SENATE FACULTY APPOINTMENTS AND ADVANCEMENTS

SEPTEMBER 26, 2019
AGENDA - DAY 2 (ADVANCEMENTS)

• Advancement eligibility
• Types of cases
• Case preparation
ELIGIBILITY AND SALARY

NORMATIVE ELIGIBILITY

SALARY AND OFF-SCALE

OTHER ELIGIBILITY AND REVIEW ISSUES
“NORMAL” ELIGIBILITY

• Based on the salary scales and APM
• Years at step vs.
  Years since last review vs.
  Years since last advancement/salary increase
• Overlapping/Special Steps
• RB I-30
# Ranks, Steps, Normal Periods of Service

<table>
<thead>
<tr>
<th>Step</th>
<th>Normal period of service</th>
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<th>Normal period of service</th>
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RB I-75
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OFF-SCALE SALARIES

- Maintained in Dean’s Authority cases
- Decrease or increase? → Expanded Review
- Impact on eligibility when only off-scale increase is received
- Limit of two within-step increases
- RB I-8
TENURE/ SOE CLOCK EXTENSION

• Only applies to Assistant Professors/Lecturers PSOE
• Reasons include:
  • Childbearing, Child care, Personal illness, Activity completely unrelated to the academic career, significant circumstance or event
• Must be requested separately; leave approval alone does not stop the clock automatically
• Changes 8 year limit, does not change eligibility
• Can not count the time off “against” faculty in future reviews
• RB VI-1
OTHER ELIGIBILITY ISSUES

- Service on other UC campus or in other faculty series
- Start dates other than 7/1
- Leaves
- Special (overlapping) steps
DEFERRALS

• Assistant Professor - requires review
• Associate and Full Prof – notification or non-submission of materials
• No deferral of:
  • 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
A NOTE ON LSOE SERIES REVIEWS

• Old evaluation criteria: teaching, service, professional activities
• New evaluation criteria per 10/1/18 APM change
  • Teaching
  • University and public service
  • Professional and/or scholarly achievement and activity
• Which one to use?
TYPES OF REVIEW
DEAN’S AUTHORITY AND EXPANDED REVIEW
APPRAISALS, MERITS, PROMOTIONS
OTHER REVIEW-RELATED ACTIONS
TYPES OF REVIEW

• Dean’s Authority:
  • On time, one-step
  • Decelerated one-step
  • Assistant Professor Deferrals

• Other:
  • Reconsiderations
  • Retentions
  • Career Equity Review

• Expanded:
  • Acceleration
  • Within-Step Increase
  • Special steps
  • Appraisal
  • Promotion to Tenure (Associate)
  • Promotion to Professor
  • Merit to Prof VI
  • Merit to or within Above Scale
DEAN’S AUTHORITY REVIEWS

• Any one-step increase, on time or decelerated
• No external evaluation
• Expected level of performance in all four review areas
• RB I-30
ACCELERATIONS

• Types of acceleration
  • In years (early)
  • In salary/step (more than one step)
  • Mixed

• Justification

• No set measures
SPECIAL STEPS

• Counts as time in next rank
  • Assistant V or LPSOE V
  • Associate IV or LSOE IV

• Justification
  • Evidence of work that is likely to lead to promotion in the near future when completed

• RB I-4
APPRAISAL

- To assess progress towards tenure/ SOE
- Full career review
- Done during 4th year as Assistant Professor/Lecturer PSOE
- 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
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<td>Initial Appointment (7/1/2019)</td>
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<td>2020 – 21</td>
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<td>2021 – 22</td>
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<td>2022 – 23</td>
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<td>Appraisal (done Fall ‘22, effective 7/1/23)</td>
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<td>2023 – 24</td>
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<td>2024 – 25</td>
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<td>Tenure Review (done in Fall ‘24, effective 7/1/25)</td>
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<td>2025 – 26</td>
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<td><em>(new tenure case if F’24 tenure review fails)</em></td>
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<td>2026 – 27</td>
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<td>Terminal year if tenure not achieved</td>
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PROMOTION TO PROFESSOR/SENIOR LSOE (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 PROF VI/ SR. LSOE 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”
• “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

• 7% increase for “sustained excellence in all four review areas as well as new evidence of merit and distinction”
• Initial above scale merit vs. within Above Scale
  • Same standards for within Above Scale actions
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
• May be abbreviated case if:
  • Case with same effective date already done
  • Change in o/s only to match outside offer
• 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 done with an advancement case

