

**ACADEMIC PERSONNEL
REVIEW PROCEDURES**

**"THE CALL"
2005-2006**

OFFICE OF THE EXECUTIVE VICE CHANCELLOR
ACADEMIC PERSONNEL OFFICE
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2005-2006
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SCHEDULE FOR ACADEMIC PERSONNEL REVIEWS 2005-2006

Personnel Review Action	Date due in Deans' offices	Date due in Academic Personnel	File Entries* as of this date
Appraisal	November 11, 2005	December 16, 2005	October 1, 2005 Files may be updated until March 1, 2006
Merit	25% by Nov 18, 2005 100% by Dec 16, 2005	25% by Dec. 16, 2005 100% by Feb. 27, 2006	October 1, 2005
Promotion to Associate Professor	December 9, 2005	January 6, 2006	October 1, 2005 7th year promotion to tenure Files may be updated continuously. Other promotion to tenure files may be updated until March 1, 2006.
Promotion to Full Professor	January 6, 2006	February 10, 2006	October 1, 2005 (*Extramural and student letters may be received to November 1, 2005)
Advancement to Professor VI, Professor Above-Scale, Within Professor Above-Scale	December 9, 2005	January 31, 2006	October 1, 2005 (*Extramural and student letters may be received to November 1, 2005)
Career Review	January 13, 2006	February 24, 2006	October 1, 2005 (*Extramural and student letters may be received to November 1, 2005)
Quinquennial Review	March 3, 2006	March 24, 2006	October 1, 2005
* All documents unless otherwise specified have a file entry date of October 1, 2005.			

Announcement of final Academic Personnel Review decisions will be made as follows:

January 27, 2006	January Announcements
February 24, 2006	February Announcements
March 31, 2006	March Announcements
April 28, 2006	April Announcements

Announcements after April 28 will be made on a case-by-case basis. In the interest of equity and efficiency for candidates and reviewers alike, it is important that the schedule and its deadlines be adhered to carefully. The deans, the Committee on Academic Personnel, and the Vice Provost for Academic Personnel feel no obligation to consider cases in which a faculty member does not supply documents and information by the deadlines that chairs may set.

II. PROCEDURES

A. General Review Procedures for Academic Personnel Files

1. **Bylaw 55**

Academic Senate Bylaw 55 contains material governing voting rights and other issues related to considerations of academic personnel procedures. See the Academic Senate Manual for Bylaw 55 text. Please refer all questions related to interpretation and implementation of Bylaw 55 to the Rules and Jurisdiction Committee of the Academic Senate. The essentials of Bylaw 55 are as follows:

a. **Promotions, Appraisals, Terminations¹**

Professors (and equivalent ranks) have the right to vote on promotion to Professor (and equivalent ranks).

Professors and Associate Professors (and equivalent ranks) have the right to vote on promotion to Associate Professor (and equivalent ranks).

Professors and Associate Professors (and equivalent ranks) have the right to vote on appraisals of fifth-year Assistant Professors (and equivalent ranks).

Professors and Associate Professors (and equivalent ranks) have the right to vote on non-reappointments and terminations of Assistant Professors (and equivalent ranks).

There must be provision for a secret ballot on actions in these categories. The request of a single voter is sufficient to require a secret ballot.

Voting on these actions may not be delegated to a committee.

The subsets of faculty that have voting rights as noted above may vote (a 2/3 majority is required) to extend the vote to faculty of lesser rank(s).*

Any such extensions (whether of the vote or of participation rights) must apply to all relevant cases in the department, and once made, the change must remain in place for at least one year. These voting extensions do not require prior CAP approval.

b. **Merit increases**

The principles outlined above for promotions also apply to merit increases. In addition, the faculty who are entitled to vote on promotions to a given rank may vote (by 2/3 majority vote) to delegate action on merit increase cases within the rank to a committee of the department constituted of faculty members entitled to vote on promotions to that rank. These delegations must be approved by CAP before adoption.

¹ None of the voting rights outlined here may be extended to persons who are not members of the Academic Senate. The rights outlined here may be extended to Emeritus Faculty by a 2/3 majority vote, by secret ballot, of the faculty eligible to vote. Either the right to participate, or to participate and vote, may be so extended.

* Alternatively, the subsets of faculty that have voting rights as noted above may allow (by a 2/3 majority vote) faculty of lesser rank(s) to participate in the review process (i.e., review the file and join the discussion) but not to vote.

2. Procedures for Extension Requests

A request for a later submission of the file must be approved by the Vice Provost for Academic Personnel prior to the due date for submission to the dean's office published in Section I. Such a request must be forwarded through the dean's office and will specify the reason for the delay. The Difference List, as required, must be submitted with this request for extension. If the extension request is for an action which requires extramural letters, then the extension request must additionally request an exception to include letters dated past the cut-off date. The deans, the Committee on Academic Personnel and the Vice Provost for Academic Personnel feel no obligation to consider cases in which a faculty member does not supply documents and information by the deadlines that chairs may set. Files received after the extension deadline may be returned for re-submission during the next academic year.

3. Procedures regarding Eligibility

Academic employees are eligible for advancement or promotion each year. However, advancement usually occurs in conjunction with completion of normal time in step. Throughout this document, the term 'eligible' references the completion of normal time in step with the broader understanding that nothing precludes submission of a file during any review cycle. See section II.A.3.b below for the concept of acceleration.

a. Normal Time in Step

Rank	Step	Normal Period of Service at Step
Assistant Professor	I	2 years
	II	2 years
	III	2 years
	IV	2 years *
	V	2 years #
	VI	2 years #
Associate Professor	I	2 years
	II	2 years
	III	2 years
	IV	3 years #
	V	3 years #
Professor	I	3 years
	II	3 years
	III	3 years
	IV	3 years
	V,VI,VII,VIII, IX	--•
	Above-Scale	--•
	<p>* Review for tenure must occur during the seventh year of service in order to adhere to the eight-year rule and the terminal-year requirement. Visiting assistant professor and acting assistant professor appointments count toward the eight-year rule.</p> <p># These are overlapping steps (see sections II.B.8-Lateral Promotion and II.A.3.c-Overlapping Steps)</p> <p>• See APM 220-18-b</p>	

Departments are required to review each faculty member at the Associate or Full ranks who is at normal time in step and to make a recommendation for or against advancement. (See section II.B.7 for deferral.) Departments are required to review each faculty member at the Assistant rank who is at or above normal time in step and to make a recommendation for or against advancement.

The Academic Personnel Office provides to the appropriate dean, for review and forwarding to departments, a list of faculty who are eligible for consideration for normal advancement based on their initial completion of normal time at step. Faculty at the Assistant rank exceeding normal time at step will also be listed.

Because there is no specified normal time at Professor V, VI, VII, VIII, IX and Above-Scale, service at these steps may be of indefinite duration. (However, see section II.B.12-Quinquennial Review.) Advancement to Steps VI, VII, VIII, and IX usually will not occur after less than three years of service at the lower step. Advancement to Above-Scale usually will not occur after less than four years of service at Step IX.

b. Acceleration

Advancement to a higher step before normal eligibility constitutes acceleration. The campus strongly encourages departments to put forward deserving candidates for acceleration.

The department chair has the responsibility to review the record of each member of the department to determine whether a recommendation for acceleration should be considered by the voting members of the department. Chairs and colleagues should always be alert to exceptionally strong performances and should be prepared to make appropriate recommendations which are carefully and thoroughly documented by evidence appropriate to the case. In cases proposed for acceleration, there must be evidence of high quality in all areas of evaluation. Lesser quality in any area of evaluation cannot be counterbalanced by higher quality or quantity in other areas. Assuming that there is evidence of high quality in all areas of evaluation, the case for acceleration must be made in terms of exceptional performance in one or more areas.

A recommendation for acceleration must be considered by the voting members of the department if a request is made by the candidate, by the chair, or by any other ladder rank faculty member of the department eligible to vote on the recommendation.

After the departmental vote is taken and the candidate is informed of the vote, the department and candidate may agree not to have the recommendation for acceleration forwarded for further review. Ultimately, however, this is the candidate's choice.

A promotion review examines the candidate's entire file with respect to the criterion as set forth in section II.A.4. Advancements to Professor VI and Professor Above-Scale examine the candidate's file with respect to the criteria as set forth in APM 220-18-b. The question of acceleration should not be an issue in promotion to Associate Professor and Professor cases or advancement to Professor VI and Professor Above-Scale cases: the issue is whether the candidate has met the criteria, not whether the criteria have been met in a particular time frame.

c. Overlapping Steps

The normal periods of service are described in APM 220-18-b; Steps I-IV of the Assistant Professor rank and Steps I-III of the Associate Professor rank are for normal use. The use of Assistant Professor, Steps V and VI is encouraged as an alternative to premature consideration of promotion to tenure. Overlapping steps are those in which the published salaries vary by \$100. The following are overlapping steps in the professorial series.

Assistant Professor V	Associate Professor I
Assistant Professor VI	Associate Professor II
Associate Professor IV	Professor I
Associate Professor V	Professor II

Faculty members in the second year of Assistant Professor IV, V, VI or Associate Professor III, or in the third year of Associate Professor IV or V, are regarded as completing a normal period of service in step and are eligible for advancement. The chair shall discuss with the faculty member the following possible options:

1. The faculty member may wish to be considered for promotion. If so, a full promotion file, suitable for *ad hoc* committee review and including extramural letters, shall be prepared.
2. The faculty member may wish to defer review. (For limitations, see section II.B.7-Deferral.)
3. The faculty member may wish to be considered for a merit if he/she is not at the highest step and is not in the 7th year in the Assistant rank.

After the departmental vote on promotion is communicated to the candidate, the candidate may decide not to have the promotion file forwarded for further review. In this case, a memo requesting deferral of consideration for promotion should be forwarded. An *ad hoc* committee will not be appointed. (Again, see section II.B.7-Deferral.) However, it should be noted that all solicited letters will be used in the subsequent promotion file.

4. Review Criteria

Reviewing bodies which advise on actions concerning appointees in the Professor and corresponding series, are instructed to use these criteria for appointment, promotion and appraisal. (APM 210-1-d):

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing, when the case requires, heavier commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive.

As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. **Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.** Insistence upon this standard for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career.

In teaching, "clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion." According to APM 210-1-d-(1), "it is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence should accompany each file." For examples of evidence for teaching effectiveness, see APM 210-1-d-(1).

In the area of research, "There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance." Since "publications in research and other creative accomplishment should be evaluated, not merely enumerated." (APM 210-1-d-(2)), both the quality of publication outlets and impact of the research in the field are important factors.

Research and scholarship must be performed at the highest level. In some areas, this level of performance may be achieved and maintained without significant extramural research support. In other areas, extramural support is essential for a high quality research program. And in all cases, success in grant funding may be an indication of peer evaluation of the quality of the research program. When obtained, extramural funding may be considered a positive indication of scholarly activity. Conversely, the absence of extramural funding shall not be taken as a negative indicator of the quality of research, except in cases where such funding is essential for the candidate's scholarly work. When appropriate, the candidate and department are advised to address the issue of funding in the self-statement and department letter.

For Professional Activity, see APM 210-1-d-(3). For University and Public Service see APM 210-1-d-(4).

5. Procedures Before the Personnel Review File is Assembled

It is the candidate's and the department chair's responsibility to document the file in an adequate manner. The file should present the scholarly and intellectual contributions of the candidate in each area of review. Review will be based only on what is contained in the file. If a file is poorly documented, the candidate is disadvantaged. It is in the candidate's interest to provide all pertinent material and information to the department and to be certain the file is complete (as verified by the Procedural Safeguard Statement).

It is the expectation of the deans, the Committee on Academic Personnel and the Vice Provost for Academic Personnel that all faculty having advancement cases will provide their updating material to the Department/Program Chair as early as possible. Cooperation in providing information for one's personnel file is a professional obligation without which the review process cannot be initiated.

- a. The chair notifies the candidate of the impending review.
- b. The chair makes certain the candidate is adequately informed about the entire review process and is made aware of APM 210-1, 220-80 and 160.

The following list shows instances when extramural letters are required and when an *ad hoc* committee will be automatically utilized. When an ad hoc committee is automatic, its review of the file will precede the dean's review.

	Ad Hoc Committee	Extramural Letters
Advancement to Professor VI	Discretionary	Required
Advancement to Above-Scale	Automatic	Required
Advancement within Above-Scale	Discretionary	Not required
Appraisals	Discretionary	Not required *
Career Review	Discretionary	Required
Deferrals	Not required	Not allowed
Merits and Accelerated Merits	Discretionary	Not allowed
Promotions to Tenure	Automatic	Required
Promotions to Full Professor	Discretionary	Required
Quinquennial Reviews	Discretionary	Not required
* Candidates are strongly discouraged from requesting extramural letters at time of appraisal. Instead, candidates are encouraged to wait to solicit extramural letters until review for promotion to tenure so as to not overburden extramural letter writers.		

- c. The chair makes certain the candidate is given an opportunity to:
 - (i) Ask questions.

- (ii) Supply pertinent information and evidence, including a self-statement if desired, as defined in section III.V.
- (iii) Suggest, where relevant, names of persons to be solicited for letters of evaluation
- (iv) Provide in writing to the chair names of persons who, for reasons set forth by the candidate, might not objectively evaluate the candidate's qualifications and performance. Any such statements shall be included in the personnel review file.

6. Procedures Before the Departmental Recommendation is Determined

- a. The chair shall provide the candidate the opportunity to inspect all documents to be included in the personnel review file other than confidential documents.
- b. The chair shall provide to the candidate, upon request in writing, a redacted copy of the confidential documents in the file (including declinations from extramural evaluators). If redacted confidential documents are not obtained by the candidate at this time, the candidate may not have access to this material until after the decision. (An exception to this applies when the Chancellor's preliminary assessment is to make a terminal year appointment or a non-reappointment of an assistant professor, or when the Chancellor's preliminary assessment is provided in a promotion to tenure case. See sections II.A.10.b(iii) and II.A.10.c(iii).)

Note: The identities of persons who were the sources of these documents shall not be disclosed.

- c. Seven calendar days before the departmental meeting for review of the file, the candidate may submit for inclusion in the personnel review file a written statement in response to or commenting upon material in the file.

7. Procedures During Departmental Review

- a. The chair is obliged to ensure that the departmental review is fair to the candidate and rigorous in maintaining University standards.
- b. The chair has the responsibility of making the complete file available for inspection by the voting members of the department before the departmental vote is taken. In the case of absentee ballots, all votes should be received prior to the department meeting.
- c. The department shall adopt procedures under which the departmental letter setting forth the departmental recommendations shall be available for inspection by all voting members, or by a designated committee or group of such members.

When the **draft** of the departmental recommendation letter is ready for review by eligible voting members of the faculty, the Chair is responsible for communicating to the faculty where the **draft** is available for review. For security reasons, email review is strongly discouraged. The Chair must also provide the faculty with a due date for receipt of any comments to the draft. Once the due date has passed, the Chair must review any comments received from the faculty, and to the extent possible, incorporate those comments into the **finalized** departmental recommendation letter.

The Chair must then notify the faculty that the **finalized** departmental letter is available for review (but no further comments from the faculty will be allowed except for corrections of errors of fact).

The date on which the Chair notifies the faculty of the **finalized** departmental letter is also the date that starts the clock for the five working days for the submission of any minority reports.

