

**ACADEMIC PERSONNEL  
MERIT & PROMOTION REMINDERS & HELPFUL HINTS  
2017-18 Cycle, Effective July 1, 2018**

**MONDAY, NOVEMBER 13, 2017 – Dean’s Authority Case Deadline**

**MONDAY, DECEMBER 11, 2017 – Expanded Review Case Deadline**

**GENERAL INFORMATION:**

- Cases received **after the due date** will be **returned to the Department** and will not be processed. A missed deadline may not be used as justification for retroactivity in a future review.
- **Departmental Checklist for Academic Advancement (RB I-22):** a copy of this checklist **must be given to the candidate** at the beginning of his or her review. The Department Chair has the responsibility to see that each of the steps is completed at the appropriate time.
- **September 15<sup>th</sup>** is the campus-wide **default cut-off date** for the Bio-Bib and other case materials; many departments have a much earlier cut off date (e.g. June 30<sup>th</sup>) to ensure that case materials are collected in time to meet the hard deadlines. Reviews should only contain activity through September 15<sup>th</sup>. The only exception to this is tenure cases.
- Requests for **extensions** must come from the Department Chair and should be addressed by **e-mail** to the AVC for Academic Personnel with copies to the Dean and both the AP and College Analyst. Requests should be specific, including how much time is needed, and should be made **before the deadline** has been reached. Requests will be considered on a case-by-case basis.
- **USE THE CHECKLISTS** in **RB I-30 (Dean’s Authority cases)** and **I-33 (Expanded Review cases)**. If the checklist has been **responsibly completed**, the case will most likely be complete when submitted to the College.

**DEFERRALS:**

- As soon as you know a faculty member will be deferring, please go to the Eligibility Report in AP Folio and indicate “Defer No Case.” Deferral requests for **Assistant Professors require a thorough evaluation by the department and final approval by the Dean. They should be uploaded as soon as possible, but no later than the Dean’s Authority deadline. Normally formal appraisals may not be deferred. In exceptional circumstances, if an Assistant Professor was previously granted a one year extension of the tenure clock, deferral of the formal appraisal may be requested. Mandatory Reviews may not be deferred.**

**JOINT APPOINTMENTS:**

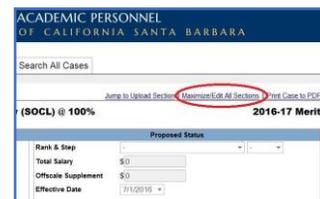
- See **RB I-23 (Case Preparation for Individuals with Joint Appointments)** for joint appointment review instructions, including soliciting external letters.

- Inform your College analyst which department will be the “lead”. The lead department’s case must be submitted by the established deadline. The secondary department *may* have up to an additional 30 days to submit their case. **Notify your College analyst if you need that additional time.**
- Both department analysts and both Chairs should communicate throughout the process to make sure (especially for career reviews) that they are up-to-date in regards to material collection, timing, and other aspects of the case.
- The first department is encouraged to review joint cases early to allow the second department adequate time. Keep in mind that the second department’s time to review the case is interrupted by winter breaks when faculty, and oftentimes staff, are gone.
- Both departments must use the **same bio-bib** and one-of-a-kind items for Parts I and III of the bio-bib.
- Both departments are encouraged to use the same self-assessment.
- The lead department will collect all materials for the case. The lead department will upload and forward case documents to their College analyst, and forward one-of-a-kinds to the secondary department.
- The lead department analyst needs to give the secondary department access to each case document by check-marking the box per document on the cover sheet.
- The secondary department will forward its own coversheet, department letter, safeguard statement, and any documents unique to their department (i.e. a separate budget and planning report, 5 year summary of ESCIs, self-assessment). Written comments for courses in the second department should be added to the one-of-a-kinds and sent to the College.
- The candidate is required to do separate safeguard statements for each department.
- Outside Activities Reports only need to be filled out once but should be signed by both department chairs. Each department personnel analyst should attach the OARs to the case.

#### **MERIT INFORMATION/CASE SUMMARY SHEET:**

- If the proposed salary includes **off-scale**, make sure that there is an **o/s indicator** in the “**Rank and Step**” field.
- All ladder faculty salaries should be **rounded to the nearest 100**, i.e. \$56,800, not \$56,828. Salaries for LPSOEs, LSOEs and Sr. LSOEs can be found on [Table 10-B](#) and should not be rounded. When calculating off-scale, please reference the correct column of the salary scale.
- The vote reported on the summary sheet should be the **final vote**; e.g.: **15 yes, 0 no, 0 abstentions, 3 not voting; 18 eligible**. Only Formal Appraisals & Career Equity Reviews should include more than one vote. AP Folio has space to record the second vote.

