SENATE FACULTY APPOINTMENTS AND ADVANCEMENTS

SEPTEMBER 24, 2018
AGENDA - DAY 1 (APPOINTMENTS)

• General Review
• The Recruitment Process
• The Appointment Review Process
• Appointment Cases
ACADEMIC PERSONNEL CONTACTS

• Lia Cabello, Sr. Analyst
  x 5979  lia.cabello@ucsb.edu
  Social Sciences, Education, Creative Studies, Humanities & Fine Arts, Academic Programs

• Helly Kwee, Sr. Analyst
  x 5428  helly.kwee@ucsb.edu
  Math, Life & Physical Sciences, Bren, Engineering, ORUs
ADDITIONAL CONTACTS

• Dean’s Offices – first point of contact for questions
• Office of International Students and Scholars (OISS) – for visa related issues for new hires
• Equal Opportunity & Discrimination Prevention Office
GENERAL INFORMATION

SALARY SCALES
RANKS AND STEPS
L(P)SOE SERIES
SALARY SCALES

• Years at rank and step
• Overlapping (special) steps
• Off-scale, Above Scale
# Ranks, Steps, Normal Periods of Service

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<tr>
<th>ASSISTANT PROFESSOR</th>
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RB I-75
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LECTURER SOE SERIES

- Similar to Ladder Rank
- Security of Employment (instead of “tenure”)
- Salary scales
- PSOE covered by union if less than 100%
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The Recruitment Process

Before you can submit an Appointment Case...
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FTE

• Sources:
  • Annual Call
  • Search Waivers
  • Changes in FTE already granted (out of cycle)

• Result: Position Authorized
OPEN RECRUITMENT

• Background:
  • As federal contractor, must comply with federal laws prohibiting discrimination and requiring an Affirmative Action Program.
  • APM-035 Affirmative Action and Non-discrimination in Employment.

• Open Recruitment Policy:
  • Required for all academic positions

• RB VII-1
OPEN RECRUITMENT (SEARCH) PROCESS

- Form departmental search committee, including one faculty member designated as the departmental equity/diversity advisor
- Compose ad and submit Search Plan in UC Recruit (VII-4). Ensure ads and documentation are sufficient for possible non-resident hires.
- After Search Plan approval, publish recruitment and place ads
- Screen applicants and select finalists for on-campus interviews
- Generate the Short List Report and submit for approval
- After Short List approval, invite finalists for on-campus interviews
- Vote on proposed candidate
- Generate the Search Report and submit for approval
EXEMPTIONS AND SEARCH WAIVERS

• Exemptions to Open Recruitment (RB VII-1-II)
  • Not for ladder faculty
• Search Waiver Policy (RB VII-1-III)
  • Partner Hire
  • Exceptional Opportunity
  • Presidential Postdoctoral Fellowship Recipient
RESOURCES FOR FACULTY RECRUITMENTS

• Red Binder VII-4 (Procedures for Recruitment of Senate Faculty and Other Permanent Academic Appointments)
• Equal Opportunity & Discrimination Prevention Office
  patty.makela@ucsb.edu  x 3294
• Personnel Analyst in Academic Personnel Office or Dean’s office
NOW WE ARE READY FOR AN APPOINTMENT CASE!
APPOINTMENT CASE REVIEW PROCESS

OVERVIEW OF THE FLOW AND APPROVAL AUTHORITIES
REVIEWING AGENCIES

• Dean
• CAP
  • Composition of committee
  • Role in the review of an appointment
• Ad Hoc
  • Composition of committees
  • Role in the review of an appointment
  • Confidentiality
**Appointment Approval Authority**

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<td>Lecturer PSOE</td>
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<td>Lecturer SOE, Sr. Lecturer SOE</td>
<td>Chancellor</td>
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</table>

- All official offer letters come from the EVC or Chancellor via the AP Office
APPOINTMENT CASE REVIEW PROCESS