The candidate will be able to review the unredacted **finalized** letter and any minority reports after the period for submission of minority reports is expired.

8. Procedures After the Departmental Recommendation is Determined

Before the file is forwarded:

- a. The candidate shall be provided a copy of the departmental letter and all minority reports and shall be informed orally of the following:
 - (i) The departmental recommendation including the nature of the departmental vote.
 - (ii) The substance of the departmental evaluations under each of the criteria.
- b. The candidate has the right to make a written comment on the departmental recommendation (and minority reports, if any). The candidate's written comment, to be transmitted within seven calendar days of receipt of the departmental letter, may be addressed to the chair, the dean, or the Vice Provost for Academic Personnel. (It is the joint responsibility of the candidate and the department to verify the date the candidate received a copy of the departmental letter.) The candidate must use Attachment H for his or her response, taking care to specify to whom the response is addressed. If addressed to the chair it will be added to the department's copy of the file and will proceed with the forwarded file through the review process. If addressed to the dean, it will not be sent to the department, but the dean will inform the department chair that a written statement has been received from the candidate without revealing the contents. A written statement that is addressed directly to the dean will be forwarded to the Chancellor's Office and to the Committee on Academic Personnel but will not be sent to an *ad hoc* review committee, unless the candidate specifically requests that the statement be included in the file that goes to the *ad hoc* committee. If addressed to the Vice Provost for Academic Personnel, the response will be reviewed by only the Committee on Academic Personnel and the Chancellor or his designee. The Vice Provost for Academic Personnel will inform the department chair and dean that a written statement has been received from the candidate without revealing its contents. The candidate's written comment is limited to a maximum of two pages for merit files (other than advancements to Professor VI, Professor Above-Scale, and within Professor Above-Scale).
- c. The candidate shall sign Part 1 of the Procedural Safeguards Statement (Attachment B-1).

9. Procedures During Review Beyond the Department

a. Additions and Changes to the File

After review by the department faculty, apart from recommendations of subsequent reviewing bodies, no additions to the file are permitted except as noted in section II.A.8.b or in the final paragraph in this section. No changes in the status of publications may be made. Only corrections of fact are permitted. The candidate must be informed of any correction. Permitted additions or updates must have documented departmental review before being forwarded.

If the correction is on the list of publications, the department should submit a new page or pages reflecting the change. The candidate shall certify on Part 2 of the Procedural Safeguards Statement that he/she has been informed of the changes in the file. (Attachment B-2) The new page should be dated and should be submitted with a note indicating what the changes are and which existing page in the list of publications is being replaced with the substituted page. (The old page will be discarded by the departmental office, dean's office and the Academic Personnel Office.) The new page will then become part of the original file and will be considered as such.

If a correction is made to the departmental letter, the corrected departmental letter should show the original date AND the revised date. The candidate shall certify on Part 2 of the

Procedural Safeguards Statement that he/she has been informed of the changes in the file. (see Attachment B-2). Any revision in the departmental letter affords the candidate a seven-day period to respond to the departmental letter (see section II.A.8.b)

IN THE CASE OF 7TH YEAR PROMOTION TO TENURE FILES AND RECOMMENDATIONS OF NON-REAPPOINTMENT, NEW OR UPDATED INFORMATION SHOULD BE PROVIDED AS IT BECOMES AVAILABLE, THROUGH THE APPROPRIATE CHANNELS. **OTHER PROMOTION TO TENURE FILES AND APPRAISALS MAY BE UPDATED UNTIL MARCH 1st.**

Acceptable updates include significant service commitments, additional teaching evaluations, grant awards, publications, and in the case of promotions, previously solicited extramural letters (including student letters) which arrived late. Letters resulting from a solicitation by the candidate are not allowed. Departmental responses are limited to comments on the new material.

b. Additional Information Solicited During Review

- (i) If additional information is requested by the dean, by an *ad hoc* committee (in cases involving *ad hoc* committees), or by the Committee on Academic Personnel, such information shall be solicited through the Vice Provost for Academic Personnel.
- (ii) All responses shall be limited to the specific information requested in the memo from the Executive Vice Chancellor and will be added to the file at the department level. The department may comment on the new material. The requesting body will specify whether or not a department vote is required with the new material.
- (iii) A new department vote will require an addendum to the department letter and subsequent waiting periods.
- (iv) The candidate shall be informed by the chair of the substance of the changes in the file, without disclosure of the identities of sources of confidential documents, and may be provided access to the new material in accord with APM-220-80-d.
- (v) The candidate shall be provided the opportunity to make a timely written statement on the amended file for inclusion in the file.
- (vi) The candidate shall certify on Part 2 of the Procedural Safeguards Statement that he/she has been informed of the changes in the file. (Attachment B-2)

10. Procedures for Announcement of Administrative Decision

a. Merit cases (including advancements to Professor VI and Professor Above-Scale)

- (i) The Chancellor's decision on the candidate's file will be communicated to the chair through the dean. The chair shall promptly communicate the decision to the candidate.
- (ii) Appeals to merit decisions are not permitted.
- (iii) The candidate may request access to records (including the CAP report, the dean's letter and the chair's letter, if any) as outlined in section II.E, after the Chancellor's decision has been communicated. If the candidate has requested access to designated records on Section D of the Procedural Safeguards Statement, these will be automatically furnished by the Academic Personnel Office.

b. Promotions, Appraisals and Appointments

If the Chancellor's preliminary assessment is contrary to the recommendation of the department:

- (i) The Chancellor shall write to the department indicating the reasons and asking for any further information which might support a different decision.
- (ii) The chair shall provide the candidate with a copy of the Chancellor's statement.
- (iii) If a merit is approved at the time of the preliminary assessment, the merit decision will be announced on the Chancellor's statement.
- (iv) For promotion to tenure and promotion to professor cases, the candidate shall then have the opportunity to request (in writing) access to records from the Academic

Personnel Office. The request form is given as Attachment A. If the candidate has requested access to designated records on Section D of the Procedural Safeguards Statement, these will be automatically furnished by the Academic Personnel Office. The department chair and dean will also be provided with copies of records supplied to the candidate at this time. These should be shared with the voting faculty in the Department.

- (v) The candidate may respond in writing and provide additional information and documentation, through appropriate channels, by the deadline specified for appeal. This information may include additions to the originally submitted file, such as publications and/or teaching evaluations. Extramural letters shall not be solicited. When resubmitting the file, a new departmental vote must be included.
- (vi) The resubmitted file is reviewed by the dean and the Committee on Academic Personnel and a final decision is made. No appeal of the final decision is permitted, since the addition of information to the file has provided the opportunity for appeal of the Chancellor's preliminary assessment.
- (vii) If the promotion or merit is approved as a result of the response to the preliminary assessment, the decision is based on the resubmitted file. If the promotion is denied, and a merit was approved at the preliminary assessment stage, the merit decision is based on the file before the addition of the response material.
- (viii) After the Chancellor's final decision has been communicated to the candidate, the candidate may request access to records. The request form is given as Attachment A. If the candidate has requested access to designated records on Section D of the Procedural Safeguards Statement, these will be automatically furnished by the Academic Personnel Office.

c. Non-reappointment for Assistant Professors or Other Appointees of Equivalent Rank.

According to academic personnel regulations, each appointment and reappointment of an Assistant Professor is for a maximum term of two years. Thus, it is possible that non-reappointment of an Assistant Professor may occur at the end of any such term of contract.

If a recommendation for the terminal appointment of an Assistant Professor or Assistant Agronomist is made by a dean, campus *ad hoc* review committee, and/or the Committee on Academic Personnel, or if the Chancellor's preliminary assessment is to make a terminal appointment or not to reappoint, then, before there is a final decision by the Chancellor to make a terminal appointment or not to reappoint:

- (i) The chair shall be notified of the recommendation or preliminary assessment in writing by the Chancellor (including a statement of reasons).
- (ii) The chair shall provide the candidate with a copy of the Chancellor's statement. The candidate shall then have the opportunity to request (in writing) access to records from the Academic Personnel Office. The request form is given as Attachment A. If the candidate has requested access to designated records on Section D of the Procedural Safeguards Statement, these will be automatically furnished by the Academic Personnel Office. The department chair and dean will also be provided with copies of records supplied to the candidate at this time. These may be shared with the voting faculty in the Department.
- (iii) The candidate may respond in writing to the preliminary assessment and provide additional information and documentation to the Vice Provost for Academic Personnel, through the appropriate channels by the deadline specified for appeal. This information may include additions to the originally submitted file, such as publications and/or teaching evaluations. Extramural letters shall not be solicited. When resubmitting the file, a new departmental vote must be included. If extenuating circumstances so warrant, the candidate is also permitted to send a separate memo directly to the Vice Provost for Academic Personnel which will

become a part of the file at the time the file is forwarded to the Committee on Academic Personnel.

- (iv) The personnel review file, as augmented by the new material, shall then be considered in the review process by the dean and the Committee on Academic Personnel before a final decision is reached by the Chancellor.
- (v) After the Chancellor's final decision has been communicated to the candidate, the candidate may request access to records. The request form is given as Attachment A. If the candidate has requested access to designated records on Section D of the Procedural Safeguards Statement, these will be automatically furnished by the Academic Personnel Office.

B. Instructions for Specific Actions

1. Advancement to Above-Scale

Advancements to Professor Above-Scale examine the candidate's file with respect to the criteria as set forth in APM 220-18-b. The APM criteria make it clear that advancement to Professor Above Scale requires levels of achievement that go significantly beyond what was required for Step IX. Even when exceptional levels of achievement are present, advancement will not occur after less than four years at Step IX except in rare and compelling cases.

The checklist found in Attachment C-5 should be used for Advancement to Above-Scale cases.

Files sent forward for consideration of this advancement should include the following:

- Extramural evaluation by very senior faculty familiar with the UC rank and step system
- Extramural evaluation by international experts
- Evidence of international research leadership and visibility
- Compelling evidence that the candidate is considered by his or her peers to be among those at the top of the field of research
- Evidence of teaching excellence for those with teaching experience. In unusual cases, truly outstanding researchers may be hired at the above-scale level without formal university teaching experience, provided that a strong case can be made for their communication skills and mentorship.
- National service leadership
- Prestigious award(s) for research

Career Reviews to A/S from Prof VIII or below should be even more difficult than entry to A/S via acceleration from Prof. IX in less than four years. Use of Prof IX O/S should be used in preference in this case unless a singular event has occurred

Advancements to Above-Scale will include an ad hoc review by a committee comprised primarily of Above-Scale faculty.

2. Advancement within Above-Scale

Use the checklist found in Attachment C-5.

Advancements within Above Scale must show significant evidence of new achievement, and except in the most rare and compelling cases will not occur at intervals of less than four years.

3. Advancement to Professor VI

Advancements to Professor VI examine the candidate's record with respect to the criteria as set forth in APM 220-18-b. The question of acceleration should not be an issue in

advancement to Professor VI cases: the issue is whether the candidate has met the criteria, not whether the criteria have been met in a particular time frame.

Use the checklist found in Attachment C-5.

4. Appraisal

Each Assistant Professor shall be appraised during his/her fifth year of service as an Assistant Professor (or fifth year of service in combination with other applicable titles which lead to tenure) unless he/she is proposed for advancement to tenure rank during that year. This appraisal is mandatory and is intended to comply with the intent of APM 220-83a.

Procedures and criteria for the appraisal of Assistant Professors, to determine whether they are making satisfactory progress toward tenure rank, will be found in APM 220-82 and 220-83. Appraisals may be referred to *ad hoc* committees. Appraisal files should provide sufficient documentation for the review process. A brief description (a maximum of 2-3 sentences) of the candidate's role shall be included directly following each citation of products of joint effort completed since arrival at UCR listed on the bibliography.

The appraisal should be viewed as valuable both to the candidate and to the University. The appraisal informs both the University and the candidate whether he/she is making satisfactory progress. The possible outcomes for an appraisal are positive (with or without qualification) or negative. If the appraisal leads to a decision not to reappoint the candidate, procedures as outlined in APM 220-84 are followed.

Use the checklist found in Attachment C-1.

5. Appraisal with Merit

If the candidate being appraised is also eligible for a merit increase, a file containing the merit recommendation and a separate file containing the appraisal recommendation should be submitted by the department. (See Appraisal, section II.B.4 and merit section II.B.9)

For the appraisal file, Use the checklist found in Attachment C-1.

For the merit file, use the checklist found in Attachment C-5.

6. Career Review

A career review is intended for Academic Senate ladder-rank faculty only. Any faculty member who thinks that he/she may not be at the appropriate level on the rank/step scale has the right to be evaluated by the process of Career Review. Departments and deans should also be alert to this possibility that on rare occasions a faculty member may be seriously out of place on the rank/step scale. The purpose of a Career Review is to assess the candidate's overall record in order to determine the appropriate rank/step placement.

Ordinarily the Career Review is initiated, by the candidate's written request, in the department and follows the procedures for promotion, complete with extramural letters. A Checklist of Documents form is provided to facilitate preparation of the file. The Career Review solicitation letter (Attachment E-7) must be used for all extramural evaluators. A Difference List should not be included for a Career Review file. The candidate needs to specify a rank and step for which he/she wishes to be considered.

Alternatively, the candidate may (upon written request to the Dean) elect to have his/her Career Review file initiated and prepared at the appropriate dean's office. The dean's office assembles the file, including letters requested from extramural evaluators. The Dean consults with the department and the candidate for the names of potential reviewers and may also solicit additional reviewers. Upon completion of the file (after the Dean has met with the candidate to review the contents of the file), the Dean forwards the file to the

department for departmental review and vote. Thereafter, the file is handled by the normal procedures for promotion.

There is no option for appeal of the outcome of the Career Review process.

Once a Career Review occurs, two positive advancement reviews must be completed before another Career Review may be requested.

If the time period since last promotion is less than or equal to 5 years, a Career Review file will include materials since the previous promotion or appointment, whichever occurred first.

Use the checklist found in Attachment C-2.

7. Deferral

Deferral files should be submitted to the Dean on or before the published dates for merits or promotions, according to the candidate's eligibility. Deans have final authority for approval (concurrence) for all deferral files. Each Dean's office should announce final deferral decisions as scheduled on page 4 of the CALL.

a. For persons with I&R appointments:

A file must be submitted for academic employees at normal time in step. If a faculty member who is eligible for normal advancement requests (or agrees) that a merit or promotion review be deferred, a file should be forwarded through the appropriate department to the college/school Dean. The departmental faculty must review and vote on the request, and a departmental letter addressing the proposed action and the reasons for it must accompany the abbreviated file through the channels described above. If the departmental recommendation is for advancement, a complete file should be forwarded if the candidate concurs.

For candidates at the rank of Assistant Professor, a full file, accompanied by the departmental vote, is required for each period at or above normal time at step. That is, **Assistant Professors may not defer consideration for merit increases.**

If a candidate is normally eligible for promotion, he or she may elect to defer consideration for promotion, and instead (see section II.B.3.c-Overlapping Steps), be considered for merit advancement to Assistant Professor V or VI provided this is not the 7th year at the Assistant rank.

Because there is no specified normal time at Professor V, VI, VII, VIII, IX and Above-Scale, service at these steps may be of indefinite duration. Therefore it is not necessary to request deferral when individuals at these steps are not being proposed for advancement. (However, see section II.B.12-Quinquennial Reviews.)

Deferral files will not be considered as fulfilling the mandatory quinquennial review.

b. For persons without I&R appointments

A file must be forwarded each year at or above normal time in step with a departmental vote required for the second and subsequent years of deferral.