- **Accelerations:** When is it appropriate to check the “Acceleration” box on the summary sheet?
  - When recommending advancement before normative time at step (e.g. merit to Prof. II after only 2 years at Prof. I.);
  - When recommending advancement of more than one step (e.g. Prof. I to Prof. III.);
  - When recommending an increase in off-scale in addition to an increase in rank or step; (e.g. Prof. I O/S to Prof. II O/S and increasing the off-scale amount).
- **Recommending a within step increase (adding additional off-scale without changing rank or step) is NOT an acceleration;** for example, remaining at Professor I O/S and increasing the off-scale amount from \$1000 to \$2000. Faculty cannot receive a within step merit until **normative time at step**. Faculty are limited to two-within step merit increases at each step.
- If sabbatical was taken during the current review period, upload a **sabbatical report**.
- To make changes to the AP Folio Coversheet after submitting the case, use the “Maximize/Edit All Sections” link at the top right of the Coversheet.



## EXTERNAL LETTERS:

- It is important that **reviewers are selected carefully**. Guidelines are in [RB I-46-IV](#), which we strongly urge department chairs and ad hoc committees to read before soliciting letters. Two important points: 1) avoid reviewers that are close collaborators with the candidate, and 2) avoid reviewers that have written for previous cases for the candidate.
- If outside reviewers **e-mailed** their letter and an electronic signature is not present on the letter, include a copy of the e-mail to which the letter was attached.
- Red Binder wording for **soliciting external review letters** changes often and in subtle ways. **Check the RB every year** for the exact wording for the rank and step that the department is proposing ([RB I-50](#)), and for any changes in the confidentiality statement ([RB I-49](#)). Content may be rearranged in solicitation letters, but **nothing should be added or deleted without prior approval of the Office of Academic Personnel**.
- The **coded list of external reviewers** should clearly indicate which reviewers were suggested by the **department**, the **candidate**, or **jointly**, and if any letters were **unsolicited**. Note if a reviewer wrote for a candidate’s previous career review(s). The *List of Reviewers* should include names of reviewers who were **solicited but did not respond**, and those who **declined with their reason for declining**, if known. Brief biographies are required for reviewers who write. These biographies are the responsibility of the Chair or the academic personnel committee’s Chair.
- Per [RB I-22](#), **redacted copies of external letters** should be given to the candidate when requested and before the department meeting, to give the candidate an opportunity to respond to the external letters. Redacted letters should be coded to match the original letters. When redacting, do not redact any information in the body of the letter, *even if* the author self-identifies.

## BIO-BIBLIOGRAPHY:

The most common problems with cases involve the Bio-bib. Make sure the Bio-bib is **properly formatted, per [RB I-27](#)**. The Bio-bib form is located on the AP website under **“Forms.”**

- Please put **page #'s** on the bio-bib.
- **Part I** (list of publications or creative activities) of the Bio-Bib **must always be cumulative**, and include a line separating new items since the last review. If the last review was a retention or was not “successful” (i.e. did not result in a change in rank or step), there should be two lines.
- Never change the numbering or order of published items. If a published item was inadvertently left off in the last review, it can be inserted into Part I with a number and letter (i.e. #102A).
- If publications are being **submitted via electronic links**, links must be listed in the “Title and Author” information. The link must go directly to the specific item. Electronic links may **only be used for final versions of documents**. In general, work in press and published may be provided electronically while work submitted or in process should be submitted in hard copy format. **Please double-check that all links are working before submitting the case.**
- **Parts II and IV** of the Bio-Bib **do not have to be cumulative, even in a tenure or career review**. The mini CV on the first page of the Bio-Bib can be used to highlight career accomplishments. Should reviewing agencies have questions about previous review periods, they can reference Bio-Bibs submitted in previous cases. *However, if a department requires or permits faculty to submit Bio-Bibs that are cumulative in all sections, then all faculty in that department must do so, and there must be a line drawn in each section of the Bio-Bib separating new items since the last review.*
- **Part III** of the Bio-Bib ***should be as cumulative as possible for career reviews*** for HFA departments. Candidates should highlight important lectures/lecture venues, awards, fellowships and special appointments from throughout their careers.
- **Counting publications: Published (A) and Work in Press (B)** items are counted toward advancement, and once counted for an advancement, cannot be counted again. **Work Submitted (C) and Work in Progress (D)** are not counted for the advancement, but are used as evidence of continuing research activity. **Errors in counting** are the most common errors in academic personnel cases. Please double-check numbers cited in the department letter against the Bio-Bib.
- If publications were listed as **In Press (B items) or Submitted (C items) in the prior review**, make sure that they are accounted for on the current Bio-Bib, e.g. “\*” footnote = previously listed as In Press; “\*\*” footnote = previously listed as Submitted. If a publication was withdrawn from submission, or rejected, or did not get published for some reason, it must be accounted for on the current bio-bib with a note. Works in Progress are not tracked from review to review.
- In the teaching section, include a statement of the department’s teaching workload and note any course relief, leaves, or course buyouts. Courses taught in the review period can be listed in the bio-bib or provided in the Budget and Planning teaching report, also called the Class Instruction History Report (available from Yali Chen in Budget & Planning, x7232, or Yali.chen@ucsb.edu). On either course listing, note if teaching evaluations are available with a “Y” or “N.”
- All sections of the bio-bib should be listed, even if there was no activity in the review period.