- Prepares case
  - Dept

- Endorses or Approves
  - Dean

- Reviews or Approves
  - AVC

- Reviews or Approves
  - EVC

- Reviews or Approves
  - Chancellor

- Reviews
  - CAP

  Review
DEADLINES

• UC: Offer made by April 1
• AAU: Offer made by April 30
• Competing offers
• RB I-14
THE APPOINTMENT CASE
WHAT GOES INTO IT?
THE APPOINTMENT CASE

Contents of a Case

- Departmental Recommendation
- External Letters
- Other Items
  - Rank/Step/Salary
  - Justification
  - Startup
  - One-of-a-kinds
CONTENT OF AN APPOINTMENT CASE

- Department Letter
- External Letters
- CV
- UCSB Biography Form
- Publications
- Start-up Request
- See checklist at RB I-15
DEPARTMENTAL RECOMMENDATION

• Voting rights and discussion of actual vote
• Evaluation of all review areas
• Joint appointments
• Minority opinion letters
• Chair’s confidential letters
RANK, STEP & SALARY RECOMMENDATION

• Rank and step based on record
• Salary based on record plus market (e.g. competing offers)
• Justify high off-scales
• Intercampus recruitment limits
EXTERNAL LETTERS

• Sample solicitation letters
• Placement files
• Confidentiality statement
• Materials sent to reviewers
• List of evaluators
• No identification!
• RB I-46, I-49, I-50, I-51
ADDITIONAL ITEMS / ONE-OF-A-KINDS

• CV
• UCSB Biography form
• Publications
• Other supporting documentation
OTHER ITEMS TO SEND WITH THE CASE

• Faculty Enrichment request
• Correspondence
• Start-up requests
START-UP ITEMS

• Equipment
• Recruitment (Housing) Allowance -- Table 40
• Removal
• Space renovation
• Summer salary
• Other (research funds, etc.)
• MOP loans
• For-purchase housing
• Rental housing
• RB I-18
Once a decision is made

- Offer letter is sent to the candidate from the Chancellor or EVC
- Department, College, and CAP (if applicable) cc’d on letter
- Dean or Chair communicates start-up and other items
- Candidate accepts?
  - Department does hire paperwork and puts into UC Path
  - Becomes an employee and undergoes future advancements
- Candidate declines?
  - Department either goes to a second candidate, reopens search, or puts search on hold
QUESTIONS?
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

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<tr>
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<td>I</td>
<td>3</td>
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<td>(1100,</td>
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<td>VIII</td>
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<td>IX</td>
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<td>160,800</td>
<td>13,400.00</td>
<td>167,200</td>
<td>13,933.33</td>
<td>172,800</td>
<td>14,400.00</td>
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</tbody>
</table>
OFF-SCALE SALARIES

• Maintained in Dean’s Authority cases
• Decrease or increase? Becomes Expanded Review
• Impact on eligibility when only off-scale increase is received
• Limit of two within-step increases
• RB I-8
TIME OFF THE CLOCK

• 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 time off the clock)
  - Tenure review into 8th year
  - Mandatory review
- RB I-4
MANDATORY REVIEW

• 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
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
  • Promotion to Professor
  • Merit to Prof VI
  • Merit to or within Above Scale
DEAN’S AUTHORITY REVIEWS

• Any one-step increase
• 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
  • Associate IV

• Justification
  • Shows evidence of work that is likely to lead to promotion in the near future when completed
  • Asst. V; can be based on research or teaching

• RB I-4
APPRAISAL

• To assess progress towards tenure/ SOE
• Done during 4th year as Assistant Professor/Lecturer PSOE
• Full career review
• Options for recommendation
• Separate vote if done in conjunction with merit case
• RB I-38
PROMOTION TO TENURE

• “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
<table>
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<th>Number</th>
<th>Event</th>
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<tbody>
<tr>
<td>2018–19</td>
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<td>Initial Appointment (7/1/2018)</td>
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<tr>
<td>2019–20</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>2020–21</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>2021–22</td>
<td>4</td>
<td>Appraisal (done Fall ‘21, effective 7/1/22)</td>
</tr>
<tr>
<td>2022–23</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>2023–24</td>
<td>6</td>
<td>Tenure Review (done in Fall ‘23, effective 7/1/24)</td>
</tr>
<tr>
<td>2024–25</td>
<td>7</td>
<td>(new tenure case if F’23 tenure review fails)</td>
</tr>
<tr>
<td>2025–26</td>
<td>8</td>
<td>Terminal year if tenure not achieved</td>
</tr>
</tbody>
</table>
PROMOTION TO PROFESSOR