If a candidate is normally eligible for promotion, he or she may elect to defer consideration for promotion, and instead (see section II.B.3.c-Overlapping Steps), be considered for merit advancement provided this is not the 7th year at the Assistant rank in a series with an eight year limitation of service at that rank. For deferrals, use the checklist in Attachment C-3.

8. Lateral Promotion

Movement between overlapping steps from one rank to another represents a lateral promotion. Only one Difference List is required for merits following a lateral promotion. The documents in the file shall address the time since last merit advancement. For example, in merit consideration to Associate Professor II following a lateral promotion to Associate Professor I after one year at Assistant Professor V, the Difference List will address the time served at Assistant Professor V and Associate Professor I (two years).

9. Merit Advancement

Use the checklist found in Attachment C-4. Merit candidates should not add copies of publications or creative work to the file unless requested during the review process.

Appeals to merit decisions are not permitted.

10. Off-scale Salary

A recommendation for an off-scale salary must include a proposal for return to scale.

Ordinarily, it is not permitted to recommend an off-scale salary unaccompanied by a recommendation (positive or negative) on a merit increase or promotion. A deferral of a merit combined with a vote recommending an off-scale salary may not be proposed.

11. Promotion

A promotion review examines the candidate's record with respect to the criteria as set forth in section II.A.4. The question of acceleration should not be an issue in promotion to Associate Professor and Professor cases: the issue is whether the candidate has met the criteria, not whether the criteria have been met in a particular time frame.

In cases where the departmental recommendation for promotion is negative and instead a merit is recommended, all subsequent reviewing bodies must address the merit as well as the promotion.

Use the checklist found in Attachment C-5.

12. Quinquennial Review

Although service at open steps (Professor V and above) may be of indefinite duration, the APM (200-0 and 220-80-b) requires that each faculty member be reviewed no less frequently than every five years. For such cases, the chair is to prepare a file with the candidate AFTER the fifth year with no review. The candidate may choose whether to submit a merit, promotion (if appropriate) or quinquennial review file. Merit and promotion files would follow their normal procedures.

A quinquennial review file is to be made available to departmental faculty for review and discussion, and a departmental letter outlining the candidate's activities during the last 5 years is prepared in the normal manner, including a departmental vote. A quinquennial review file results in a satisfactory or unsatisfactory outcome. Candidates need not meet the criteria for merit advancement to receive a satisfactory recommendation in a quinquennial review, but they should show an acceptable level of performance in each of the areas of evaluation. A satisfactory quinquennial review requires suitable evidence of the following aspects of the candidate's performance during the last five years:

- Documented record of quality teaching, commensurable with the candidate's rank and stature as a faculty member in the University of California system;
- Documented record of substantial and valuable service to the University and to the public, commensurable with the candidate's rank and step;

- Documented record of a serious effort to engage in meaningful research and/or creative activity and professional service.

The focus of this review should be to provide constructive feedback aimed at maximizing the candidate's effectiveness in the above-mentioned areas.

Should an evaluation result in a review decision of "unsatisfactory", the candidate can expect guidance from the department chair, dean, or Chancellor's office.

A deferral does not qualify as a quinquennial review.

For quinquennial reviews, use the checklist found in Attachment C-6.

C. Instructions for Specific Titles

1. Academic Administrator Series

Deans have final review for all merits. Promotions will require review by the Chancellor or Executive Vice Chancellor. See APM 370.

2. Academic Coordinator Series

Deans have final review for all merits. Promotions will require review by the Chancellor or Executive Vice Chancellor. See APM 375.

3. Adjunct Professor Series

Deans have final review for all merits. Promotions will require review by the Chancellor or Executive Vice Chancellor. See APM 280.

4. Agronomist Series

See APM 320

5. Continuing Education Specialist Series

See APM 340

6. Cooperative Extension Specialist Series

Deans have final review for all merits. Promotions will require review by the Chancellor or Executive Vice Chancellor. The Dean will make use of a within-college advisory committee. The committee will provide advice on all actions in this series. See APM 334

7. Lecturer Series (Post Six Years)

See The Call for Lecturers

8. Librarian Series

See the Call for Librarians and the Assistant/Associate University Librarian (AUL) Call.

9. Professional Research Series

Deans have final review for all merits. Promotions will require review by the Chancellor or Executive Vice Chancellor.

Requirements for advancement within this series will use these criteria (borrowed from UCLA):

"Evidence of an energetic and productive mind should be sought in a candidate's record as shown by participation in published research, artistic production, design, etc. The candidate will normally function as a member of a team. As such, the particular contribution should be evaluated in terms of the level of appointment or advancement proposed and the nature and extent of supervision required. There should be evidence

that the candidate is continually and effectively taking part in creative activity of high quality and significance appropriate to the field, and that intellectual growth as well as the accumulation of experience is evidenced."

This will replace the language that calls for "research qualifications equivalent to those in the equivalent rank in the regular professorial series." See APM 310

D. Other Reviews and Recommendations

1. Department Chair

It is the responsibility of the dean to initiate review of departmental chairs who have completed normal time in rank and step. In those cases in which a chair will be put up for advancement, the procedures are identical to those for any candidate except that the dean designates a senior member of the department to fulfill the chair's duties in the case, including preparation of the departmental letter. This faculty member may also submit a letter equivalent to the chair's letter, which shall be added to the file at the dean's office (the office of record) and forwarded with the file. The candidate may be provided access to this "chair's letter" as outlined in section III.I.

The dean shall also review the record of each chair to determine whether a recommendation for acceleration should be considered by the voting members of the department. A recommendation for acceleration will be considered by the voting members of the department if a request is made by the dean, the candidate (i.e., the chair), or any other ladder rank faculty member of the department.

APM 245 provides criteria for evaluation of department chairpersons.

2. Joint Appointments

For purposes of the personnel review of joint appointees, one of the departments will be considered as the principal department. Ordinarily this will be the department with the larger percentage of FTE. For joint appointments in which the FTE split is 50-50, the candidate will write a brief memo to the Chancellor's Office requesting that one of the two departments be designated as the principal department. This declaration, once made applies indefinitely and need not be restated. The request should be forwarded via the chairs of both departments and the dean(s) for their reviews.

The chair of the principal department has the responsibility of holding a joint meeting with the candidate and other chair before either department considers the file. The purpose of this meeting is to review personnel procedures, to assemble information for the file and, where appropriate, to allow the candidate to suggest names of persons to be solicited for extramural letters. Names for extramural referees may be suggested to either or both chairs who then will solicit additional names of referees from their departments so as to ensure the balanced assessment specified in section III. N. Both chairs should be aware of all letters being sought.

The personnel files to be reviewed by each department shall contain identical information. Thus, it is the responsibility of the chair of the principal department to arrange to have all information, including external letters obtained by the other department, collected in a single file which can then be duplicated for review by the other department.

Under APM 220-80-d, "Before the departmental recommendation is determined, the chair shall provide the candidate the opportunity to inspect all documents in the personnel review file other than confidential academic review records (as defined in APM-160-20-b (1)), and shall provide to the candidate upon request a redacted copy (as defined in APM 160-20-c (4)) of the confidential academic review records in the file."

The provisions of the above APM 220-80-d will be carried out by the chair of the principal department only.

Each department will independently evaluate the candidate and make a recommendation, emphasizing where appropriate those portions of the candidate's responsibilities which are specific to that department. The chair of each department will prepare a departmental letter to be sent to the dean (and, if another college or school is involved, to the other dean as well). When both departments are ready to forward their respective recommendations, there shall be a meeting of both chairs and the candidate, during which each chair will give the candidate an oral summary of his/her departmental recommendation. The candidate will not be given such an oral summary except at that meeting with both chairs present. Any written form of the departmental recommendation will also be given to the other department chair.

E. Access to Academic Personnel Records (APM 158 & 160)

Regulations regarding access by an individual to his/her academic personnel records appear in APM 158 and 160.

1. Definition of academic personnel record

In this context, the term academic personnel record refers to:

- a. Academic personnel records wherever they are kept, including office of the department, dean, or executive vice chancellor.
- b. Academic personnel records such as the file that is assembled for merit/promotion review as well as any other academic record or document pertaining to an individual as an employee of the University.
- c. All historical as well as current academic personnel records pertaining to an individual.

2. The basic regulations pertaining to access include:

- a. All documents pertaining to an individual, except confidential documents, shall be accessible for inspection by the individual (APM 160-20-b-2). "Non-confidential academic review records" are:
 - (i) A letter from the chairperson (or equivalent officer) setting forth a departmental recommendation in connection with an academic personnel action concerning the individual, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.
 - (ii) Reports, recommendations, and other related documents from administrative officers and standing personnel committees concerning evaluation of the individual under applicable University criteria in connection with an academic personnel action, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.
- b. Individuals can obtain a redaction of confidential documents in such records (APM 160-20-b-1). "Confidential academic review records" are:
 - (i) A letter of evaluation or other statement pertaining to an individual received by the University with the understanding that the identity of the author of the letter or statement will be held in confidence to the extent permissible by law.
 - (ii) A letter from the chairperson (or equivalent officer) setting forth a personal recommendation in connection with an academic personnel action concerning the individual, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.

- (iii) Reports, recommendations, and other related documents from campus and departmental *ad hoc* committees concerning evaluations of the individual under applicable University criteria in connection with an academic personnel action, such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment.
 - (iv) Information placed in the review file by a department chair that provides reference to the scholarly credentials of individuals who have submitted letters of evaluation or their relationship to the candidate.
- c. If an individual has requested access to academic personnel records pertaining to that individual, material other than that called for under the conditions of redaction shall not be deleted from such records.

3. Requests for corrections, deletions, additions to personnel records

APM 160-30 contains provisions whereby an individual has the opportunity to request corrections or deletions in academic personnel records and to make additions to such records. Such requests shall be addressed to the Chancellor who shall, within 30 calendar days, determine whether the request shall be granted. In any event, the individual shall have the right to have inserted in the appropriate record any statement the individual wishes in response to or commenting upon the challenged material.

4. Procedures to be followed by faculty members when requesting access to records

The specific procedures are divided into two categories: procedures in relation to an ongoing personnel review (APM 220) and procedures for access to all other records (APM 160).

- a. Access in relation to an ongoing personnel review (defined as the period between the initiation of a departmental recommendation in a personnel action through the final administrative decision). There are three applicable procedures: a) before a departmental review; b) before or at the time the departmental letter is forwarded; c) after the final administrative decision.
 - (i) Before a departmental review (APM 220-80-d): the candidate may inspect all non-confidential documents that are included in the file to be reviewed, and shall receive an oral summary or upon request in writing, a redacted copy of the confidential academic review records in the file.
 - (ii) Before or at the time the departmental letter is forwarded (APM 220-80-e): the candidate shall be informed orally by the chair of the departmental recommendation and of the substance of departmental evaluations under each of the applicable University criteria. Upon request in writing, the chair shall provide to the candidate a copy of the letter setting forth the departmental recommendation. If the candidate has requested a copy of the departmental letter on the Procedural Safeguards Statement, the letter should be automatically furnished by the Department Chair.
 - (iii) Once the final decision is communicated, the candidate may, upon written request, receive a redacted copy of the confidential academic review records in APM 160-20-b-1. The redacted confidential documents and/or non-confidential documents shall be requested on the Access to Records Form (Attachment A) or the Procedural Safeguard Statement (Attachment B-1). If the candidate has requested access to designated records on Section D of the Procedural Safeguards Statement, these will be automatically furnished by the Academic Personnel Office.
- b. Access to all other academic personnel records (APM 160-20-b-2).

- (i) An individual may inspect, at reasonable times, all non-confidential documents in any of the academic personnel records of the individual. To do so, the individual should communicate directly with the office which holds the record of interest.
- (ii) Requests for access to confidential information in an individual's personnel file must be sent to the Vice Provost for Academic Personnel. These requests may be for an oral summary or a redaction of the confidential information.

In the former case an appointment should be arranged with the Vice Provost for Academic Personnel to receive the summary. In the latter case, the request shall be submitted on the Access to Records form. The redactions will be sent directly to the individual who is allowed to provide copies to the department chair and the dean if he/she desires to do so.

III. DOCUMENTS

It is the candidate's and the department chair's responsibility to document the file in an adequate manner. Review will be based only on what is contained in the file. If a file is poorly documented, the candidate is disadvantaged. It is in the candidate's interest to provide all pertinent material and information to the department and to be certain the file is complete (as verified by the Procedural Safeguard Statement).

A. Ad Hoc Committee Report (Senate)

The following list shows instances when *ad hoc* committees are automatic. When an *ad hoc* committee is automatic, its review of the file will precede the dean's review. In cases when a discretionary *ad hoc* committee is utilized, the Dean letter will be removed from the file being forwarded to the *ad hoc* committee. The redacted *ad hoc* report will be forwarded to the Dean and the Dean be given the opportunity to respond. Both Dean letters will then be added to the file and will remain as part of the file.

Ad hoc committees will be comprised of a committee chair, two committee members and a non-voting department representative. The department representative will act as a consultant during discussion, will not be present during the *ad hoc* vote and will not be given access to the *ad hoc* report.

	<u>Ad Hoc Committee</u>
Advancement to Professor VI	Discretionary
Advancement to Above-Scale	Automatic
Advancement within Above-Scale	Discretionary
Appraisals	Discretionary
Career Review	Discretionary
Deferrals	Not required
Merits and Accelerated Merits	Discretionary
Promotions to Tenure	Automatic
Promotions to Full Professor	Discretionary
Quinquennial Reviews	Discretionary

B. Ad Hoc Committee Report (Departmental)

The reports of *ad hoc* committees, internal to the department, are regarded as working documents within the department and may not be forwarded with the file. Departmental *ad hoc* committee reports are confidential documents (See APM 160-20-b-1-c).

C. Bibliography of Publications and/or Creative Activity - At Last Advance

The bibliography at last advance will be retained at the CHASS, COE and CNAS Dean's offices. The School of Education, Division of Biomedical Sciences and Anderson Graduate

School of Management should include the bibliography at last advance in the file forwarded to the Academic Personnel Office.

D. Bibliography of Publications and/or Creative Activity - Current

Bibliographic information must be complete, and include page numbers of the published items or numbers of manuscript pages. Lack of this information hampers the review process and may disadvantage the candidate.

Except as noted in Sections II.A 9.a and II.A 9.b, this document may not be updated beyond the File Entry dates specified in Section I, Schedule.

The items should be listed separately as indicated below. Where the contributions are in the form of creative activity, similar types of categories should be used if possible. In order to provide for an adequate reflection of scholarly contributions, departments may be flexible in employing the categories below. (For example, for certain fields it may not be appropriate to use separate categories for technical journal articles and book chapters that are original contributions to edited books.) All modifications must be justified on the difference list. In the cases of multiple-authored work, the sequence of authors should be listed as in the original publication. Only work produced by the candidate is allowable on the bibliography; for example reviews written by the candidate are allowable whereas reviews of the candidate's work are not.

For merit files only (other than advancements to Professor VI, Professor Above-Scale, and within Professor Above-Scale) the bibliography of publications and creative activity will be retained at the CHASS, COE and CNAS deans' offices. (The School of Education, Division of Biomedical Sciences and Anderson Graduate School of Management, shall forward the bibliography to the Academic Personnel Office.)

