Senate Faculty

Appointments and Advancements

September 19, 2017
Agenda - Day 1

- General Review
- The Recruitment Process
- The Review Process
- Appointment Cases
Academic Personnel Contacts

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Math, Life & Physical Sciences, Bren, Engineering, ORUs

**Karen Moreno**, Sr. Analyst

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Social Sciences, Education, Creative Studies, Humanities and Fine Arts, Academic Programs
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 Review and Information

- Salary Scales
- Ranks and Steps
- Lecturers SOE
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>
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RB I-75
## TABLE 1
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ACADEMIC YEAR

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Lecturer SOE series

- Similar to Ladder Rank
- Salary scales
- PSOE covered by union if less than 100%
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The Recruitment Process

- FTE
- Affirmative Action
- The Search Process
Overview

- FTE
- Position Authorized
- Recruitment
- Appointment
FTE

- Annual Call
- Search Waivers
- Changes in FTE already granted

Result: Position Authorized
Open Recruitment

RB VII-I

- **Background:**
  - As federal contractor, must comply with federal laws prohibiting discrimination and requiring an Affirmative Action Program.


- **Open Recruitment Policy:**
  - Required for all academic positions
Open Recruitment (Search) Process

• Form departmental search committee, including one faculty member designated as the departmental equity/diversity advisor

• Compose an ad and complete the Recruitment Plan in UC Recruit (VII-4)  
  Make sure ads and documentation are sufficient for possible non-resident hires.

• Submit the Recruitment Plan for review and approval. After approval, publish recruitment and place ads

• Screen applicants and select finalists to be brought to campus for interviews

• Generate the Short List Report and submit for approval

• Interview the finalists

• Generate Search Report and submit for approval
Exemptions and Search Waivers

• Exemptions to Open Recruitment (RB VII-1-II)
  o Not for ladder faculty

• Search Waiver Policy (RB VII-1-III)
  o Partner Hire
  o Exceptional Opportunity
  o 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
  lia.cabello@oeosh.ucsb.edu  x3294

• Personnel Analyst in Academic Personnel Office or Dean’s office
Appointment Case Review Process

- Appointment case review process
- Reviewing agencies
- Approval Authority
- Deadlines
Appointment Case Process Flow

1. Department Prepares Case
2. Dean (review or decide)
3. CAP Review
4. AVC (review or decide)
5. EVC (review or decide)
6. Chancellor decides
Reviewing agencies

• Dean

• CAP
  o Composition of committee
  o Role in the review of an appointment

• Ad Hoc
  o Composition of committees
  o Role in the review of an appointment
  o Confidentiality
Appointment Approval Authority

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<td>Lecturer PSOE</td>
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<td>Lecturer SOE, Sr. Lecturer SOE</td>
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All official offer letters come from the EVC or Chancellor via the AP Office
Deadlines

• UC: April 1

• AAU: April 30

• Competing offers
The Appointment Case

Contents of a Case

- Departmental Recommendation
  - Rank/Step/Salary
- External Letters
- Other Items
  - Startup
  - One-of-a-kinds
The Appointment Case

- Contents of a case
- Departmental recommendation
- External letters
- Other items in the case
- Startup
Contents of an Appointment Case

RB I-15

• Department Letter
• External Letters
• CV
• UCSB Biography Form
• Publications
• Start-up Request
Departmental Recommendation

• Voting rights
• 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 (current salary, competing offers)
- Justify high off-scales
- Intercampus recruitment limits
External Letters
RB I-46, I-49, I-50, I-51

- Sample letters
- Placement files
- Confidentiality statement
- Materials sent to reviewers
- List of evaluators
- **No identification!**
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

RB I-18

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

• Department and College informed, CAP cc’d on letter
• Offer letter is sent to the candidate from the Chancellor or EVC
• Dean or Chair communicates start-up and other items
• Candidate accepts
  o Department does hire paperwork, enters into PPS
  o Becomes an employee and has future advancements
• Candidate declines
  o Department either goes to a second candidate, reopens search, or puts search on hold
Questions?
Agenda - Day 2

• Advancement eligibility

• Types of cases

• Case preparation
Eligibility

• “Normal” eligibility

• Off-scale salaries

• Time off the clock

• Other eligibility issues
“Normal” eligibility
RB I-30

• 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
Ranks, Steps, Normal periods of service