• Addresses equity in rank/step only, not in salary

• 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

Department Prepares Case → Dean Decides → AVC Reviews → Decision Letter (AVC or Chancellor)
ADVANCEMENT CASE REVIEW PROCESS
EXPANDED REVIEW CASES

- Dept: Prepares Case
- Dean: Reviews
- CAP: Reviews
- AVC: Reviews or decides
- EVC: Reviews or decides
- Chancellor: Decides
ADVANCEMENT APPROVAL AUTHORITY

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<td>On-schedule, normative merits</td>
<td>Dean</td>
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<td>Decelerated one-step merits</td>
<td>Dean</td>
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<td>Merit to Professor VI, to and within Above Scale</td>
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<td>Other merits</td>
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<td>Formal Appraisal</td>
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<td>Lecturer SOE, Sr. Lecturer SOE</td>
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DEADLINES

• Cut-off Date (Sep 15)
• 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 (if applicable)
- 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

**2020-21 Promotion**

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<td>Total Salary</td>
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<td>Offscale Supplement</td>
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<td>Years at Rank</td>
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<td>Years at Step</td>
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<td>Years Since Last Advancement</td>
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Statement of Voting Method & Comments (Max 1500 characters):

Case Options

- **Dean’s Authority**
  - On schedule advancement to:
    - Assistant Professor III or IV
    - Associate Professor II or III
    - Professor II-V or VII-IX
    - Lecturer SOE (salary below Professor I)
    - Senior Lecturer SOE (salary below Professor V)
  - 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
  - Special Step (e.g. Assistant V, Associate IV)
  - Increase or Decrease in Off-Scale
  - No Change
  - Retention
  - Career Faculty Review
### Required Documents - Note: A Dean may require some of the items listed as optional.

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## Cover Sheet - Other Documents

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- **Candidate's Self-Assessment of Other Accomplishments and Activity**
  - Check here if included in Self-Assessment of Teaching above

- **Chair's Confidential Letter**

- **Minority Opinion Letter**
  - Redacted Minority Opinion Letter

- **Extramural Letters**
  - Number of extramural letters included: 0
  - Number of extramural letters suggested by department: 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

- **Redacted Extramural Letters, if provided to the candidate**

- **Curriculum Vitae**

- **CER Committee Report**

---

No Safeguard statement signed.
CASE DOCUMENTS

• Evaluation of teaching
  • ESCIs
  • Written student comments

• Publications
  • Appropriate for the review period
  • Can be hard copy or via link in bio-bib
  • If hard copy: number them to match the 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 follow format in Red Binder– see template online
• Cut-off of 9/15 (or earlier if set by department)
• Research
  • Cumulative (line drawn since last review)
  • Oldest = lowest number
  • Do not change previous publication numbers!
  • Clearly denote changes since last review
• Other areas should only include activity since last review
• Check links if publications are being submitted electronically
• RB I-27
## PREVIOUS BIO-BIB VS CURRENT BIO-BIB

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<td>10 ** (C-2) 2019</td>
<td>Pub Title #10</td>
</tr>
<tr>
<td>11 2019</td>
<td>Pub Title #12</td>
</tr>
</tbody>
</table>

* Previously listed as Work in Press
** Previously listed as Work Submitted

1 C-1 from previous bio-bib was withdrawn from submission
2 7a was left out of previous bio-bib and not counted
EXTERNAL REVIEWERS

• Candidate and department suggested names- independently derived
• Candidate has right to receive redacted copies and make comments
• All else same as with appointment cases
  • Sample letters – stick to the given RB wording
  • Items sent to external reviewers
  • Confidentiality statement
  • List of evaluators
  • *No identification in Dept Letter!* 💠
• RB I-46 – I-51
DEPARTMENTAL RECOMMENDATION

• Contents same as with appointment cases
  • Department Vote and Voting rights
  • Evaluation of all applicable review areas
  • Minority opinion letter
  • Chair’s confidential letter
• Candidate 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)
• Now includes acknowledgment of OAR completion
• Can request reviewing agency reports at close of case
• Must be completed for every case, for each department
• Completed on-line by the faculty member
• RB I-26
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
QUESTIONS?