• “Requires an accomplished record of research that is judged to be excellent within the larger discipline or field. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for advancement to Professor. Sustained excellence in the areas of University and public service as well as professional activity is expected”

• Career review

• RB I-41
ADVANCEMENT TO PROFESSOR VI

• “Evidence of sustained and continuing excellence in each of the following categories (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”

• Career review

• Merit, not promotion

• Not automatic, can stay at Prof V indefinitely

• RB I-42
ABOVE SCALE

• “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.”

• 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

• RB I-43
RECONSIDERATIONS (APPEALS)

• Justification:
  • New documentation of material in the case prior to cut off
  • Evidence that reviewing agencies neglected important features of the case
• Recommendation remains the same as in original case
• Sign Safeguard statement for this case, too
• Different standard for promotion to tenure (RB I-39)
• RB I-10
RETENTIONS

• May be abbreviated case if:
  • Case with same effective date already done
  • Change in o/s only to match outside offer
• Retentions other than 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; i.e., a faculty’s rank, step, and/or salary is not commensurate with the candidate’s merit as assessed in the areas of research, teaching, professional activity, and service and in terms of the standards appropriate to the candidate’s field, specialization, and cohort.”

• Not an alternative to regular review process; must be done with an advancement case

• 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

<table>
<thead>
<tr>
<th>Merits</th>
<th>Authority</th>
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<tbody>
<tr>
<td>On-schedule merits</td>
<td>Dean</td>
</tr>
<tr>
<td>Decelerated one-step merits</td>
<td>Dean</td>
</tr>
<tr>
<td>Merit to Professor VI, to and within Above Scale</td>
<td>Chancellor</td>
</tr>
<tr>
<td>Other merits</td>
<td>Associate Vice Chancellor</td>
</tr>
<tr>
<td>Formal Appraisal</td>
<td>Associate Vice Chancellor</td>
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</table>

<table>
<thead>
<tr>
<th>Promotions</th>
<th>Authority</th>
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</thead>
<tbody>
<tr>
<td>Associate Professor, Professor</td>
<td>Chancellor</td>
</tr>
<tr>
<td>Lecturer SOE, Sr. Lecturer SOE</td>
<td>Chancellor</td>
</tr>
</tbody>
</table>
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
• Report on Outside Activities
• Safeguard Statements
• External Letters and other related items
• Self Statements
• Sabbatical Leave Reports
• Teaching Evaluations
• Publications
• Dean’s Authority Cases: RB I-31
• Expanded Review Cases: RB I-34
### COVER SHEET - SUMMARY

<table>
<thead>
<tr>
<th>Present Status</th>
<th>Proposed Status</th>
</tr>
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<tbody>
<tr>
<td>Rank &amp; Step</td>
<td>Rank &amp; Step</td>
</tr>
<tr>
<td>Total Salary</td>
<td>Total Salary</td>
</tr>
<tr>
<td>Offscale Supplement</td>
<td>Offscale Supplement</td>
</tr>
<tr>
<td>Years at Rank</td>
<td>Effective Date</td>
</tr>
<tr>
<td>Years at Step</td>
<td>7/1/2019</td>
</tr>
<tr>
<td>Years Since Last Advancement</td>
<td></td>
</tr>
</tbody>
</table>

- **Present Status**
  - Rank & Step: Professor II O/S
  - Total Salary: $119,400
  - Offscale Supplement: $20,600
  - Years at Rank: 6
  - Years at Step: 3

- **Proposed Status**
  - Rank & Step: -
  - Total Salary: $0
  - Offscale Supplement: $0
  - Effective Date: 7/1/2019