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<td>13,400.00</td>
<td>166,200</td>
<td>13,850.00</td>
<td></td>
</tr>
</tbody>
</table>
Off-Scale Salaries
RB I-8

• Maintained in Dean’s Authority cases

• Decrease or increase is Expanded Review

• Impact on eligibility when only off-scale increase is received

• Limit of two within-step increases
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; being on leave does not stop the clock

Changes 8 year limit, does not change eligibility

Can not count the time off ‘against’ the person in future reviews
Other Eligibility issues

• Service on other campus or in other Professor series

• Start dates other than 7/1

• Special (overlapping) steps
Deferrals
RB 1-4

• 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
Mandatory review
RB I-4

- Once every 5 years

- Administrative exemption

- Lack of candidate involvement
Types of review

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

- Other:
  - Reconsiderations
  - Retentions
  - Career Equity Review

- Expanded:
  - Acceleration
  - Special steps
  - Appraisal
  - Promotion to Tenure
  - Promotion to Professor
  - Merit to ProfVI
  - Merit to or within Above Scale
Dean’s Authority reviews
RB I-30

- Any one-step increase
- No external evaluation
- Expected level of performance in all four review areas
Accelerations

RB I-36

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

• Justification

• No set measures
Special Steps
RB I-37

• 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
Appraisal
RB I-38

• To assess progress towards tenure/ SOE

• Done during 4th year as Assistant Professor/Lecturer PSOE

• Full career review

• Options for recommendation

• Separate vote
Promotion to tenure

RB I-40

• “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
Promotion to Professor

RB I-41

• “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
Advancement to Professor VI

RB I-42

- “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
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.”

• 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
RB I-10

• Justification:
  • New documentation of material in the case prior to cut off
  • Evidence that reviewing agencies neglected important features of the case

• Recommendation same as in original case

• Different standard for promotion to tenure (RB I-39)
Retentions

RB I-44

• 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
Career Equity Review
RB I-6

• “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
Advancement Case Review Process

1. Department Prepares Case
2. Dean (review or decide)
3. CAP Review
4. AVC (review or decide)
5. EVC (review or decide)
6. Chancellor decides
## Advancement Approval Authority

<table>
<thead>
<tr>
<th><strong>Merits</strong></th>
<th><strong>Authority</strong></th>
</tr>
</thead>
<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>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Promotions</strong></th>
<th><strong>Authority</strong></th>
</tr>
</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

RB I-2

- Departmental

- College
  - Dean’s Authority: 2nd Monday in November
  - Expanded: 2nd Monday in December

- Internal: Dean to AP, AP to CAP

- All cases finalized by June 30
Contents of a case

Dean’s Authority Cases: RB I-31
Expanded Review Cases: RB I-34

• Departmental Letter
• Bio-bib
• Report on Outside Activities
• Safeguard Statements
• External Letters and other related items
• Self Statements
• Sabbatical Leave Reports
• Teaching Evaluations
• Publications
## Cover Sheet – Summary

<table>
<thead>
<tr>
<th>Present Status</th>
<th>Proposed Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rank &amp; Step</td>
<td>Rank &amp; Step</td>
</tr>
<tr>
<td>Total Salary</td>
<td>$0</td>
</tr>
<tr>
<td>Offscale Supplement</td>
<td>$0</td>
</tr>
<tr>
<td>Years at Rank</td>
<td>11</td>
</tr>
<tr>
<td>Years at Step</td>
<td>3</td>
</tr>
</tbody>
</table>

### Department Votes

- [ ] Yes
- [ ] No
- [ ] Abstain
- [ ] Not Voting
- [ ] Total Eligible

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

### Case Options

- [x] Dean's Authority
  - On schedule advancement to:
    - Assistant Professor III or IV
    - Associate Professor II or III
    - Professor II-V or VIII-IX
    - Lecturer SOE (salary below Professor I)
    - Senior Lecturer SOE (salary below Professor V)
  - Deceleration in time of any of the above

