

Senate Faculty Advancements

WORKSHOP
AUGUST 17, 2022

First merit case after initial appointment

- Appointment case submitted August 2020 for 7/1/21 start date
- First review: F'22, effective 7/1/23
- Cut-off point? August 2020, NOT July 2021

Advancement Approval Authority

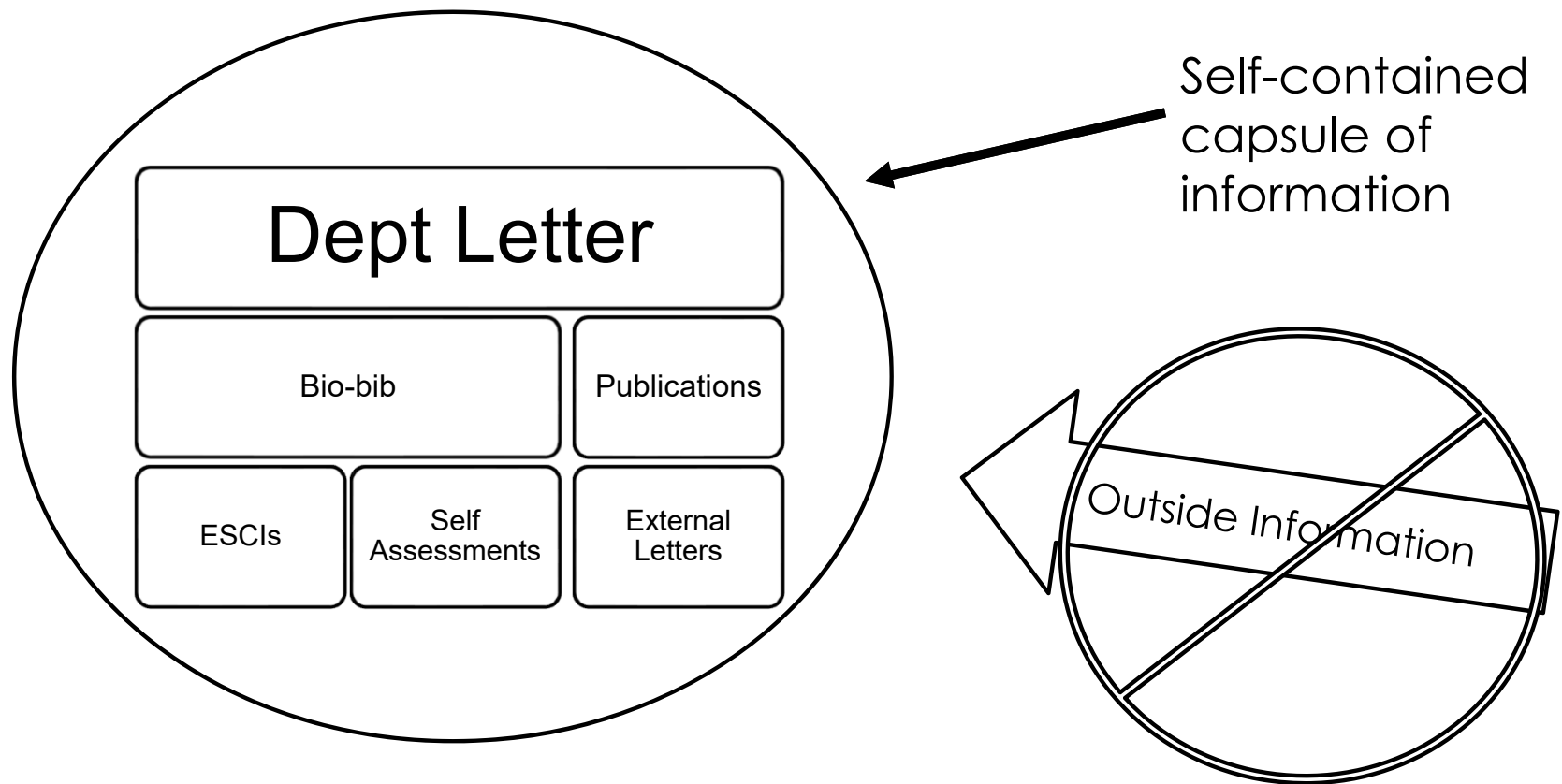
Merits	
Normative, one-step merits (on-schedule/decelerated)	Dean
Normative merit + add'l ½ step o/s @ Asst or Assoc rank	Dean
Merit to Professor VI, to and within Above Scale	Chancellor
Other merits (incl retentions, accelerations)	Associate Vice Chancellor
Formal Appraisal	Associate Vice Chancellor

