SENATE FACULTY ADVANCEMENT

This is a review manager's guide of things to do and look for as a senate advancement file moves through review states in DivData. Use as a general tool, or track a specific candidate's review.

Tips for Using this Worksheet. Click solid-underlined links to access relevant external resources. Click *blue italicized terms* to see an internal Quick Reference definition or tip located at the end of this worksheet. Use the left sidebar/panel to quickly navigate between pages or bookmarks.

Your division may have additional expectations/requirements for specific items on this worksheet. Check with your divisional AHR analyst for any supplemental information or if you have an unusual situation.

Up For Review (DP-10)

Set Review Type(s) and Period; Verify/Edit Review Settings (*Config tab > Edit Review Settings*)

☐ Review Type(s): Select all of the descriptors for the requested and/or proposed action (including any *modifiers*).

☐ Deciding Authority: may be *Dean*, *EVC*, or *Chancellor* (See the Delegation of Authority chart for full details.)

☐ Senate Review Type: always CAP for senate advancements.

☐ Effective Date is the beginning of the next academic year. (Senate advancements are always effective July 1 of the following academic year (e.g., a 21-22 review decision becomes effective 7/1/2022).

☐ Review Period: Make sure the review period Begin/End Dates are appropriate for the review type (merit, promotion, etc.). See CAPM 406.220 - Merit and CAPM 410.220-Promotion for eligibility and review periods.

☐ Response Deadline (File Due Date): Enter the candidate's hard deadline to submit materials to the department.

Prepare and send the Review file initiation email to the candidate, making sure it includes:

☐ The candidate's deadline to submit materials to the department.

☐ The link to the Review file, exactly as generated in the template email. (If modified or removed, the candidate will not be able to access their file via the email.)

☐ If not already provided in another email or conversation with the chair, include information regarding the purpose, timing and criteria for this review.

File Building (DP-30)

While the candidate is compiling their material, the department can add certain documents and files.

Add any non-confidential department materials not already uploaded (visible to the candidate immediately).

☐ Annotated biobib from prior review   ☐ CAP Teaching Table

Add course records and SETS from Biobibnet (visible to the candidate immediately).

☐ Include all courses taught, and associated SETs, since last review. (See Including Course Evaluations (SETs) in Review Files. For major actions, include courses/SETs since last major action.)

☐ Check for any missing courses/SETs. As needed, add them to Biobibnet (see Adding/Editing Course Records or Adding Missing Course Survey Reports), then update course selection in Review.

☐ Do not include courses/SETs outside of the *review period* for the proposed action.

Dept/Unit Accept (DP-35)

Verify the candidate's materials are complete and accurate for the type of action. (See Document Inventory Matrices.) If you have concerns about content, you might consult your chair and/or your divisional AHR analyst.

All tabs

☐ **Verify that all uploaded documents/materials are in PDF** or acceptable media file formats. (Working Docs excepted, as they are not part of the actual file.)

Dossier tab

☐ Cumulative biobib, updated and annotated

☐ Personal statement

☐ Candidate-suggested letter writers (if required by action)

☐ Coauthorship statement (if applicable)

☐ Sabbatical Leave Report (if taken)

☐ Candidate optional list of reviewers who may not be able to be objective

Scholarly/Creative Work tab

☐ Included work reflects what was done within the *review period*; with no extraneous entries

☐ Each entry includes documentation of the work as PDF or media file(s), URL(s), or hard copy reference

☐ Attached files and URL links are functional

☐ Annotations: Entries should be asterisked ("In File") and marked *New*, or *Revised* as appropriate.
Merits: all work should be new (or revised).
Major actions: work since last review should be marked as New (or Revised); previously reviewed work should be included, with asterisk only.