### Department Votes

- **Yes:**
- **No:**
- **Abstain:**
- **Not Voting:**
- **Total Eligible:**

**Statement of Voting Method & Comments:**

### 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 Equity Review
### COVER SHEET - REQUIRED DOCUMENTS

<table>
<thead>
<tr>
<th>Required Documents - Note: A Dean may require some of the items listed as optional.</th>
<th></th>
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<tbody>
<tr>
<td>Departmental Letter of Recommendation</td>
<td>Choose File</td>
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<tr>
<td>Completed Bio-Bibliographical Update</td>
<td>Choose File</td>
</tr>
<tr>
<td>Copies of Publications</td>
<td>Choose File</td>
</tr>
</tbody>
</table>

**Evaluation of Teaching:**

ESC1 Score Tabulation, either of the following:

- ESC1 5 Year Summary
- Individual ESC1 Forms

At least one of the following additional sources of evaluation:

- Written Student Evaluations
- Candidate’s Self-Assessment of Teaching
- Instructional Consultation Report
- Peer Evaluation or Other Teaching Reports

**Additional Source(s) of Evaluation:**

One of a kind

Sabbatical Leave Report (for the period, if any) | Choose File | No file chosen |
### COVER SHEET - OTHER DOCUMENTS

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<tr>
<th>Optional Documents</th>
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<tbody>
<tr>
<td>Candidate's Request</td>
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<tr>
<td>Candidate's Response to Department</td>
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<td></td>
</tr>
<tr>
<td>Outside Offer Letter</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget &amp; Planning Teaching Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other:</td>
<td>One of a kind</td>
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</tr>
<tr>
<td>Candidate's Self-Assessment of Other Accomplishments and Activity</td>
<td>Choose File</td>
<td>No file chosen</td>
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<tr>
<td>Chair's Confidential Letter</td>
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<tr>
<td>Minority Opinion Letter</td>
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<tr>
<td>Redacted Minority Opinion Letter</td>
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</tr>
<tr>
<td>Extramural Letters</td>
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<td>Number of extramural letters included: 0</td>
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<td></td>
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<tr>
<td>Number of extramural letters suggested by department: 0</td>
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<tr>
<td>(1) List of Referees: Including brief biography and indicating who selected referees</td>
<td>Choose File</td>
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<tr>
<td>(2) Sample Solicitation Letter</td>
<td>Choose File</td>
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<tr>
<td>(3) List of Items Sent to Reviewers: Include a copy of any items not already included in the case</td>
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<td>No file chosen</td>
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<tr>
<td>Redacted Extramural Letters, if provided to the candidate</td>
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<td>No file chosen</td>
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<tr>
<td>Curriculum Vitæ</td>
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<tr>
<td>CER Committee Report</td>
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No Safeguard statement signed.

**Outside Activities Reporting (APM025) - Check the years you wish to include.**

- [x] 2015-16 No Outside Activities Report Uploaded
- [x] 2014-15 No Outside Activities Report Uploaded
- [x] 2013-14 View APM025
- [x] 2012-13 View APM025

[View Online Outside Professional Activities]
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
  - Numbered to match bio-bib if hard copy
- Self statements
  - As required by department or college
  - Research and/or other activities, including contributions to diversity
CASE DOCUMENTS (CONT'D)

• Sabbatical leave reports
• Report on outside activities (APM-025)
  • Done online
  • Category I and II reported
• Other supporting documentation
  • Anything they want as long as not in conflict with policy or rights of others
BIO-BIBLIOGRAPHY

• Must follow format in Red Binder—see template online
• Cut off of 9/15 (or earlier if set by department)
• Research
  • Cumulative
  • Oldest = lowest number
  • Do not change previous publication numbers!
  • 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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**Work in Press:**

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**Work Submitted:**

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<td>2017</td>
<td>Pub Title #10</td>
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<tr>
<td>C-2</td>
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<td>Pub Title #11</td>
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**Since Last Review:**

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<td>2016</td>
<td>Pub Title #8</td>
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<tr>
<td>11</td>
<td>2018</td>
<td>Pub Title</td>
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</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 wording
  - Items sent to external reviewers
  - Confidentiality statement
  - List of evaluators
  - *No identification in Dept Letter!*
- RB I-46
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)
• 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?