Promotions	
Associate Professor, Professor	Chancellor
Lecturer SOE, Sr. Lecturer SOE	Chancellor

Case Materials

- Consider it a self-contained capsule of information
- Reviewing agencies DO read ALL materials submitted
- Dept Letter may only reference materials included with the case
- Bio-bib serves as official record
 - Must be consistent with other case materials, including dept letter and self assessments

Case Materials



Bio-bib

- Updated templates have been posted to our website:
 - Separate template for SOE's
 - Additional contextual information in Grants & Contracts section
 - Added "Level" of service for University Service listings
- Retain Section Headers, even if no content (do not delete!)
- Compare to previous biobib (or appt CV); account for changes
- Complete citation info for publications, in correct order
- How to classify items? Do not double-list items!

Bio-bib, cont'd

- Teaching: how did candidate meet dept teaching load?
- Ensure consistency with other case materials
 - Department Letter, Self Assessments, career review CV, etc
- Publication section always cumulative
- Other sections: Only items from the current review period
 - Reviewing agencies access previous materials
- Unsuccessful reviews: multiple line(s) going back to last successful (change in rank/step) review

Above Scale

- Normative advancement:
 - Continued performance at Above-Scale-expected levels in all areas
 - One increment = 10% of on-scale Step IX rate
 - \$18,100 on general scale; \$19,800 on B/E/E scale (based on 10/1/21 scale)
 - Effective 10/1/22: \$18,800 (general); \$20,600 (B/E/E)
- Accelerations:
 - No longer permitted in time (min 4 years between advancements)
 - 1.5 increments: extraordinary achievement in 2+ areas of review
 - 2 increments: extraordinary achievements in ALL areas of review
- Within Step IX: limited to \$ amount of one increment
- Be sure you are using the CORRECT scale!


Professor/Sr. LSOE Step VI

- External Letters no longer required
- Still considered a career review
 - Entire career can be touched on for context
 - Representative sampling of career-wide pubs
 - Candidate highly encourage to submit career-containing CV

External Letters

- Candidate and department-suggested names: independently derived
- No deviations from RB wording without AP consultation
- No directing/steering letter writers on what to include
- Items to send to reviewers
 - Maintain consistency with other case materials!
- What if an external reviewer declines to write but includes a bit of narrative about the candidate?

External Letters, cont'd

- Please avoid:
 - Close collaborators
 - Referees who have written for previous case
- Coded list should include ALL solicitations
- Deviations from standards, and pertinent referee info → coded list, not dept letter!
- ***No identifying info in department letter!!*** 

External Letters– Proper Redaction

- Header & footer only
 - 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

What not to put in a 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 a 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)

Department Letter

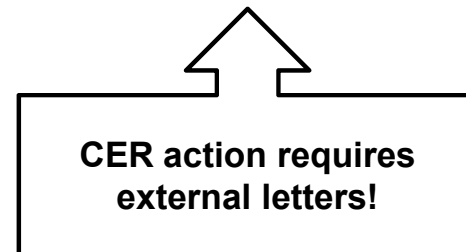
- Keep it succinct! Avoid lengthy quotations from referees
- Discuss only relevant review period
 - If career review, can use entire career for additional context
- Department letter contents must match provided materials (e.g. bio-bib)
- Must be original, analytical assessment, not copy/paste from self-statements or previous department letters, excessive referee quotes, or simple re-hash of bio-bib.
- NO confidential information!!

Career Equity Review (CER)

- Must be done in conjunction with normal advancement case
- Can be requested by candidate, department, or further reviewing agency
- Meant to address inequity in rank/step, NOT salary
- Correct order of actions:
 - Merit first
 - Then CER

CER Examples

- Currently at Professor II. Undergoing normative 1-step merit, plus CER for an additional step
 1. Merit first: Professor II → Professor III
 2. Then CER: Professor III → Professor IV
- Currently at Professor VIII. Same actions as above
 1. Merit first: Professor VIII → Professor IX
 2. Then CER: Professor IX → Professor Above Scale