It is recommended that items on the bibliography be grouped together by type of publication then by status, such as the following examples:

- I. Technical Journal Articles
 - a. Technical Journal Articles Published
 - b. Technical Journal Articles In Press
 - c. Technical Journal Articles Submitted

- II. Semi-Technical Journal Articles
 - a. Semi-Technical Journal Articles Published
 - b. Semi-Technical Journal Articles In Press
 - c. Semi-Technical Journal Articles Submitted

1. Published
 - a. List books, monographs, edited books, textbooks, journal articles (technical), journal articles (technical) - electronic, journal articles (semi-technical), journal articles (semi-technical) - electronic, invited chapters, review articles (not book reviews), proceedings, etc., as separate categories. Citation of reprinted and/or translated items shall be included immediately after the original item and shall not be accorded a separate number in the enumerated list of publications. Note of reprinted and/or translated items should be made in the Difference List and in the departmental letter.

For formal articles and similar material, indicate which are refereed, non-refereed, and/or invited. Append an explanatory note if this would provide additional clarity. Articles published in major scholarly journals are usually evaluated (refereed) by other scholars prior to publication. However, some journals publish solely on the basis of the judgment of the editor. Such articles are considered non-refereed as are articles in those edited books where the judgment of the editor is the sole determinant of publication.

Most articles published in scholarly journals are considered "technical," that is, they are directed to other scholars in their field. However, some journals or magazines are directed toward non-experts. The articles have a scholarly basis but are not truly technical, and should be separated and designated as semi-technical.

Edited work should appear only once. Under this entry, the editor's contribution of any editorial material should be noted [e.g., editor's contribution, pp. ii-ix.]

If the edited work also contains an original contribution as an author, then this contribution should be listed as a contribution to an edited volume, just as if it had been contributed to a volume edited by another individual.

If the edited work does not contain editorial material or is not the product of the scholarly research of the individual (e.g. editing a journal or a series), then the work should be listed in the professional activity portion of the file, not as published work in the bibliography. (see III.S)

- b. Book reviews
- c. Abstracts, reports, working papers (optional – and need not be cross-referenced)

2. In press (work accepted for publication)

List date accepted, publisher, and approximate number of manuscript pages (or published pages, if known). For books to be considered accepted for publication, the book must be completely written and accepted by a publisher. Chapters are considered "in press" when all of the following are true: 1) the chapter is fully completed, 2) the chapter has been unconditionally accepted by an editor, and 3) the chapter is contained in a book which has a secured contract with a publishing company. If no other acceptance date is available, the date the galley was received may be used. It should be documented as "Galley received on ____; no other acceptance date."

3. Submitted (optional but encouraged)

Indicate submission date, where submitted, and approximate number of manuscript pages. Such items may be included on the Difference List.

4. Work in progress (optional)

It is not required to list work in progress. The candidate, however, may wish to do so when the work sheds light on the direction and focus of the overall research program. Such items should not be included on the Difference List.

5. Patents

There are three primary stages in the pursuit of a patent: a) UC Disclosure of Invention; b) Patent Application Filing with US Patent and Trademark Office; and c) Issuance of a US Patent by US Patent and Trademark Office.

a) UC Disclosure of Invention.

Under University policy, all potentially patentable inventions must be disclosed to the University. This is accomplished by submitting a Record of Invention Form. Upon receipt, the record of invention is assigned a UC Case Number. Technically, this constitutes a filing within the UC system, but is often referred to as "Patent Disclosure". This should be listed on the bibliography as shown in the following example.

SMITH, MARY (List all names on disclosure)

UC Case No.: 1999-008-4

Title: "A NOVEL FORMULATION OF PHOSPHORUS FERTILIZERS FOR

PLANTS"

Status: Disclosure

Date Disclosed: June 03, 1999

b) Patent Application Filing with US Patent & Trademark Office

If it is decided to proceed with filing a patent application, the completed patent application is submitted in the inventor's name to the United States Patent and Trademark Office. The official status at this stage is "Patent Pending". Patent activity at this stage should be listed as follows:

SMITH, MARY (List all names on disclosure)

UC Case No.: 1999-008-4

Title: "A NOVEL FORMULATION OF PHOSPHORUS FERTILIZERS FOR PLANTS"

Status: Patent Pending
Disclosure

Date Filed: February 23, 2000
Date Disclosed: June 3, 1999

c) Issuance of Patent by US Patent and Trademark Office

Once a patent is issued, it is given a public patent number. Patented properties should be listed as follows:

SMITH, MARY (List all names on disclosure)

UC Case No.: 1999-008-4

Title: "A NOVEL FORMULATION OF PHOSPHORUS FERTILIZERS FOR PLANTS"

Status: U.S. Patent No. 5,514,200
Patent Pending
Disclosure

Date Issued: August 2, 2001
Date Filed: February 23, 2000
Date Disclosed: June 3, 1999

E. Biography Form - At Last Advance

The Biography Form at Last Advance will no longer be required for any review file.

F. Biography Form - Current

The Biography form must be signed.

G. Candidate's response to Departmental Recommendation

The candidate has seven calendar days from receipt of the departmental letter to provide a written response to the departmental recommendation (and minority reports, if any). This response may be addressed to the chair, the dean, or the Vice Provost for Academic Personnel.

If addressed to the chair, it will be added to the department's copy of the file and will proceed with the forwarded file through the review process.

If addressed to the dean, it will not be sent to the department, but the dean will inform the department chair that a written statement has been received from the candidate without revealing its contents. A written statement that is addressed directly to the dean will be forwarded to the Chancellor's Office and to the Committee on Academic Personnel, but will not be sent to an *ad hoc* review committee, unless the candidate specifically requests that the statement be included in the file reviewed by the *ad hoc* committee.

If addressed to the Vice Provost for Academic Personnel, the response will be seen by only the Committee on Academic Personnel, and the Chancellor or his designee. The Vice Provost for Academic Personnel will inform the department chair and dean that a written statement has been received from the candidate without revealing its contents.

The candidate's statement is limited to a maximum of two pages for merit files (other than, advancement to Professor VI, Professor Above-Scale or within Professor Above-Scale.)

Use Attachment H for the Candidate's Response to the Departmental Recommendation.

H. Candidate's Response to Extramural Letters

The candidate may submit a statement in response to the redacted copies of confidential documents or as a commentary on the file. This written response will become a part of the file, but it must be submitted to the chair at least seven calendar days prior to the departmental meeting at which review of the file will occur.

I. Chair's Letter (Optional)

In addition to the departmental letter, the chair, at his/her discretion may elect to write a separate letter, known as the chair's letter. Such a letter can be an important part of the file, especially when significant differences of opinion and voting are expressed in the departmental letter. The chair's letter is a confidential document (See APM 160-20-b-1-b) and should be forwarded to the dean's office and not retained in the department. The chair's letter is prepared AFTER the chair has informed the candidate about the departmental recommendation. Upon request by the candidate, access to the chair's letter will be provided in redacted form after the final administrative decision has been communicated to the candidate, or at the Chancellor's preliminary assessment stage in promotion to tenure cases.

J. Checklist of Documents

The Checklist of Documents appropriate to the type of review should be utilized. These checklists can be found as follows:

Type of Action	Checklist Attachment #
Appraisal	Attachment C-1
Career Review	Attachment C-2
Deferral	Attachment C-3
Merit	Attachment C-4
Promotion to Associate Professor	Attachment C-5
Promotion to Professor	Attachment C-5
Advancement to Professor VI	Attachment C-5
Advancement to Above-Scale	Attachment C-5
Advancement within Above-Scale	Attachment C-5
Quinquennial Review	Attachment C-6

K. Dean's Recommendation Letter

The Dean's letter is not a confidential document. The letter is forwarded to Academic Personnel with the file for merit cases. Whenever a Senate *ad hoc* committee is required (e.g., promotions to tenure, advancement to Above-Scale), the Dean's letter of recommendation will be solicited after the *ad hoc* committee recommendation is finalized. In cases when a discretionary *ad hoc* is utilized, the Dean letter will be removed from the file being forwarded to the *ad hoc* committee. The redacted *ad hoc* report will be forwarded to the Dean and the Dean will be given the opportunity to respond. Both Dean's letters will then be added to the file and will remain as part of the file.

The Dean's letter should briefly evaluate the file in light of the review criteria (see section II.A.4) and document the Dean's recommendation. All ranks/steps proposed by the department should be evaluated and commented on by the Dean in the Dean's letter. Identifiers of extramural and student letters are to be limited to numerical or alphabetical designations.

In merit file cases where the Dean has nothing evaluative or informative to add, the Dean may simply concur with the department and opt to forego a Dean's letter. The Dean will signify his/her concurrence by signature on the department letter. Deans may not concur in cases of acceleration.

L. Departmental Recommendation Letter

The chair has the responsibility of writing the departmental letter which provides, from the perspective of the voting faculty of the department, an evaluation of the file and a departmental recommendation. For promotions to Associate Professor and Professor and for advancements to Professor VI, Professor Above-Scale, and within Professor Above-Scale, this evaluation should be comprehensive, critical and detailed. For merit files (other than advancements to Professor VI, Professor Above-Scale, and within Professor Above-Scale) this evaluation shall be limited to a maximum of two pages.

Under APM 220-80-e, the department will adopt procedures whereby the departmental letter shall be available, before being forwarded, for inspection by all those members of the department eligible to vote on the matter or by a committee or other group of such members designated by the voting members of the department.

When the **draft** of the departmental recommendation letter is ready to be reviewed by eligible voting members of the faculty for the file, the Chair is responsible for communicating to the faculty where the **draft** is available for review. For security reasons, email review is strongly discouraged. The Chair must also provide the faculty with a due date for receipt of any comments to the draft. Once the due date has passed, the Chair must review any comments received from the faculty, and to the extent possible, incorporate those comments into the **finalized** departmental recommendation letter.

The Chair must then notify the faculty that the **finalized** departmental recommendation letter available for review (but no further comments from the faculty will be allowed except for corrections of errors of fact).

The date on which the Chair notifies the faculty of the **finalized** departmental recommendation letter is also the date that starts the clock for the five working days for the submission of any minority reports.

An oral summary of the departmental letter shall be provided to the candidate once the period for the submission of minority reports is expired. The candidate will be able to review the unredacted **finalized** letter and any minority reports after the period for submission of minority reports is expired.

Identifiers of extramural and student letters are to be limited to numerical or alphabetical designations. The same protection of confidentiality should also be extended to statements made by individual faculty members.

In units where there is no chair, the "departmental letter" summarizing the case should be prepared by a senior faculty member designated by the dean. The same member should be responsible for preparing the letters for all candidates in the unit. This faculty member may also prepare a "chair's letter." (See section III.I)

The reports of *ad hoc* committees, internal to the department, are regarded as working documents within the department and may not be forwarded with the file. Departmental *ad hoc* committee reports are confidential documents (See APM 160-20-b-1-c).

1. Contents of the Departmental Letter

The departmental letter must not simply enumerate that which the file contains, but must analyze the materials and describe the **significance and impact** of the teaching, research, and service contributions. This letter shall include the departmental vote in the heading and shall

present any significant evidence and differences of opinion which would explain a minority vote. If options have been exercised without comment, that should also be reported.

a. Introductory Information

The format for the department letter found in Attachment D should be followed. It should include:

- (i) present title, rank and step of the candidate and the number of years at the present rank and step. (Previous advancement information should not be included.)
- (ii) rank and step recommended.
- (iii) the exact vote specifying the number in favor, opposed, abstained and unavailable. (See section II.A.1)
- (iv) sabbatical leave report status.

b. Evaluation of Teaching

In the evaluation of teaching such points as the following should be considered: "The candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students." (See APM 210-1-d-1)

Where possible and applicable, the departmental letter should comment on items such as the following:

- (i) The role of the candidate in the instructional program including such items as the amount, variety and difficulty of the teaching assignments and the preparation and attention given by the candidate to his/her teaching responsibilities.
- (ii) Out-of-class teaching and advising (careful thought should be given to the advising role of each candidate): directed research, special studies, help given to students, office hours with students, contributions to the teaching of other faculty, etc.
- (iii) Graduate student supervision and advising: PhDs, MAs, committees, post-doctoral supervision.
- (iv) Development of new and effective techniques of instruction; writing of teaching materials, manuals, textbooks.
- (v) Evaluation of teaching as judged by departmental colleagues. Guidelines dealing with the evaluation of teaching are contained in APM 210-1 and should be consulted by chairs on behalf of their departments. Among other elements of teaching, faculty colleagues are particularly well qualified to make thoughtful and substantial assessments of the candidate's command of subject matter and continuous growth in his/her field. Faculty perceptions and information should be shared with colleagues at the departmental personnel meeting concerning the candidate and incorporated into the file in an appropriate manner. Departments should be mindful that individual faculty who write letters of evaluation will be disqualified from service on the candidate's *ad hoc* committee in cases of appraisal and promotion. In anticipation of such situations, the information may better be incorporated in the departmental letter.

(vi) Evaluation of teaching by students. Materials submitted by students (see III.W) should be discussed by the department in its meeting and summarized and evaluated in the departmental letter. All levels of instruction (lower-division, upper-division, and graduate) performed during the review period should be assessed and commented on. Hearsay is not acceptable for use in teaching evaluations.

c. Evaluation of Research and Creative Activity

Department letters must explain the quality of the candidate's publication venues. References to "top tier" should include information to support such claim in order to inform and assist the review process. Supporting detail is needed since colleagues in a wide variety of fields are involved in the review process.

The departmental letter should evaluate specifically the following:

(i) Contribution to the Scholarly Field

Research and other creative activity should be subjected to critical analysis, not merely enumerated, and should be considered in terms of the significance and quality of contribution that the work makes to the scholarly field. For promotion reviews, the candidate's entire record will be reviewed, including contributions since the last advancement. For merit reviews, primary emphasis will be placed on the evaluation of contributions since the last advancement. The total record will provide a context for these contributions. For merits following a lateral promotion, see section II.B.8

(ii) Identification and Classification of Research Items

The chair should comment in detail on the nature of the publications or creative activity. For example, if the candidate has edited a book or anthology, the candidate's specific contribution should be described and evaluated. The chair should comment on the quality and nature of the journals and publishers as well as the quality and significance of the work itself.

(iii) Extramural Letters

The chair may quote from the extramural letters, but quotations cannot substitute for an informed and critical evaluation of the letters and of the academic expertise of persons writing them.

d. Evaluation of Professional Activity and University and Public Service

It is the chair's responsibility to include departmental comments and evaluations, where possible, of the professional activities and service of the candidate. Simple enumeration does not materially assist the review process.

e. Departmental Letter Format

The format of the Departmental Letter should be as shown in Attachment D.

M. Difference List

On a separate blue colored sheet (the "Difference List"), enumerate the candidate's recent publications and/or creative activity to be credited since the time of appointment or last positive review. The numbering and format of publications should be consistent in the Difference List and the current Bibliography. It is recommended that items on the Difference List be grouped together by type of publication then by status, such as in the following examples:

I. Technical Journal Articles

- a. Technical Journal Articles Published
- b. Technical Journal Articles In Press
- c. Technical Journal Articles Submitted

- II. Semi-Technical Journal Articles
 - a. Semi-Technical Journal Articles Published
 - b. Semi-Technical Journal Articles In Press
 - c. Semi-Technical Journal Articles Submitted

In assessing work completed since appointment or last advance, a general guideline followed by all reviewing agencies is not to "credit" an item until it is accepted for publication (or in press). That is, items are credited only once. Conditionally or provisionally accepted items should be listed as "submitted". The candidate is permitted to list submitted items, in a separate category, on the Difference List.

