Upload Section](#) | [Minimize All Sections](#) | [Print Case to PDF](#)

2025-26 Merit

Present Status		Proposed Status	
Rank & Step	Professor VII O/S	Rank & Step	<div><div>-</div><div>-</div></div>
Total Salary	\$ 0	Total Salary	<div>\$0</div>
Offscale Supplement	\$ 0	Offscale Supplement	<div>\$0</div>
Years at Rank	13	Effective Date	<div>-</div>
Years at Step	5		
Years Since Last Advancement	0		

Department Votes

Yes

No

Abstain

Not Voting

Total Eligible

Statement of Voting Method & Comments (Max 1500 characters):

Case Options

☐ Dean's Authority

- ☐ On-schedule advancement to:
Assistant Professor/Assistant Professor of Teaching III or IV
Associate Professor/Associate Professor of Teaching II or III
Professor/Professor of Teaching II-V or VII-IX
- ☐ On-schedule advancement of the above
with up to 1/2 step additional off-scale increase
- ☐ Deceleration in time of any of the above

☐ Expanded Review (Check as appropriate)

- ☐ Formal Appraisal
- ☐ Promotion
- ☐ Acceleration
- ☐ Professor VI
- ☐ To Professor Above Scale
- ☐ Within Professor Above Scale
- ☐ Overlapping Step (e.g. Assistant V, Associate IV)
- ☐ Decrease in Off-Scale
- ☐ Increase in Off-Scale outside the Dean's Authority parameters
- ☐ No Change
- ☐ Retention
- ☐ Career Equity Review

COVER SHEET – REQUIRED DOCUMENTS

Required Documents - Note: A Dean may require some of the items listed as optional.

Departmental Letter of Recommendation	<input type="button" value="Choose File"/>	No file chosen
Completed Bio-Bibliographical Update	<input type="button" value="Choose File"/>	No file chosen
Copies of Publications	One of a kind	
Evaluation of Teaching: ESCI Score Tabulation, either of the following: ESCI 5 Year Summary <input type="button" value="Choose File"/> No file chosen Individual ESCI Forms One of a kind At least one of the following additional sources of evaluation: Written Student Evaluations One of a kind Candidate's Self-Assesment of Teaching <input type="button" value="Choose File"/> No file chosen Instructional Consultation Report <input type="button" value="Choose File"/> No file chosen Peer Evaluation or Other Teaching Reports <input type="button" value="Choose File"/> No file chosen Additional Source(s) of Evaluation: <div style="border: 1px solid black; height: 100px; width: 300px; margin-top: 5px;"></div> <div style="text-align: right; margin-top: 5px;">//</div>		
Sabbatical Leave Report (for the period, if any)	<input type="button" value="Choose File"/>	No file chosen

COVER SHEET – OTHER DOCUMENTS

Optional Documents	
Candidate's Request	Choose File No file chosen
Candidate's Response to Department	Choose File No file chosen
Outside Offer Letter	Choose File No file chosen
Budget & Planning Teaching Report	Choose File No file chosen
Other: <div style="border: 1px solid black; height: 80px; width: 250px; margin-bottom: 10px;"></div> <div style="text-align: right;">One of a kind</div>	
Candidate's Self-Assessment of Other Accomplishments and Activity <input type="checkbox"/> Check here if included in Self-Assessment of Teaching above	Choose File No file chosen
Chair's Confidential Letter	Choose File No file chosen
Minority Opinion Letter	Choose File No file chosen
Redacted Minority Opinion Letter	Choose File No file chosen
Extramural Letters Number of extramural letters included: <input type="text" value="0"/> Number of extramural letters suggested by department: <input type="text" value="0"/> (1) List of Referees: Including brief biography and indicating who selected referees (2) Sample Solicitation Letter (3) List of Items Sent to Reviewers: Include a copy of any items not already included in the case	Choose File No file chosen Choose File No file chosen Choose File No file chosen
Redacted Extramural Letters, if provided to the candidate	Choose File No file chosen
Curriculum Vitae	Choose File No file chosen
CER Committee Report	Choose File No file chosen

No Safeguard statement signed.