CER : Cover Sheet entry

Present Status		Proposed Status	
Rank & Step	Professor III O/S	Rank & Step	Professor III O/S
Total Salary	\$ 120,000	Total Salary	\$ 120,000
Offscale Supplement	\$ 4,500	Offscale Supplement	\$ 4,500
Years at Rank	1	Effective Date	7/1/2023
Years at Step	1		
Years Since Last Advancement	1		
Proposed Status for Career Equity Reviews			
Rank & Step	Total Salary	Offscale Supplement	Effective Date
Professor IV O/S	\$ 128,500	\$ 4,500	7/1/2023

Voting Format

- Merits/Promotions:
 - 15 yes, 1 no, 0 abstain, 2 not voting (17 total eligible)
- Appraisals:
 - ~~19 yes, 2 no, 0 abstain, 3 not voting for Continued Candidacy~~
 - **19-Continued Candidacy, 2-Continued Candidacy with Reservations, 0-Terminal, 3 not voting**

Jointly-appointed faculty

- One department designated as “lead”
- Individual department materials
 - Department Letter
 - Safeguard Statement
 - ESCI summary
- Shared documents (only one copy per case)
 - Bio-bib
 - Self-statements and sabbatical reports
 - External Letters and coded reviewer list

Joint cases: materials sharing

Completed Bio-Bibliographical Update

[Edit](#)

[Add 3/30/20 5](#)

Document Type: ▼

Also Viewable By: Biomolecular Science and Engineering (BMSE)

Molecular, Cellular and Developmental Biology (MCDB)

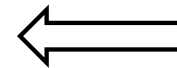
NOTE: You must click "Update Document" for these changes to take effect.

10/1/22 Salary Scales (RA)

- 4% to the scales
- 4% to off-scale
 - Adjustments are done incrementally
 - 4% of off-scale + new on-scale = new total salary
- 4% on Above Scale total salary

Safeguard Statement: key points

- Attestation of candidate's rights and responsibilities
- Responsibilities:
 - Accuracy of submitted bio-bib
 - Certification of Outside Activities (per APM 025)
- Rights:
 - Review/inspect nonconfidential materials and redacted confidential materials
 - Respond to the recommendation



Verify this!

Who is Responsible for What?

- Candidate:
 - Supply up-to-date materials on time, conforming to guidelines
 - 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
 - Ensuring electronic documentation is not modified during case review

Eligibility Factors

- Normative
- Within-step increase
- Special (overlapping) steps
- Start dates other than 7/1
- Service on other UC campus or in other faculty series
- Clock Extension (for tenure)
- Leaves (paid or unpaid)

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

Eligibility Scenario #1: tenure-track

- Professor Grant is appointed as Assistant Professor II on 7/1/17 and has an accelerated advancement to Assistant Professor IV, effective 7/1/19 (year 2).
- What is her next eligible action? Effective Date?
- What are her options for that review?
- What can/can't she defer?

Eligibility Scenario #2: tenure-track

- Professor Nash is appointed as Assistant Professor II on 7/1/15. He defers his 7/1/17 merit review, goes up the following year, and advances from Assistant II to Assistant III effective 7/1/18 (year 3).
- What are his next eligible actions in subsequent years?
- What are his options at each stage?
- What if he hadn't deferred the 7/1/17 (year 2) merit?

Eligibility Scenario #2b

- A slight twist on the previous scenario. Professor Wilson is appointed as Assistant Professor III on 7/1/15, and defers her 7/1/17 merit, advancing from Assistant III to Assistant IV effective 7/1/18 (year 3).
- What are her next eligible actions in subsequent years?
- How/why does it differ from Professor Nash's scenario?

Eligibility Scenario #3: special step

- Professor Han is advanced from Associate Professor III to Associate Professor IV, effective 7/1/19.
- What is his next eligible action? Effective date?
- What are his options for that review?
- Is a within-step increase possible?

Eligibility Scenario #4: within-step

- Professor Diaz is currently at Professor V, and receives a one-step, within-step increase effective 7/1/19
- What is his next eligible action? Effective date?
- What are his options for that review?

Eligibility Scenario #4: a side note

- What are the implications if Prof. Diaz elects to undergo merit advancement eff 7/1/20?
 - He is eligible
 - Is this a “normative” review?
 - What counts in this review period?

Eligibility Scenario #5: retention

- Professor Buckley was advanced to Professor IV effective 7/1/18. She was recruited by Stanford, but UCSB was able to counter this with a successful retention, effective 7/1/19.
- What was her original “next eligible” action? Date?
- How does the retention action affect her eligibility? Within-step increase limit?

Questions?