Only work produced by the candidate is allowable on the Difference List; for example reviews written by the candidate are allowable whereas reviews of the candidate's work are not.

A brief description (a maximum of 3-4 sentences) of the candidate's role in products of joint effort shall be included directly following each citation. Candidates should also give some information on the collaborator, i.e. the rank of the collaborator, the association to the candidate etc.

For merits following a lateral promotion, see section II.B.8

An optional one page cover sheet (on blue paper) may be included with the Difference List. The cover sheet should briefly provide a clear description of the quality and characteristics of the venues in which the candidate publishes.

N. Extramural Letters

Extramural letters solicited by the candidate's department chair are required as specified below. Candidates may not solicit their own extramural letters.

Extramural Letters	
Advancement to Professor VI	Required
Advancement to Above-Scale	Required
Advancement within Above-Scale	Not required
Appraisals	Not required *
Career Review	Required
Deferrals	Not allowed
Merits and Accelerated Merits	Not allowed
Promotions	Required
Quinquennial Reviews	Not required
* Candidates are strongly discouraged from requesting extramural letters at time of appraisal. Instead, candidates are encouraged to wait to solicit extramural letters until review for promotion to tenure so as to not overburden extramural letter writers.	

Letters requesting extramural evaluations are critical. The letter of solicitation should include a current curriculum vita and should clearly specify the action for which the reviewer is being asked to evaluate the candidate.

For 7th year promotion to tenure candidates without complication of eligible service at other UC campuses, extramural letters should not be solicited BEFORE the sixth anniversary of the UCR appointment date. For persons with prior service at other campuses, extramural letters for 7th year promotion to tenure files may be solicited after the completion of the 72nd month of appointment (inclusive of prior service). (See APM 133-17).

The candidate's (optional) Self-Statement(s) may be sent to the extramural referees upon written request of the candidate. This Self-Statement will be provided by the candidate in a timely manner and becomes a part of the file forwarded for review. If the self-statement sent to

extramural referees differs from the self-statement in III.V, both self-statements should be included in the file. (See III.N.2)

All extramural letters should be from qualified persons of a rank equal to or above the rank sought by the candidate. The reviewers' qualifications should include an established reputation and a disciplinary expertise enabling them to comment and assess in an informed manner. Preferably such persons should be affiliated with institutions comparable in quality to the University of California. Letters should be requested from 3-6 referees suggested by the candidate, and from 3-6 referees suggested by the department and/or chair; the list of referees should be adequately balanced between the candidate's suggestions and those of his/her colleagues. In suggesting referees, it is desirable to include not only the best qualified persons in the field or subdiscipline but also some not closely affiliated with the candidate or his/her work.

It is expected that the file will include extramural referees familiar with the UC rank and step system. If there are no reviewers with this knowledge, an explanation should be given as to why. No more than two letters should be from the same institution.

Sample solicitation letters are provided as follows:

For appointment or promotion to Associate Professor	Model Letter A (Attachment E-1)
For appointment or promotion to Full Professor	Model Letter B (Attachment E-2)
For advancement to Professor VI	Model Letter C (Attachment E-3)
For advancement to Professor Above-Scale	Model Letter D (Attachment E-4)
For Career Review	Model Letter G (Attachment E-7)

The University of California policy on confidentiality (Attachment E-8) is to be enclosed with solicitation letters A through D and G for extramural review.

APM 220-18-b contains criteria for advancement to Professor VI and Professor Above-Scale. In applying these criteria, reviewers should require evidence of excellence and high merit in original scholarship or creative achievement, teaching, and service; and, in addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching.

All solicited letters, whether from a previous year or the current year, obtained in connection with a given action shall be included in the file. In the case of letters received in a previous year, the Chair may write to all or a subset of those who wrote letters and offer them the opportunity to write a new letter or update the previous letter. The chair will provide a brief explanation (in the departmental letter) of the department's reasons for not re-contacting previous years' reviewers. The chair may also solicit letters from additional referees.

The extramural letters should be numbered or referenced by alpha characters, stapled as a packet, and attached to the front of the packet should be:

1. The letter soliciting the extramural letters.
2. The packet of information sent to extramural referees (including such items as a self-statement, bibliography, and optional curriculum vita), if different from the documents submitted as part of the file.
3. The list of persons from whom extramural letters were sought, should be annotated as to whether they were nominated by the candidate or the department (including the chair) or both. Declinations or other reasons for non-response should be included.
4. The chair should provide, on the list in #3 above, a brief (one or two sentences) comment on the academic standing and reputation of each letter writer. This does not need to be provided for those who declined or did not respond to the solicitation letter. This

information is confidential and is not to be released to the candidate (See APM 160-20-b-1-d).

- English translations must be provided for extramural letters written in another language.

O. Grant Activity

All grant and funding activity should be listed on a separate page in the format shown in Attachment F.

As relevant and appropriate, the candidate shall provide a list of all grant activity, including research grants, training grants, facilities grants, etc. The list should include the granting agency name, title of grant, award dates (use begin and end dates of contract and grant award even if funded on a yearly basis), total amount of funding, and Principal Investigator's status (Principal Investigator = PI, Co-Principal Investigator = CoPI, or Collaborator = Coll). It may be helpful to include a legend of granting agencies when using acronyms. In addition, the list should include a brief contribution statement for grants with a CoPI (maximum 2-3 sentences).

GRANT ACTIVITY	
For Consideration of:	Include Activity Since:
Appraisal	Appointment
Merit	Last advance
Merit following lateral promotion	Last merit
Promotion to Associate Professor	Appointment
Promotion to Professor	Promotion to Associate Professor
Advancement to Professor VI	Promotion to Professor
Advancement to Above Scale	Advancement to Professor VI
Advancement within Above Scale	Last advance
Career Review	Last promotion if promotion was greater than 5 years past If ≤5 years, then include activity since the previous promotion or appt.
Quinquennial Review	For past 5 years

P. Letters from Other Departments/Programs

At the request of the candidate, the department will solicit letter(s) from the chair(s) of programs with which the candidate has a significant relationship. All letters received will be included in the file at the departmental level. Such letters are non-confidential and shall be limited to one page.

Q. Minority Reports

In the departmental review of an appointment, appraisal, merit or promotion case:

- Any minority opinion on a faculty member (or any other solicited or unsolicited document) which is intended for consideration by the Committee on Academic Personnel or the Chancellor's Office is viewed as non-confidential. Names of extramural referees and students must not be disclosed in minority reports. The minority opinion must be signed and forwarded as an addendum to the departmental letter. The addendum is considered part of the department letter, not a separate document on which the candidate may comment. All documents not submitted through the department chair and the dean's office will be returned to the sender. Minority reports for merit files (other than advancements to Professor VI, Professor Above-Scale, and within Professor Above-Scale) are limited to a maximum of two pages.

Minority reports are intended to permit interpretations of fact and academic judgment which differ materially from those expressed in the departmental letter. The intent is not to extend to unreasonable degrees, differences of academic judgment already clearly delineated in the departmental letter and reflective of both majority and minority views. Minority reports should be embarked upon only when consultation with the departmental letter writer reaches an impasse with regard to the departmental letter's being an accurate and objective rendering of diverse academic and professional judgments. Such minority reports are not to be treated as alternatives to departmental letters in scope or detail but should focus on critical matters of fact and academic judgment about the specific case not discussed in the departmental letter.

2. For all such documents sent to the department, the chair must make the document known and available to departmental members eligible to vote on the case. To avoid undue delay in processing and forwarding files, any minority reports must be submitted to the chair not more than five working days after the finalized letter of recommendation is available for review by eligible faculty. When the chair has announced the deadline by which the file and final letter of recommendation is to be forwarded, all accompanying documents must be submitted.
3. In an addendum to the departmental letter, the chair may comment on the minority report or other document. The addendum to the departmental letter, like the letter itself, is to be shared with the department before the file is submitted. The addendum is considered part of the department letter, not a separate document on which the candidate may comment. The intent should be to acknowledge the department's awareness of the minority report or succinctly to address items in the minority reports germane to the case and not already adequately considered in the department letter. Minority reports on minority reports or individual faculty comments to minority reports are not permitted.
4. Minority reports and other such documents submitted in accord with the above specified procedures will be a part of the file as it is considered by all of the subsequent reviewing agencies (see section II.A.8.b for exception, relating to the candidate's option of sending his/her comment to the dean's office).
5. The candidate will be able to review the unredacted **finalized** letter and any minority reports after the period for submission of minority reports is expired.

R. Procedural Safeguards Statement

Every personnel review file submitted is required to have a Procedural Safeguards Statement signed by the candidate. If the candidate should refuse to sign, the file will not be accepted for review. If the candidate refuses to sign for a mandatory review, such as a 7th year promotion to tenure or quinquennial review, refer to the instructions provided on the form (Attachment B-1). Part 2 of the Procedural Safeguards Statement (Attachment B-2) should accompany any addition or change to the file.

S. Professional Activity and Service

The candidate shall provide a list of significant activities under the categories of Professional Activity and Service. Information should be listed only once and as much as possible, organized by activity in chronological order, including beginning and ending year(s) of participation, rather than repeating an activity.

Entries that are duplicative of an item on the bibliography and/or Difference List (such as conference proceedings) should be noted. Abstracts however, do not need to be cross referenced.

Invited papers and presentations should be clearly identified. It is permissible to include invited activities which the candidate declined or was unable to attend.

PROFESSIONAL ACTIVITY AND SERVICE	
For Consideration of:	Include Activity Since:
Appraisal	Appointment
Merit	Last advance
Merit following lateral promotion	Last merit
Promotion to Associate Professor	Appointment
Promotion to Professor	Promotion to Associate Professor
Advancement to Professor VI	Promotion to Professor
Advancement to Above Scale	Advancement to Professor VI
Advancement within Above Scale	Last advance
Career Review	Last promotion if promotion was greater than 5 years past If ≤5 years, then include activity since the previous promotion or appt.
Quinquennial Review	For past 5 years

Professional Activity includes such things as:

1. editing books or journals, refereeing articles or other publications, serving on review panels
2. holding an office in a professional or learned society
3. awards, prizes, honors received from professional organizations, foundations, etc.
4. presenting papers or chairing sessions at professional meetings, presenting invited seminars, colloquia, workshops, report writings, etc. including location and date of meeting or presentation
5. consulting activity

T. Publications

One copy of the actual publications and in press material (including submitted and in progress material if the candidate so wishes) should be forwarded with cases of promotion, appraisal, and advancements to Professor Above-Scale. For advancements to Professor VI and within Professor Above-Scale, do not forward publications, but keep them available in the department. Attach a list of the publications to the top of the publications file. Copies of publications or creative work should not be inserted into merit files unless requested during the review process.

U. Sabbatical Leave Reports

Sabbatical leave reports do not need to be forwarded, but should be available upon request.

V. Self-Statement (optional but encouraged)

The candidate is encouraged to submit a brief statement describing and evaluating, in language understandable to a general audience, his/her achievements and recognition. These self-statements are not required but are helpful to the reviewing agencies if they direct the reviewers' attention to the candidate's most significant work and the current direction of scholarly activities; simple enumeration of material evident in the file does not materially assist the review process and should be avoided. Accuracy of the self-statement is the responsibility of the candidate. Self-statements in quinquennial reviews and merit files (other than appraisals in

conjunction with a merit, advancements to Professor VI, Professor Above-Scale, and within Professor Above-Scale) are limited to a two page maximum.

W. Student Evaluations of Teaching

The APM requires student evaluation of teaching. It should normally cover teaching done in the period under review. Promotion, appraisal, advancement to Professor VI and Professor Above-Scale files require teaching evaluations for just the three years shown on the Teaching Load Data Form. Merit files require teaching evaluations for all courses since last advance or for the three years listed on the Teaching Load Data Form, whichever period of time is shorter. Quinquennial reviews must include teaching evaluations for the last five years. All available evaluations should be included in the file. Departmental summaries (for the candidate's principal department) should also be included in the file for every quarter in which any course taught by a candidate is evaluated.

For areas of teaching not covered by standardized evaluations, student letters of evaluation should be solicited. In this case, include a statement showing how student letters were obtained (i.e. random sample of all students, solicitation of all graduate students, etc.). The letter of solicitation of such evaluations should be included and should include a statement of legal safeguard of the sort indicated in Attachment E-8. Oral or other informal request mechanisms are not sufficient.

Evaluations of University Extension courses are not to be included.

Summer teaching evaluations should not be included unless, because of departmental constraints such as space limitations, a required course is by necessity being offered in the summer. In such a case, summer teaching evaluations will be recorded on the Supplemental Teaching Load Data Form and placed in the Other section.

X. Student Letters Evaluating Teaching

For areas of teaching not covered by standardized evaluations, student letters of evaluation should be solicited. In this case, include a statement showing how student letters were obtained (i.e. random sample of all students, solicitation of all graduate students, etc.). The letter of solicitation of such evaluations should be included and should include a statement of legal safeguard of the sort indicated in Attachment E-8. Oral or other informal request mechanisms are not sufficient.

Student letters evaluating teaching are confidential documents.

Student letters from previous unsuccessful files should be included if they serve to complete teaching documentation for the same two or three year period shown on the Teaching Load Data Form. If sufficient standardized evaluations are provided to assess teaching skill and effectiveness, these letters are not required to be included.

Y. Teaching Load Data Form

Departments are encouraged to provide a brief (2-3 sentence maximum) departmental teaching statement. The statement may be used to explain departmental teaching norms, the unusual circumstance which lead to some courses not being evaluated, and any other elements of teaching that may be unique to the department.

List each course number and title of the teaching load for the previous three years and for the current fall quarter. (For quinquennial review files, list all courses for the past 5 years). Include variable unit courses. If a course is shared, explicitly state what percentage of the course was conducted or how many lectures or labs were done by the candidate. When this period includes a sabbatical leave, the form should identify the leave period in relation to the lack of available evaluations for that period.

GRADUATE STUDENT INSTRUCTION	
For Consideration of:	Include Students Since:
Appraisal	Appointment
Merit	Last advance
Merit following lateral promotion	Last merit
Promotion to Associate Professor	Appointment
Promotion to Professor	Promotion to Associate Professor
Advancement to Professor VI	Promotion to Professor
Advancement to Above Scale	Advancement to Professor VI
Advancement within Above Scale	Last advance
Career Review	Last promotion if promotion was greater than years past If ≤5 years, then include activity since the previous promotion or appt.
Quinquennial Review	For past 5 years

Z. University and Public Service

The candidate shall provide a list of significant activities under the categories of University and Public Service. Information should be listed only once and as much as possible, organized by activity in chronological order, including beginning and ending year(s) of participation, rather than repeating an activity. List department, college, Senate, administrative and systemwide service under separate categories. *Ad hoc* committee service (without revealing the name of the candidate) should be listed under Senate service.

UNIVERSITY AND PUBLIC SERVICE	
For Consideration of:	Include Activity Since:
Appraisal	Appointment
Merit	Last advance
Merit following lateral promotion	Last merit
Promotion to Associate Professor	Appointment
Promotion to Professor	Promotion to Associate Professor
Advancement to Professor VI	Promotion to Professor
Advancement to Above-Scale	Advancement to Professor VI
Advancement w/in Above-Scale	Last advance
Career Review	Last promotion if promotion was greater than 5 years past If ≤5 years, then include activity since the previous promotion or appt.
Quinquennial Review	For past 5 years

AA. Unsolicited Letters

Letters that were not solicited by the department chair may be included in the file. These should be stapled as a separate packet.