☐ The same entries included on the scholarly/creative works tab are annotated on the biobib; and the numbering matches
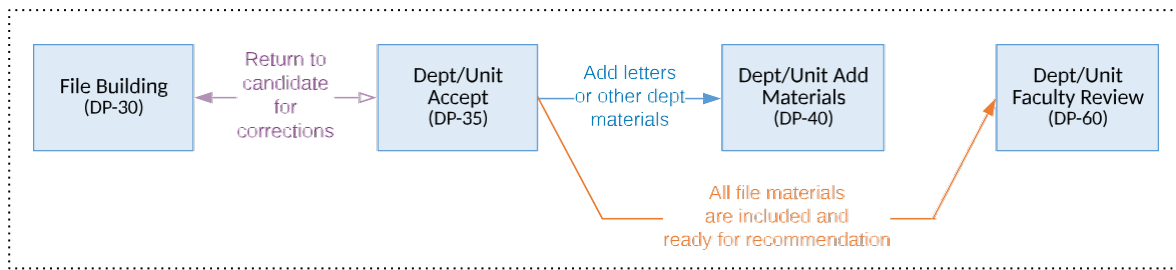
Other Materials tab

☐ Syllabi and any other expected materials for courses taught within the review period are included (not required by campus policy).

Is File Ready to be Accepted?

Accepting the file **permanently** ends the candidate's ability to make any updates to the review from this point on.

☐ **Before accepting, be sure that no corrections to the candidate-provided materials are needed.**

- If any corrections are needed (including to annotations) select "Return to Candidate for editing and resubmittal." When they resubmit, restart this worksheet at the beginning of the Dept/Unit Accept (DP-35) section.

☐ If additional department documents (e.g., solicited letters or other documents) have yet to be added, select "Add letters or other dept/unit materials." Go to DP-40.

☐ If both the candidate and department materials (i.e. prior biobib, teaching table, courses/SETS and any other department documents) are complete and ready for departmental review, select "All file materials are included and ready for recommendation." Go to DP-60.

Workflow Routing Options to Accept a File or Return it to the Candidate for Corrections

Dept/Unit Add Materials (DP-40)

Add any other departmental materials that need to be included, so that they can be reviewed by the candidate before the recommendation is determined.

If Soliciting External Letters:

This is the state during which letters are solicited and related documentation and redacted versions are added. See CAPM 401.220 - Instructions for Soliciting Letters for Professors; and CP/EVC Memo for Teaching Professors (LSOE)

Preparing to Solicit

☐ *Enable letter solicitation*

☐ The solicitation letter accurately describes the proposed action and title series expectations

☐ Verify the candidate has been given the opportunity to provide a list of reviewers who may not be objective and, if provided, the list is included

☐ Solicitation letter includes confidentiality statement

☐ Set Confidential Letter Writer Access to materials (all external reviewers are to see the same candidate materials)

Documenting Solicitation

☐ *Sample solicitation letter(s)* are included

☐ List of letter writers includes all who were solicited, even those who declined to write a letter

☐ The professional stature of the letter writers and relationship to the candidate is addressed in the list of letter writers

☐ Assign an alpha code to each reviewer on the list of letter writers

☐ The sample solicitation letter does not identify the reviewer

☐ List of letter writers indicates whether suggested by the candidate, department, or both; specifies relationship to candidate

☐ The quality and quantity of solicited external letters includes independent assessors and meets the expectations for the proposed action

☐ Verify that the *alpha codes* on the letters match the code assigned to the associated reviewer

Redacting Confidential Letters (See Redacting Letters)

☐ Reviewer letters are **redacted properly and letter codes assigned** (Identifying information above the body of the letter and within and below the signature line is removed, including letterhead; nothing within the body is removed; identifying metadata is removed.)

☐ Redacted versions reference *alpha codes* (no names) and are uploaded as Doc Type: Redacted Confidential Letters.

Release for Candidate Review of Added Materials

When all departmental materials are in the file (including, if applicable, all solicited letters, redacted versions, and related documentation:

☐ Release the file for Candidate Review of Added Materials. (Confirm the 10 working-day response period for senate faculty; edit template as needed, preserving the direct URL link to the file.)

Prep for Dept/Unit Review (DP-55)

Prepare the file for departmental faculty review.

☐ Check for candidate response to any department-added documents *(Dossier tab > Department Documents > Candidate's response to materials)*.

☐ If the candidate has submitted a response, confer with the chair and address any issues before releasing the review file to department reviewers.