- [x] 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

Effective Date: 7/1/2018
## Cover Sheet – Required Documents

<table>
<thead>
<tr>
<th>Required Documents - Note: A Dean may require some of the items listed as optional.</th>
<th>Choose File</th>
<th>No file chosen</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departmental Letter of Recommendation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completed Bio-Bibliographical Update</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Copies of Publications</td>
<td>One of a kind</td>
<td></td>
</tr>
<tr>
<td>Evaluation of Teaching:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ESCI Score Tabulation, either of the following:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ESCI 5 Year Summary</td>
<td>Choose File</td>
<td>No file chosen</td>
</tr>
<tr>
<td>Individual ESCI Forms</td>
<td>One of a kind</td>
<td></td>
</tr>
<tr>
<td>At least one of the following additional sources of evaluation:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Written Student Evaluations</td>
<td>One of a kind</td>
<td></td>
</tr>
<tr>
<td>Candidate’s Self-Assessment of Teaching</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Instructional Consultation Report</td>
<td>Choose File</td>
<td>No file chosen</td>
</tr>
<tr>
<td>Peer Evaluation or Other Teaching Reports</td>
<td>Choose File</td>
<td>No file chosen</td>
</tr>
<tr>
<td>Additional Source(s) of Evaluation:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>One of a kind</td>
<td></td>
</tr>
<tr>
<td>Sabbatical Leave Report (for the period, if any)</td>
<td>Choose File</td>
<td>No file chosen</td>
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</table>
## Cover Sheet – Optional Document

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

No Safeguard statement signed.

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

- 2016-17 No Outside Activities Report Uploaded
- 2015-16 No Outside Activities Report Uploaded
- 2014-15 No Outside Activities Report Uploaded
- 2013-14 View APM025
- 2012-13 View APM025

[View Online Outside Professional Activities](#)
Case Documents

• Evaluation of teaching
  o ESCIs
  o Written student comments

• Publications
  o Appropriate for the review period
  o Can be hard copy or via link in bio-bib
  o Numbered to match bio-bib if hard copy

• Self statements
  o As required by department or college
  o Research and/or other activities, including contributions to diversity
Case Documents (cont’d)

• Sabbatical leave reports

• Report on outside activities (APM-025)
  o Done on-line
  o Category I and II reported

• Other supporting documentation
  o Anything they want as long as not in conflict with policy or rights of others
Bio-Bibliography
RB I-27

- 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 are since last review

- Check links if publications are being submitted electronically
## Previous Bio-bib vs Current Bio-bib

<table>
<thead>
<tr>
<th>Previous Bio-bib</th>
<th>Current Bio-bib</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 2015 Pub Title #7</td>
<td>7 2015 Pub Title #7</td>
</tr>
<tr>
<td>8 2015 Pub Title #8</td>
<td>7a 2015 Pub Title #7A</td>
</tr>
<tr>
<td><strong>Work in Press:</strong></td>
<td><strong>Work Submitted:</strong></td>
</tr>
<tr>
<td>B-1 2016 Pub Title #9</td>
<td>C-1 2016 Pub Title #10</td>
</tr>
<tr>
<td><strong>Work Submitted:</strong></td>
<td>C-2 2016 Pub Title #11</td>
</tr>
<tr>
<td>C-1 2016 Pub Title #10</td>
<td><strong>Since Last Review:</strong></td>
</tr>
<tr>
<td>C-2 2016 Pub Title #11</td>
<td>9 * 2015 Pub Title #9</td>
</tr>
<tr>
<td>10 ** 2016 Pub Title #2</td>
<td></td>
</tr>
<tr>
<td>11 2017 Pub Title</td>
<td></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 Letters

RB I-46

• Candidate and department suggested names

• 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!
Departmental Recommendation

RB I-35

• Contents same as with appointment cases
  • Voting rights
  • Evaluation of all review areas
  • Minority opinion letter
  • Chair’s confidential letter

• Candidate right to respond
  • To the Chair/Department
  • To the Dean
Safeguard Statement

• Ensures faculty rights and access to confidential documents
• Request concerning ad hoc committees
• 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
Once a decision is made

• Decision letter is sent to the faculty member from the Chancellor or AVC, with copy to Dean, Department and CAP
• Candidate and Department are happy; move on to next review period
• Candidate or Department is not happy; reconsideration possible
Questions?