## DEPARTMENT RECOMMENDATION LETTERS:

- The department recommendation should be **accurate, concise and analytical**, and should contain a **clear recommendation for step, rank, and salary**. Per [RB I-75](#), “**overly long letters are a burden to all reviewing agencies.**”
- For **career reviews** (promotion from Assistant to Associate, promotion from Associate to Professor, merit to Professor VI, and merit to Professor Above Scale), the department letter **must analyze achievements within the recent review period and provide an overview of career accomplishments**.
- Please include **page #'s** on the letter.
- Any **negative votes** should be **explained** whenever possible on the basis of the faculty discussion of the case, and acknowledged when they cannot be explained.
- The word “**promotion**” should only be used when going from **Assistant to Associate Professor**, or **Associate to Professor**. All others are “merits” or “advancements.”
- If the department recommends an **acceleration** in time, step, or additional off-scale, be sure that the word "acceleration" is used in the department letter, and that justification for the acceleration is clearly stated in a **separate paragraph**. Specifically, how does the record in each review area exceed (in quality and/or quantity) the expectations for the record in a routine review? Refer to [RB I-36](#) for more information about what constitutes justification for acceleration.
- When citing external letters, check that reviewers **are not identified by gender, institution, or relationship to the candidate**, even if the reviewer self-identifies in his/her own letter. Use non-gender specific terms. It is acceptable to note if a reviewer is “UC-familiar.”
- **Avoid excessive quoting** from the self-assessment, external letters, or student evaluations. The use of excessive quoting reflects poorly on the department, and decreases confidence in the overall analysis and recommendation.
- If the candidate made contributions to promoting **diversity**, an analysis of the candidate’s contributions should be made in a separate paragraph. Per [RB I-35](#) contributions may include “efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should also be given due recognition.” Additional guidance is found in [RB I-75](#).

## APM 025 (Appendix C) - REPORT OF OUTSIDE ACTIVITIES:

- APM 025 forms for each academic year within the current review period must be uploaded with the case. Staff submitting the case will need to manually “check” the boxes to have the reports included. See [RB I-29](#) for explanation of the categories of outside activities.

## PUBLICATIONS:

- Make sure all published (A), in press (B), and submitted (C) publications from the current review period are included and numbered correctly. (In progress D items are optional.) If one or more publications are not available, include a note to that effect on the Bio-Bib.
- Please provide **documentation of in-press status** of B items, as of 9/15/17. This may be a letter or email from the publisher stating that the Work in Press "has been formally accepted, completed, and is in the process of being published."
- Verify that **titles** on publications **match** the titles on the Bio-Bib.
- In **tenure and formal appraisal cases**, make sure **all publications from the entire career** are included. D items are not required but strongly encouraged. They help reviewers evaluate a candidate's progress and research trajectory.
- In **career reviews** (promotion to Full Professor, merit to Step VI, merit to Above Scale, Career Equity Review), include **all publications from the current review period** and a **representative sampling** of publications from the whole career.
- In merits to special steps (Assistant Professor V or Associate Professor IV), submit any D items upon which the eventual promotion will be based.

## TEACHING EVALUATIONS & REPORTS:

- **5-year ESCI Summary Instructor Reports are required. Please insert a line** between courses taught in the current and previous review periods. To obtain 5-year ESCI reports, contact the ESCI Coordinator, x5278. ESCI reports for individual courses are not necessary.
- **Original student comments** should be submitted for each course during the review period. Do not send written comments from prior review periods. Departments in the Online ESCI Pilot program should submit printouts of narrative comments as one-of-a-kinds.
- **Instructional Consultation Reports** are not 5-year ESCI reports. These are written reports generated by the Instructional Development Office at the request of the faculty member, in order for them to improve their teaching abilities.

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*Updated 8/28/17*