Model Letter E (Attachment E-5) must be used to inform the writer of any such letter of the candidate's potential access to the file.

Unsolicited letters are confidential documents.

Attachment A

REQUEST FOR ACCESS TO RECORDS
FOR ALL FILES

Name _____ Department _____

I request a copy of the following material in my academic personnel file for the _____ review year.

Confidential (redacted form)

- ___ Extramural letters
- ___ Student letters
- ___ Chair's letter
- ___ Ad Hoc committee report

Non-confidential

- ___ Dean's letter
- ___ CAP report
- ___ Department letter (if not received earlier)

Signature _____ Date _____

Note: Unless otherwise specified, all requests will be assumed to be for the official personnel review file of record which is maintained in the Academic Personnel Office.

ACADEMIC PERSONNEL OFFICE USE ONLY

-
- _____ 1. Request received
 - _____ 2. Documents with cover letter sent to candidate.

SIGNED STATEMENT ATTESTING TO PROCEDURAL SAFEGUARDS

(Part 1)

Every personnel review file submitted, including deferral and mandatory quinquennial review files, is required to have a Safeguards Statement signed by the candidate. In those extremely rare instances in which a faculty member has refused to sign the Statement, a written statement from him/her should be sought by the department chair in which the reasons for the refusal are presented. When the faculty member refuses to provide written reasons, the chair should make an effort to ascertain the reasons for the refusal and supply a statement on the basis of the oral response received.

I CERTIFY THAT ALL DOCUMENTS AND INFORMATION I HAVE PROVIDED ARE ACCURATE TO THE BEST OF MY KNOWLEDGE

signature date

I REQUEST A COPY OF THE LETTER SETTING FORTH THE DEPARTMENTAL RECOMMENDATION:

signature date

I CERTIFY THAT BEFORE AND AFTER THE DEPARTMENT RECOMMENDATION WAS DETERMINED:

A. Under APM 220-80-c

- 1. I was informed of the impending review for this personnel action and of the review process (through access to APM 210-1, 220-80 and 160).
2. I was provided the opportunity to ask questions, supply information and evidence, make any desired additions, suggest names for extramural letters (where relevant), and to provide, in writing, names of persons, who for reasons set forth by me, may not provide objective evaluations.

B. Under APM 220-80-d

initial & date

- 1. I had the opportunity to inspect all documents to be included in the file other than confidential documents.
2. I had the opportunity to receive redactions of confidential documents in this file. I received the following on (date): Extramural letters Student letters

initial & date

- 3. I had the opportunity to provide a written statement for inclusion in this file in response to or commenting upon material in the file.

C. Under APM 220-80-e

initial & date

- 1. I was informed of the departmental recommendation and of the substance of the departmental evaluations under each of the applicable criteria. I received a copy of the department letter on.
2. I was informed of the specific departmental vote or whether the vote was unanimous, by a strong majority, or by a narrow majority.
3. I was informed of the right to make written comments on the departmental recommendation within seven calendar days of receiving it and to direct transmittal of these comments to the chair, the dean, or the Vice Provost for Academic Personnel as described in section II.8.b of the Call. I have chosen to: respond in writing to the departmental recommendation within 7 days (use Attachment H). not respond to the departmental recommendation and waive the 7 day waiting period.

D. Under APM 220-80-i

- 1. I was informed of the right to receive a written statement of reasons for the final administrative decision. I was also informed that I am entitled to copies of non-confidential documents and redacted copies of confidential documents once the final decision is communicated. I request a copy of the following material in my current academic personnel review file be forwarded to me after the review is completed.

Confidential (redacted form) Non-confidential

- Extramural letters Dean's letter
Student letters CAP report
Chair's letter Department letter (if not received earlier).
Ad Hoc committee report

- 2. I understand I am entitled to receive copies of non-confidential documents and redacted copies of confidential documents in the event of a preliminary assessment of a decision not to award promotion. In such an instance, I request copies of the previously marked documents be forwarded to me as quickly as possible after the preliminary determination is communicated. I understand that copies of the documents I request will also be provided to the department and dean.

Signature Date

ATTACHMENT B-2

**SIGNED STATEMENT ATTESTING TO PROCEDURAL SAFEGUARDS
(Part 2)**

I CERTIFY THAT:

I was informed of the addition of the following material and informed by the chair of the content.

Print Name

Signature

Date

CHECKLIST OF DOCUMENTS FOR APPRAISALS

Name: _____ Department: _____

Submit **four** copies of each item (original plus three copies)

- | | | |
|---------------------|----|--|
| Indicate # included | ** | <input type="checkbox"/> A. Chair's Letter (<i>optional</i>)
<input type="checkbox"/> B. Departmental letter (must include vote)
<input type="checkbox"/> C. Minority Report (<i>if applicable</i>)
<input type="checkbox"/> D. Candidate's Response to department letter (<i>optional</i>)
<input type="checkbox"/> E. Candidate's Self-Statement (<i>optional but encouraged</i>)
<input type="checkbox"/> F. Candidate's Response to material in the file (<i>optional</i>)
<input type="checkbox"/> G. Candidate's request for redacted confidential documents |
| | ** | <input type="checkbox"/> H. Student Letters Evaluating Teaching (<i>required if non-confidential teaching evaluations are not provided</i>)
<input type="checkbox"/> Solicitation letter or statement as to how obtained
<input type="checkbox"/> I. Current Biography
<input type="checkbox"/> J. Current Bibliography (<i>include contributions to joint-authored works since arrival at UCR</i>)
<input type="checkbox"/> K. List of Professional Activity and Service (<i>since appointment, include the current year</i>)
<input type="checkbox"/> L. List of University/Public Service (<i>since appointment, include the current year</i>)
<input type="checkbox"/> M. Grant Activity (<i>if applicable, since appointment</i>)
<input type="checkbox"/> N. Teaching Load Data Form
<input type="checkbox"/> O. Student Evaluation of Teaching
Evaluations for all courses taught since last advance or those listed on the Teaching Load Data Form--campus teaching evaluation forms, etc. |
| | | <input type="checkbox"/> P. Letters From Other Departments/Programs (<i>optional</i>)
<input type="checkbox"/> Q. Signed Procedural Safeguards Statement
<input type="checkbox"/> R. Checklist of Documents in File |
| | ** | <input type="checkbox"/> S. Other- Confidential (specify item(s) below):

_____ |
| | | <input type="checkbox"/> T. Other- Non-Confidential (specify item(s) below)

_____ |
| | | <input type="checkbox"/> U. File of Publications/Creative Activity (<i>one copy only</i>)
Package separately with cover list of contents and mark "Please return to the Department of _____" |

** = Confidential

CHECKLIST OF DOCUMENTS FOR CAREER REVIEW

Name: _____ Department: _____

Submit **four** copies of each item (original plus three copies)

- ** A. Chair's Letter (*optional*)
- B. Department Letter (must include vote)
- C. Minority Report (*if applicable*)
- D. Candidate's Response to the department letter (*optional*)
- E. Candidate's Self-Statement (*optional but encouraged*)
- F. Candidate's Response to the material in the file (*optional*)
- G. Candidate's request for redacted confidential documents
- Indicate # included ** H. Extramural Letters (*required*)
 Include letters of declination and count in total number
 Include the following:
 Solicitation Letter
 Indicate those suggested by department, by candidate as well as a brief statement regarding academic standing of each letter writer
 The packet of information sent to extramural referees, if different from the documents submitted as part of the file
- Indicate # included ** I. Student Letters Evaluating Teaching (required if non Confidential teaching evaluations are not provided)
 Solicitation letter or statement as to how obtained
- J. Current Biography
- K. Current Bibliography of Publications/Creative Activity
- L. List of Professional Activity and Service (*since last promotion if promotion was greater than 5 years past. If ≤ 5 years, then include activity since the previous promotion or appt., include current year*)
- M. University and Public Service (*since last promotion see L., include the current year*)
- N. Grant Activity (*if applicable, since last promotion, see L*)
- O. Teaching Load Data Form
- P. Student Evaluation of Teaching
 Evaluations for all courses taught since last advance or those listed on the Teaching Load Data Form (whichever is less) --campus teaching evaluation forms, etc.
- Q. Letters From Other Departments/Programs (*optional*)
- R. Signed Procedural Safeguards Statement
- S. Checklist of Documents in File
- T. Other - Confidential (specify item(s) below):

- ** U. Other - Non-confidential (specify item(s) below):

- V. File of Publications/Creative Activity
 Packaged separately with cover list of contents and marked "Please return to the Department of _____"

** = Confidential

CHECKLIST OF DOCUMENTS FOR **DEFERRAL** (**abbreviated file**)

Name: _____ Department: _____

Submit **original** copy of each item

- ** A. Chair's Letter (*optional*)
- B. Departmental Letter (must include vote)
- C. Minority Report (*if applicable*)
- D. Candidate's Response to Department Letter (*optional*)
- E. Candidate's Response to material in the file (*optional*)
- F. Candidate's request for redacted confidential documents
- G. Candidate's Letter Requesting Deferral
- H. Current Biography
- I. Current Bibliography of Publications/Creative Activity
- J. Teaching Load Data Form
- K. Student Evaluation of Teaching
Evaluations for all courses taught since last advance or those listed on the Teaching Load Data Form (whichever is less) --campus teaching evaluation forms, etc.
- L. Letters From Other Departments/Programs (*optional*)
- M. Signed Procedural Safeguards Statement Form
- N. Checklist of Documents in File
- ** O. Other - Confidential (specify item(s) below):

- P. Other - Non-Confidential (specify item(s) below):

** = Confidential

CHECKLIST OF DOCUMENTS FOR MERITS

Name: _____ Department: _____

Submit **four** copies of each item (original plus three copies)

- Indicate # included **
- ** A. Chair's Letter (*optional*)
 - B. Departmental Letter (*must include vote*) **2 page maximum**
 - C. Minority Report (*if applicable*) **2 page maximum**
 - D. Candidate's response to the Department Letter (*optional*) **2 page max**
 - E. Candidate's Self-Statement (*optional but encouraged*) **2 page maximum**
 - F. Candidate's Response to material in the file (*optional*)
 - G. Candidate's request for redacted confidential documents
 - H. Student Letters Evaluating Teaching (*required if non-confidential teaching evaluations are not provided*)
 Solicitation letter or statement as to how obtained
 - I. Current Biography
 - J. Current Bibliography of Publications/Creative Activity (*retained at CNAS, CHASS, and COE dean's offices; all others forwarded*)
 - K. Bibliography at Last Advance (*retained at Dean's office*)
 - L. Difference List with items to be credited since last advance (*blue paper*)
 Difference List cover sheet included (*blue paper*) (*optional*)
 - M. Professional Activity and Service (*since last advance or last merit if following a lateral promotion, include the current year*)
 - N. University and /Public Service (*since last advance or last merit if following a lateral promotion, include the current year*).
 - O. Grant Activity (*if applicable, since last advance or last merit if following a lateral promotion*)
 - P. Teaching Load Data Form
 - Q. Student Evaluation of Teaching
Evaluations for all courses taught since last advance or those listed on the Teaching Load Data Form (whichever is less) --campus teaching evaluation forms, etc.
 - R. Letters From Other Departments/Programs (*optional*)
 - S. Signed Procedural Safeguards Statement
 - T. Checklist of Documents in File
 - ** U. Other - Confidential (*specify item(s) below*):

 - V. Other - Non-confidential (*specify item(s) below*):

** = Confidential

CHECKLIST OF DOCUMENTS FOR PROMOTIONS TO ASSOCIATE PROFESSOR OR PROFESSOR, and ADVANCEMENTS to PROFESSOR VI, PROFESSOR ABOVE-SCALE OR WITHIN PROFESSOR ABOVE-SCALE

Name: _____ Department: _____

Submit **four** copies of each item (original plus three copies)

**** = Confidential**

- ** A. Chair's Letter (*optional*)
- B. Departmental Letter (*must include vote*)
- C. Minority Report (*if applicable*)
- D. Candidate's response to the Department Letter (*optional*)
- E. Candidate's Self-Statement (*optional but encouraged*)
- F. Candidate's request for redacted confidential documents
- G. Candidate's response to material in the file
- Indicate # included ** H. Extramural Letters (*required for promotions; Step VI & To A/S*)
 Include letters of declination and count in total number
 Include the following:
 Solicitation Letter
 Indicate those suggested by department, by candidate as well as a brief statement regarding academic standing of each letter writer
 The packet of information sent to extramural referees, if different from the documents submitted as part of the file
- Indicate # included ** I. Student Letters Evaluating Teaching (required if non-*confidential* teaching evaluations are not provided)
 Solicitation letter or statement as to how obtained
- J. Current Biography
- K. Current Bibliography of Publications/Creative Activity
- L. Bibliography at Last Advance (*retained at Dean's office*)
- M. Difference List with items to be credited since last advance (*blue paper*)
 Difference List cover sheet included (*blue paper*) (*optional*)
- N. Professional Activity and Service (*Include the current year*)
- O. University and Public Service (*Include the current year*)
- P. Grant Activity (*if applicable*)
- Q. Teaching Load Data Form
- R. Student Evaluation of Teaching
 Evaluations for all courses taught since last advance or those listed on the Teaching Load Data Form (whichever is less) --campus teaching evaluation forms, etc.
- S. Letters From Other Departments/Programs (*optional*)
- T. Signed Procedural Safeguards Statement
- U. Checklist of Documents in File
- ** V. Other - Confidential (*specify item(s) below*):

- W. Other - Non-confidential (*specify item(s) below*):

- X. File of Publications/Creative Activity[®]
 Packaged separately with cover list of contents and marked "Please return to the Department of _____"

[®] Note: For advancements to Prof VI and within Prof Above-Scale, do not forward publications, but keep them available in the department.

CHECKLIST FOR QUINQUENNIAL REVIEWS

Name: _____ Department: _____

Submit **four** copies of each item (original plus three copies)

- ** _____ A. Chair's Letter (*optional*)
- _____ B. Departmental Letter (*vote required*)
- _____ C. Minority Report (*if applicable*)
- _____ D. Candidate's response to the Departmental Letter (*optional*)
- _____ E. Candidate's Self-Statement (*optional but encouraged*) **2 page maximum**
- _____ F. Candidate's response to the material in the file (*optional*)
- _____ G. Candidate's request for redacted confidential documents
- _____ H. Current Biography
- _____ I. Current Bibliography of Publications/Creative Activity
- _____ J. Bibliography at Last Advance
- _____ K. Publication and Creative Activity during last 5 years
- _____ L. Professional Activity and Service (*for last 5 years*)
- _____ M. University and Public Service (*for last 5 years, include the current year*)
- _____ N. Grant Activity (*in last 5 years, if applicable*)
- _____ O. Teaching Load Data Form (*showing last 5 years*)
- _____ P. Student Evaluation of Teaching
Evaluations for all courses taught in last 5 years --campus teaching evaluation forms, etc.
- _____ Q. Letters From Other Departments/Programs (*optional*)
- _____ R. Signed Procedural Safeguards Statement
- _____ S. Checklist of Documents in File
- ** _____ T. Other - Confidential (*specify item(s) below*):

- _____ U. Other - Non-confidential (*specify item(s) below*):

** = Confidential

DEPARTMENTAL RECOMMENDATION

Action for Candidate

In the Department of

Department Meeting Date:

Date Letter prepared:

Date Revised:

Present Status

Departmental Recommendation

Rank & Step:

Rank & Step:

Years at Rank:

Years at Step:

Vote

#Eligible

For

Against

Abstain

Unavailable

Advisory Vote Eligible

For

Against

Abstain

Unavailable

Dean

Concur with Department Recommendation. Dean's approval: _____
Date: _____

Sabbatical Leave Reports are on file in the department for the period under review and are available upon request.