CASE DOCUMENTS

- Evaluation of teaching
 - ESCIs (S'24 and earlier)
 - SET reports (M'24 and later)
 - Written student comments
- Publications
 - Appropriate for the review period
 - Linked in bio-bib
- Self statements
 - As required by department or college
 - Research and/or other activities, including contributions to diversity

CASE DOCUMENTS– CONT'D


- Sabbatical leave reports
- Other supporting documentation
 - Anything they want as long as not in conflict with policy or rights of others
- Bio-bib (more on next slide)

BIO-BIBLIOGRAPHY



- Must use new online system in AP Folio
- Cut-off of 8/31 (or earlier if set by department)
- Research
 - Cumulative (line drawn since last review)
 - Clearly denote changes since last review(s)
 - Account for previous in-press items, but no need to account for previous submitted or in-progress items
- Other areas should only include activity since last review(s)
 - Online bio-bib PDF generator will only include activity in current review period
- Double-check links to make sure they work after doc upload
- RB I-27

EXTERNAL REVIEWERS

- Candidate and department suggested names- independently derived
- Candidate has right to receive redacted copies and make comments
- Sample solicitation letters – stick to the given RB wording
- Items sent to external reviewers
- Confidentiality statement
- List of evaluators
- *No identification or identifying information in Dept Letter!* 
- RB I-46 – I-51

WHAT NOT TO PUT IN DEPT LETTER

- Six outside letters were received from outstanding scientists and leaders in Professor Doe's areas of research. Three of these were from Professor Doe's list of possible letter writers and three were from the Department's list of possible letter writers.
- The department solicited letters from 15 leaders in the field of underwater basket weaving. Of these, 7 writers responded; including professors within the University of California system who are well familiar with the requirements for the Professor Above Scale rank. Of the remaining 8 invited evaluators, 2 agreed to write a letter but never sent one, 1 declined (citing over-commitment), 1 was on medical leave, 3 were on sabbatical and 1 never responded to the invitation.

WHAT NOT TO PUT IN DEPT LETTER!

- Nine letters were solicited and seven were obtained. Three of the letter writers were taken from a list provided by Professor Smith (Reviewers A, C, and E) and four were selected by the department (Reviewers B, D, F, and G). Three of the seven letter writers are University of California faculty (A, B, and C), and two additional reviewers are UC familiar (F and G)... Five of the seven letter writers offered an assessment of whether Professor Smith would be granted tenure at their home institutions (Berkeley, Stanford, MIT, Columbia, and Yale)

EXTERNAL LETTERS– PROPER REDACTION

- Header & footer only
 - Any identifying info within the body of the letter remains
 - “Paper Cutter” approach
- Evaluative text must be within the body of the letter
 - What happens if they misunderstand our confidentiality statement and put their text below the signature line?
- Include letter codes on redacted letters, too

DEPARTMENTAL RECOMMENDATION

- Department Vote and Voting rights
 - Explain “no” votes!
- Evaluation of all applicable review areas
- Minority opinion letter
- Chair’s confidential letter
- Candidate’s right to respond
 - To the Chair/Department
 - To the Dean
- RB I-35

SAFEGUARD STATEMENT

- Ensures faculty rights and access to confidential documents
- Follows steps outlined in “Departmental Checklist for Academic Advancement” (RB I-22)
- Includes acknowledgment of:
 - OAR completion (please verify this in OATS!)
 - Bio-bib accuracy and completion
- Can request reviewing agency reports at close of case
- Must be completed for every case, one for each department
- Completed online by the faculty member in AP Folio
- RB I-26

WHO IS RESPONSIBLE FOR WHAT?

- Candidate:
 - Supply accurate, up-to-date materials on time
 - Make requested corrections/updates in a timely manner
- Department Chair:
 - Provide original, analytical assessment of candidate's qualifications
 - Justify proposed action
- Department Analyst:
 - Ensuring the above are in place and conform to policy
 - Accuracy of and consistency across materials, before submitting case
 - Actively work with faculty and Dept Chair on corrections/clarifications

ONCE A DECISION IS MADE

- Decision letter sent to faculty member from Chancellor or AVC
- Candidate and Department are happy?
Move on to next review period
- Candidate or Department not happy?
Reconsideration possible– if criteria apply

RESOURCES

- AP Contacts:
 - Lia Cabello (HFA, SOOSC, GGSE, CCS)
 - lia.cabello@ucsb.edu x5979
 - Mira Lázaro (MLPS, ENGR, Bren)
 - mslaza@ucsb.edu x5728
- College Analysts
- Red Binder

UPCOMING TRAINING

- Last round of RB updates training
 - Tuesday, Oct 1, 2024 @ 1:00pm
- Annual Fall AP Workshop for Chairs, MSOs, and AP staff
 - Monday, Oct 14, 2024 (see 9/9/24 announcement)
- Faculty Advancements Workshop
 - Tuesday, Apr 29, 2025 @ 1:30pm
- Chair and Faculty training also offered in May 2025 in preparation for upcoming cycle– see 8/27/24 announcement



QUESTIONS?