Yes No Not Applicable If no, explain:

* Include reasons for minority votes in narrative below

RESEARCH

TEACHING

PROFESSIONAL ACTIVITIES AND UNIVERSITY/PUBLIC SERVICE

Name, Chair

MODEL LETTER A

The following text must be included in solicitations of letters of evaluation for promotion to associate professor. <The chair may add to this language.>

Dear _____:

The Department of _____ is evaluating _____ for possible promotion to the rank of associate professor and tenure. A very critical part of this process is the analysis and evaluation of _____'s research and scholarship by leading professional colleagues in the field. Your contribution is crucial in maintaining the highest scholarly standards of the University of California. We in the Department of _____ will be most grateful if you will assist us in this important assessment.

The University of California standard to which tenure candidates are held uses the language "superior intellectual attainment" in regard to the candidate's record of teaching and research. The measurement of _____'s work against this standard requires careful analysis of the work and of its significance for the field: Has the work made a substantial impact on the discipline? Has the thinking of others in the field been changed by the work? Your response will be most useful to the department's deliberations if it addresses these questions in analytic detail.

In addition, we would value an assessment of _____'s relative standing in [his/her] field. It would be most helpful if you could compare [his/her] research accomplishments with those of other scholars of similar experience and rank in the same discipline.

We would also appreciate your evaluation of the candidate's teaching, if you have the basis for such evaluation.

In writing your response, please take note of the attached University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

attachment: Attachment E-8

MODEL LETTER B

The following text must be included in solicitations of letters of evaluation for promotion to full professor. <The chair may add to this language.>

Dear _____:

The Department of _____ is evaluating _____ for possible promotion to the rank of full professor. In making its assessment, the department values analysis of _____'s scholarly work by external referees. A very critical part of this process is the analysis and evaluation of _____'s research and scholarship by leading professional colleagues in the field. Your contribution is crucial in maintaining the highest scholarly standards of the University of California. We in the Department of _____ will be most grateful if you will assist us in this important assessment.

Within the University of California, appointment or promotion to Associate Professor (and tenure) requires the demonstration of superior intellectual attainment, evidenced both in teaching and in research or other creative achievement. For promotion to full professor, we look for further evidence of this attainment and excellence beyond that which was achieved for promotion to Associate Professor, and for significant impact within the scholarly community. This could include evidence of national/international recognition of scholarship in the discipline, influence on the thinking of others in the discipline, and leadership in research and teaching. Although service is an important component of the record, it cannot substitute for attaining the high standards in research and teaching expected by the University.

We would also appreciate your evaluation of the candidate's teaching, if you have the basis for such evaluation.

Your response will be most useful to the department's deliberations if it addresses the contributions of the candidate's work to his/her field of study directly and in analytic detail.

In writing your response, please take note of the attached University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

attachment: Attachment E-8

MODEL LETTER C

The following is a sample letter of solicitation of extramural referees for an advancement to Professor VI review.

The University of California, Riverside is conducting an exceptional review of the scholarly record of Professor ____ for the rank of Professor, Step VI. In the University of California system this rank would be roughly equivalent to that of a senior Full Professor at a major private research university. A very critical part of this process is the analysis and evaluation of ____'s research and scholarship by leading professional colleagues in the field. Your contribution is crucial in maintaining the highest scholarly standards of the University of California. We in the Department of ____ will be most grateful if you will assist us in this important assessment.

Within the University of California, appointment or promotion to Associate Professor (and tenure) requires the demonstration of superior intellectual attainment, evidenced both in teaching and in research or other creative achievement. For promotion to the rank of (full) Professor, we look for further evidence of superior intellectual attainment and excellence beyond that which was achieved for promotion to Associate Professor, and for significant impact within the scholarly community.

The next full career evaluation is typically made in connection with advancement to Professor, Step VI. The criteria for advancement to Professor, Step VI state that this step will be granted upon evidence of great distinction, recognized nationally or internationally, in scholarly or creative achievement. A comparison to the work of others in the field is often useful. In addition, there should be evidence of excellent university teaching and highly meritorious service.

We would also appreciate your evaluation of the candidate's teaching, if you have the basis for such evaluation.

Your response will be most useful to the department's deliberations if it addresses the contributions of the candidate's work to his/her field of study directly and in analytic detail.

In writing your response, please take note of the attached University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

attachment: Attachment E-8

MODEL LETTER D

The following is a sample letter of solicitation of extramural referees for an advancement to Professor Above-Scale (Distinguished Professor) review.

The University of California, Riverside is conducting an exceptional review of the scholarly record of Professor _____ for the rank of Distinguished Professor (Professor Above-Scale). Each campus in the University of California system has only a small number of Distinguished Professors. A very critical part of this process is the analysis and evaluation of _____'s research and scholarship by leading professional colleagues in the field. Your contribution is crucial in maintaining the highest scholarly standards of the University of California. We in the Department of _____ will be most grateful if you will assist us in this important assessment.

Within the University of California, appointment or promotion to Associate Professor (and tenure) requires the demonstration of superior intellectual attainment, evidenced both in teaching and in research or other creative achievement. For promotion to Full Professor, we look for further evidence of this attainment and excellence beyond that which was achieved for promotion to Associate Professor, and for significant impact within the scholarly community.

The next full career evaluation is typically made in connection with advancement to Professor, Step VI. The criteria for advancement to Professor, Step VI state that this step will be granted upon evidence of great distinction, recognized nationally or internationally, in scholarly or creative achievement. In addition there should be evidence of excellent university teaching and highly meritorious service.

Distinguished Professor (Professor Above-Scale) represents an even higher standard. In making your evaluation of the merits of Professor _____ for the Distinguished Professor rank, please think in terms of comparing the achievements of Professor _____ to those among the most distinguished researchers in the field. Our personnel rules state that advancement to this level "is reserved for scholars and teachers of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching performance is excellent. Moreover, mere length of service and continued good performance at Professor, Step IX is not a justification....There must be demonstration of additional merit and distinction beyond the performance on which advancement to Professor, Step IX was based."

We would also appreciate your evaluation of the candidate's teaching, if you have the basis for such evaluation.

Your response will be most useful to the department's deliberations if it addresses the contributions of the candidate's work to his/her field of study directly and in analytic detail.

In writing your response, please take note of the attached University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

attachment: Attachment E-8

MODEL LETTER E

(For use when unsolicited letters of evaluation for promotion have been received)

Thank you for sending us the letters of evaluation concerning _____,
who is being considered for promotion at _____.

Evaluations submitted in confidence become part of the individual's official personnel review file. The candidate will, upon request, be provided with a redaction of the confidential documents in the file. Redaction is defined as the removal of identifying information (including name, title, institutional affiliation, and relationship to the candidate) contained either at the top of the letterhead or within and below the signature block of the letter of evaluation.

The full text of the body of your letter will therefore be provided to the candidate if so requested. Although we cannot guarantee that at some future time a court or governmental agency will not require disclosure of the source of confidential evaluations in University of California personnel files, we can assure you that the University will endeavor to protect the identity of authors of letters of evaluation to the fullest extent allowable under the law.

I shall appreciate it if you will inform me whether in light of our policies we may proceed to use the material you have sent to us, or whether you wish us to return the material to you. If you do not request return of the material by _____ it will be maintained in our files.

MODEL LETTER F

(For use when receiving solicited or unsolicited letters of evaluation for academic appointment or promotion which contain restrictions on their use. Note that the bulk of these are likely to be included in a Placement Office file; in these instances a single notification to the Office in question satisfies the notification requirement.)

Thank you for sending us (your placement file on _____) (letters of evaluation concerning _____) (etc.), who is being considered for promotion at _____.

You have asked that this material (not be made a part of the individual's personnel file) (be returned to you after we have completed our use of it) (be destroyed after we have completed our use of it) (etc.). I am writing to inform you that we are unable to accept and use the material you sent with the constraint on its use which you have stated, and to explain why we are unable to do so.

Under University policy, evaluatory material about an individual who is being considered for promotion becomes part of the individual's permanent personnel record.

A candidate may, however, be provided access to such letters of evaluation under certain conditions. These include the candidate's request for such access, the requests being made at certain prescribed stages of the academic personnel review process, and the letters being presented in redacted form. Redaction is defined as the removal of identifying information (including name, title, institutional affiliation, and relationship to the candidate) contained either at the top of the letterhead or within and below the signature block of the letter of evaluation.

Although we cannot guarantee that at some future time a court or governmental agency will not require the disclosure of the source of confidential evaluations in University of California personnel files, we can assure you that the University will endeavor to protect the identity of authors of letters of evaluation to the fullest extent allowable under the law.

I shall appreciate it if you will inform me whether in light of our policies we may proceed to use the material you have sent to us, or whether you wish us to return the material to you. If you do not request return of the material by _____ it will be maintained in our files.

MODEL LETTER G

The following is a sample letter of solicitation of extramural referees for a CAREER REVIEW. This text must be included in solicitations of letters of evaluation for career review.

The University of California, Riverside is conducting an exceptional Career Review of the scholarly record of Professor _____. The purpose of the review is to ascertain the level within the professoriate that Professor _____'s record warrants. A very critical part of this process is the analysis and evaluation of Professor _____'s research and scholarship by leading professional colleagues in the field. Your contribution and judgment are crucial to our ability to maintain the high scholarly standards of the University of California. We in the Department of _____ will be most grateful if you will assist us in this important assessment.

In making your judgment, it is important to understand that the University of California has a structured matrix of "steps" which define normative movement through the ranks of Assistant, Associate, and Full Professor. This matrix is summarized on the attached table.

Professor _____ is currently at step ____ of the rank of _____. Professor _____'s Career Review will result in one of the following outcomes:

[Here the chair should list item (i) and the appropriate subset of options ii-vii on the next page.]

For purposes of benchmarking, the University of California has adopted the following language to characterize the achievement necessary for the major advancements within the rank/step system:

Promotion to Associate Professor and Tenure: The candidate must demonstrate superior intellectual attainment in research and excellence in teaching.

Promotion to Full Professor: The candidate must demonstrate excellence beyond that which was achieved for promotion to Associate Professor and significant impact within the scholarly community.

Advancement to Professor VI: Advancement to Professor VI is granted upon evidence of great distinction, recognized nationally or internationally, in scholarly or creative achievement. In addition, there should be evidence of excellent university teaching and highly meritorious service. This rank is roughly equivalent to that of a senior Full Professor at a major private research university.

Distinguished Professor (Professor Above-Scale): This rank is reserved for scholars of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching performance is excellent. Mere length of service and continued good performance at Professor IX is not a justification. The candidate must be among the most distinguished researchers in the world in his/her field.

Your assessment of Professor _____'s scholarly credentials is critical to our evaluative process. Your response will be most useful to the process if it addresses this issue directly and in analytic detail. A comparison to the work of others in the field is often

useful. We would also appreciate your evaluation of Professor ___'s teaching and service, if you have the basis for such evaluation.

We understand that the demands on your time are heavy. We assure you that your evaluation is of utmost importance to determining the outcome of this review, and we thank you sincerely for your assistance.

In writing your response, please take note of the attached University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

- (i) No change from present rank & step
- (ii) Advancement within the rank of Associate Professor, Steps I, II or III
- (iii) Promotion to the rank of Full Professor with a defined step
- (iv) Advancement within the Full Professor rank, steps I - V
- (v) Advancement to Full Professor, step VI
- (vi) Advancement within the Full Professor rank, steps VII, VIII and IX
- (vii) Advancement to the Distinguished Professor rank (Professor Above-Scale)

Matrix of Ranks/Steps

Rank	Step	Normal Period of Service at Step
Assistant Professor	I	2 years
	II	2 years
	III	2 years
	IV	2 years
Associate Professor (a)	I	2 years
	II	2 years
	III	2 years
Professor (b)	I	3 years
	II	3 years
	III	3 years
	IV	3 years
	V	open
	VI (c)	open
	VII (d)	open
	VIII (d)	open
	IX (d)	open
	A/S (e)	open

- (a) The normal total period of service in the rank of Associate Professor is 6 years. The normal period of service in each step is two years.
- (b) The normal period of service at Full Professor is 3 years in each of the first four steps. Service at Step V may be of indefinite duration.
- (c) Advancement to Professor VI will be granted upon evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent university teaching. In interpreting these criteria, reviewers should require evidence of excellence and high merit in original scholarship or creative achievement, teaching, and service; and, in addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching. Service at Professor, Step VI may be of indefinite duration.
- (d) Advancement from Professor, Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after less than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.
- (e) Advancement to an above-scale salary is reserved for scholars and teachers of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching performance is excellent. Except in rare and compelling cases, advancement will not occur after less than four years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increase at intervals shorter than four years be approved.

ATTACHMENT
FOR MODEL LETTERS A-D and G

UNIVERSITY OF CALIFORNIA POLICY ON THE
CONFIDENTIALITY OF OUTSIDE LETTERS OF EVALUATION

The University of California will keep your name and institutional affiliation confidential. When a faculty member requests to see letters in his or her file, pursuant to state law and University policy, the full text of the body of your letter will be provided to the candidate. However, any identifying information on the letterhead and within your signature block will be removed. In order to keep your identity confidential, you may want to avoid putting information in the body of your letter that would identify you. If you wish, you may provide a brief factual statement regarding your relationship to the faculty member as a separate attachment to your letter which we will not disclose to the candidate.

In those rare instances where a court or government agency seeks to compel the disclosure of the source of a confidential evaluation in University of California academic personnel files, it is the University practice to protect the identity of authors of letters of evaluation to the fullest extent allowable under the law. The judicially mandated disclosure of the identity of confidential evaluations has been extremely rare at the University of California."

EXTRAMURAL GRANT ACTIVITY FORMAT

John Doe

October 2000

<u>AGENCY</u>	<u>TITLE</u>	<u>DATES</u>	<u>AMOUNT</u>	<u>PI STATUS</u>
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NSF	"The Role of the Educational Levels of Jurors in Deadlocked Panels"	2/94-1/98	\$90,000	PI
-----	---	-----------	----------	----

Other Investigators: I.M. Right, P.C. Tech & U.R. Wrong

CRB	"A Strategy for Development of After School Programs for Grades 7-12"	7/96-6/99	\$80,000	PI
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Other Investigators: None

TEACHING LOAD DATA

Persons proposed for faculty promotions or merit increases are asked, through their department chair, to supply this information about their teaching assignments.

Name: _____

Date: _____

Departmental teaching statement: _____

I. Teaching Record - Course Number, Units, Enrollment, Evaluation

Most recent past year:

Fall Quarter				Winter Quarter				Spring Quarter			
Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.

2nd past year:

Fall Quarter				Winter Quarter				Spring Quarter			
Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.

3rd past year:

Fall Quarter				Winter Quarter				Spring Quarter			
Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.

II. Current Fall Quarter Assignments: _____

III. Graduate Student Instruction. List below your responsibilities for the period under review:

Student Name	M.A. or Ph.D.	Role (Major Professor, Thesis Director, Committee Member, etc.)	Date Completed

Eval. = Indicate Y (Yes) if student evaluations of teaching were conducted for the course. Indicate N (No) if no evaluations were collected.

SUPPLEMENTAL TEACHING LOAD DATA

Persons proposed for faculty promotions or merit increases are asked, through their department chair, to supply this information about their teaching assignments.

Name: _____

Date: _____

I. Summer Session (not University Extension) Teaching Record - Course Number, Units, Enrollment, Evaluation

<u>(Year)</u> Summer Quarter				<u>(Year)</u> Summer Quarter				<u>(Year)</u> Summer Quarter			
Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.	Course No./Title	Units	Enroll.	Eval.

Eval. = Indicate Y (Yes) if student evaluations of teaching were conducted for the course
 Indicate N (No) if no evaluations were collected.

II. Other Teaching

Candidate's Response to the Departmental Letter

Select one:

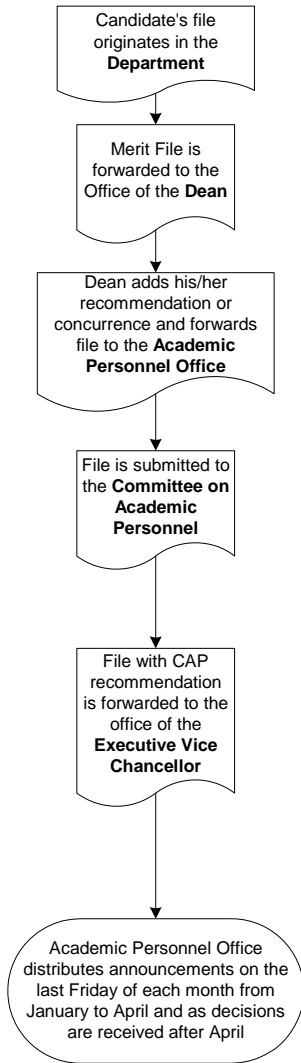
- a) ___ Addressed to the **Chair**:
This is intended to be included in the file at the departmental level. I understand it will be added to the department's copy of the file and will proceed with the forwarded file through the review process.
- b) ___ Addressed to the **Dean**:
This is intended to be included in the file at the dean's level. I understand the dean, the Committee on Academic Personnel, and the Chancellor or his designee will see this document, but that it will not be added to the department's copy of the file. The dean will inform the department chair that a written statement has been received without revealing the contents. Understanding that an ad hoc committee, when used, usually includes one member from the department, I ask that this
(i) ___ be seen by the ad hoc committee (if applicable).
(ii) ___ not be seen by the ad hoc committee (if applicable).
- c) ___ Addressed to the **Vice Provost for Academic Personnel**:
This is intended to be included in the file at the Vice Provost for Academic Personnel level which assures its review by **only** the Committee on Academic Personnel, and the Chancellor or his designee. The Vice Provost for Academic Personnel will inform the department chair and dean that a written statement has been received without revealing the contents.

Signature _____

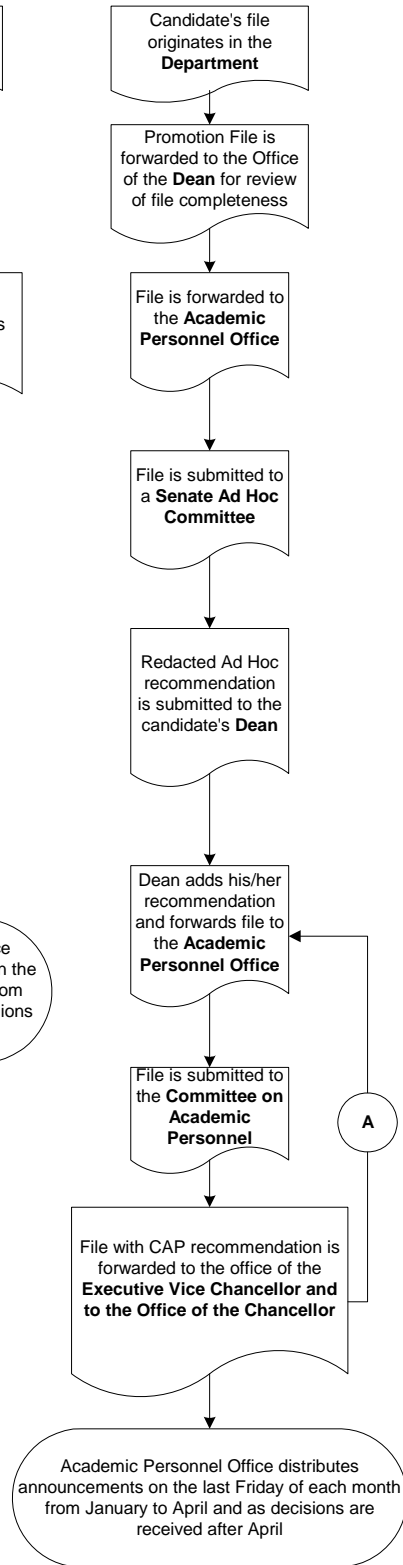
Date _____

Attachment I

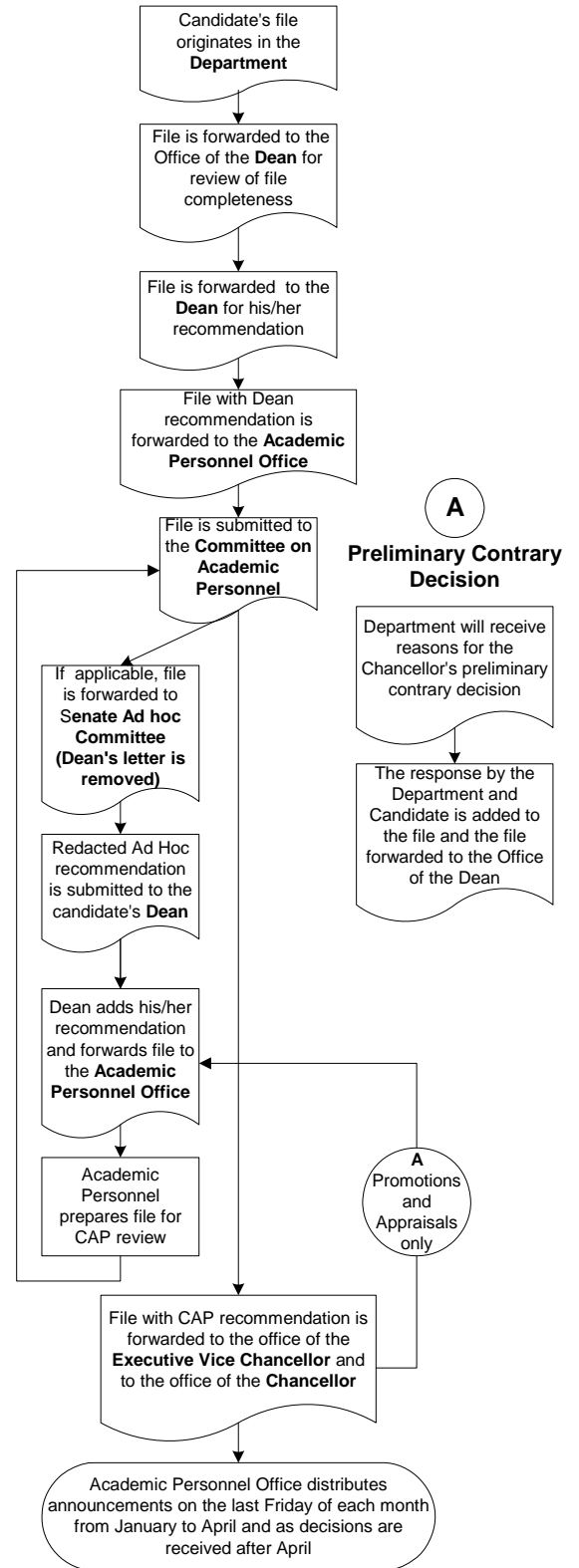
Merits



Promotions to Tenure



Actions with Discretionary Ad Hocs



Department Chair Academic Personnel Review Checklist

The following checklist is designed to help you through the AP review process for regular faculty and other academic positions. The goal is to answer yes to all the questions on the list; however some elements may be department, college or school specific. For more in-depth instructions, consult the CALL or your Dean.

It is extremely important that the Chair instill in each faculty member a sense of responsibility for preparing accurate files and meeting all deadlines. The Chair, in turn, must exercise strong leadership in managing the file evaluation and submission to the Dean within the agreed upon time frames.

In all of your responsibilities, you should follow the guidelines in the CALL as available on the Academic Personnel web page.

*Target Time frames – these dates are only intended as examples to help you adhere to deadlines as established in the CALL

1.	Initial Meeting with Candidate
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*Spring / Summer

- Schedule a meeting with the candidate to discuss upcoming review as well as to answer any questions, and inform candidate of the entire process. In promotion cases, Department Chair should meet with the candidate at least 1 year before proposing the promotion to assess readiness
- Inform candidate of APM 210-1, 220-80 ,160 and if applicable, APM 133
- If applicable, remind candidate to suggest names for extramural reviewers
- If applicable, notify candidate that he/she may provide in writing (to be included in the file) names of persons who may not provide objective evaluations
- Review text of solicitation letter (if applicable)
- Discuss materials to be sent to extramural reviewers (if applicable)
- Remind candidate that a self-statement may be added to the file. If the self-statement sent to the extramural reviewers differs from the self-statement included in III. V. of the CALL, both self-statements must be included in the file.
- Give any other supplemental instruction in accordance with Dean's Office or Departmental procedures

2.	Before the Department Meeting
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Month of October

- Extramural letters are solicited (See section III. N. of the CALL for 7th year promotion to tenure files)
- Candidate forwards material for file (assure cut-off dates specified in the CALL are adhered to)
- Collect other documents to be included in the file and assure cut-off dates are adhered to, i.e. extramural letters
- Chair should assure file has been audited for accuracy and is complete. Any corrections to the file should occur BEFORE faculty review
- Candidate completes top portion of procedural safeguard certifying accuracy of information and requesting a copy of the department letter
- Ensure that any documents in a foreign language include a translation in the file
- Advise candidate of his/her right to inspect complete file; if requested, forward to him/her redacted copies of confidential material (i.e. extramural letters) and notify candidate of the department meeting date
- Give candidate the opportunity to include a written statement in response to or commenting on material in the file. The statement must be received 7 days prior to the department meeting
- Upon receipt of candidate's statement, notify faculty that the file is ready for review
- Assure departmental faculty have reviewed the file before the department meeting
- Set deadline for receipt of absentee ballots and/or specify when votes may be received as per departmental procedures
- Remind departmental faculty that individual faculty who write letters of evaluation will be disqualified from service o the candidate's ad hoc committee in cases of appraisal and promotion

3. Department meeting

Early
November

- Lead the department meeting in ensuring the departmental review is fair to the candidate and rigorous in maintaining University standards
- Ensure discussion does not include reference to anything not present in the file
- Allow equal opportunity for discussion for all present departmental faculty
- Ensure minority opinions are explained
- Encourage discussion that is evaluative and analytical in nature, rather than enumerative

4. After the Department meeting

Late November to Early December

Before the Department Letter has been finalized

- Draft department letter and make draft available for department review

Department Letter Format (introductory information)

- Note department meeting date on summary section of the department letter (Attachment D in the CALL)
- List exact votes specifying the number eligible to vote, the number in favor, opposed, abstained and unavailable
- Include all rank/steps voted on by the department, including off-scales and noting accelerations
- Identifiers of extramural letters and student letters are limited to numerical or alphabetical designations
- Merit files (other than advancement to Professor VI, advancement to and within Professor Above-Scale) are limited to a maximum of two pages

Department Letter Content

- Reports of ad hoc committees, internal to the department, are regarded as working documents and may not be forwarded with the file
- Describe the significance and impact of the teaching research and service contributions
- Present any significant evidence and differences of opinion which would explain a minority vote
- References to “top-tier” should include information to support such claim
- See page 28 of the CALL for in-depth guidelines on writing departmental letters
- Provide due date for receipt of any comments on the draft
- To the extent possible, incorporate departmental faculty comments into the finalized department letter
- An oral summary of the departmental letter shall be provided to the candidate AFTER the period for the submission of minority reports is expired

After the Department Letter has been finalized

- Notify departmental faculty that the finalized department letter is ready for review. Allow 5 working days for submission of any minority reports
- The candidate will be able to review the unredacted finalized letter and any minority reports AFTER the period for submission of minority reports is expired
- Candidate completes bottom portion of procedural safeguard statement
- Advise candidate of his/her right to submit a response to the department letter. Response may be addressed to the Chair, the Dean or the Vice Provost for Academic Personnel (must use attachment H of the CALL)
- Inform candidate that his/her response to the departmental letter must be received within 7 calendar days of receipt of the departmental letter
- Chair writes (optional) letter for inclusion in the file. This is a confidential document and should be forwarded to the Dean’s office, not retained in the department. Upon request by the candidate, access to the Chairs letter will be provided in redacted form after the final administrative decision has been communicated to the candidate, or at the Chancellor’s preliminary assessment stage in promotion to tenure cases
- Copies made and file forwarded to Dean’s office (by cut-off dates as listed in the CALL)

Faculty Merit Checklist

The following is intended as a guide to assist individual faculty members in compiling information and documents for his/her review dossier.

Cumulative publications

- Organize into logical groupings (e.g. technical peer-reviewed journals, book chapters, etc.)
- Include all published work, including in press and accepted papers
- In press and accepted papers: indicate number of pages
- Can list submitted papers if desired: include date of submission

Difference List (publications since time of submission of last merit file)

- List must correspond exactly to cumulative publication list
- Include a description on all multi-authored papers of the following: identity of each author (e.g. my postdoc, off-campus collaborator, etc.), and your contribution to the publication
- Abstracts may be presented here if desired
- Keep copies of all publications in central location. These must be turned in with the file.

Professional Presentations (since time of submission of last merit file)

- Talks given by you, where, when, and what occasion, and nature of invitation (invited, plenary, keynote, etc.)

Contracts and Grants (since time of submission of last merit file)

- Indicate your status (PI, etc.), amount, title, granting agency, and period of award
- Can include pending and rejected if desired

Awards and Honors / Service and Professional Activity (since time of submission of last merit file)

- Organize into Department, Campus, State, National, etc.
- Include all committee assignments, panels, editorial activity, etc.
- Indicate reviewing responsibilities (journals and proposals)

Teaching

- Course evaluations
- Graduate students supervised
- Graduate committees served on
- Undergraduate researchers or interns
- Exceptional activity (new course development, etc.)

Self Statement

- Although not required, the self statement is strongly recommended.
- For merits, it should cover the period since last advance
- Detailed discussion of the significance of the research in understandable language is important
- Self statement can be a place to discuss aspects of the file that need explaining (e.g. gaps in publication, poor teaching performance, etc.)
- Update this statement continuously

Optional Additional Material

- Description of journals published in and their relative importance or impact
- Supporting material that relates to reputation or performance (thank you letters, etc.)

Suggestions for Good File Keeping

- Update your file continuously
- Do your own proofreading and consistency checks
- Turn in well organized file well ahead of deadline
- Keep a complete backup copy of the file so you will know what to include in the next cycle.