☐ Confirm the faculty review assignments. If changes are required, see Assign Dept/Unit Reviewers.

Need to Add More Materials?

The "Add More Materials" process loop is available during Prep for Dept/Unit Faculty Review (DP-55) and Dept/Unit Faculty Review (DP-60), in case you need to make corrections or add additional material to the review before the departmental recommendation is entered.

To make updates to the file, select the "Add More Materials" button. This returns the review to the Dept/Unit Add Materials (DP-40) state.

Adding more materials at this point in the review doesn't create a new pass, but Checkpoint 2: Candidate Review of Materials continues to be part of the process and any changes to the materials in the file must be released to the candidate for review.

Notes:

- You can repeat the Add More Materials process as many times as needed to make sure all the required materials are included and correct.

- Once the department recommendation is made, and the file leaves DP-60, the Add More Materials option is no longer available. At that point, any change to the materials in the review must be made using the formal Additional Information Request process, which creates a new pass.

Add More Materials Workflow
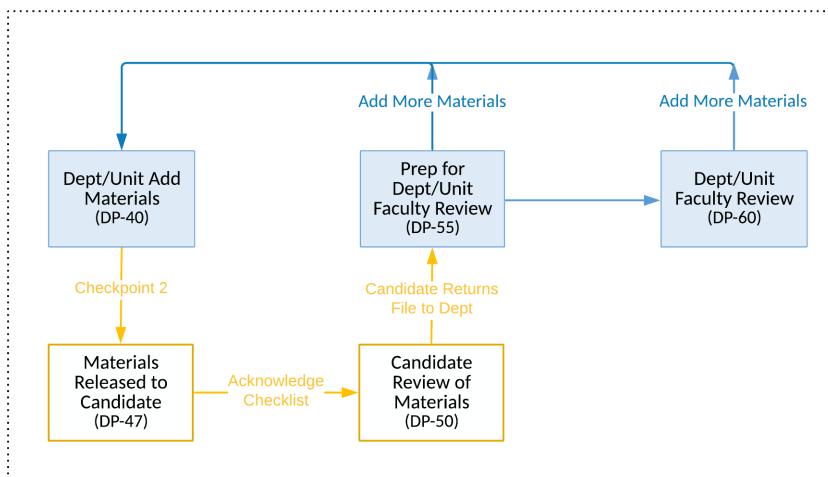
Dept/Unit Recommendation (DP-60)

☐ Before recommendation is determined, confirm that the materials in the file are complete and no updates or additional documents are required. If fixes are needed, select "Add More Materials" to send the file back to Dept/Unit Add Materials (DP-40).

After the department makes its recommendation, **upload the recommendation letter and confirm that**:

☐ Voting complies with Bylaw 55 requirements for each vote taken.

☐ Department considered any action requested by the candidate.

Items to check in the department letter

☐ Department letter is from the Chair (signed)

☐ Letter addresses Research, Teaching, Service as appropriate to the title series

☐ If applicable, letter addresses contributions to diversity

☐ Salary calculation is accurate, including any application of the special salary practice

☐ Employment/salary history in letter is accurate

☐ Letter includes the dept vote count for each vote

☐ Sensitive or confidential *personal information* is notincluded

☐ All applicable action codes and modifiers that apply are noted

☐ If discussing solicited letters, writers are only referred to by *alpha code*

Record the department recommendation data

After the recommendation letter has been uploaded, enter the department recommendation data, checking to see:

☐ All applicable action codes and modifiers noted in the dept letter are selected/entered

☐ Does the department recommendation *change the type of review and/or authority*?

Prep for Candidate Review (DP-65)

Release the file to the candidate to view and optionally comment on the department/unit recommendation.

☐ Edit the email template as appropriate. (Do not modify the line with the link to the Review file. If you alter this URL in any way, the candidate will not be able to use it to access their file via the email.)

☐ Confirm that the date in the *Response Deadline* field allows the candidate the correct number of working days to review and comment on the recommendation.

Chair Signoff (DP-74)

While the file is with the chair to certify the Checklist To Assure Fairness:

☐ Check for candidate response to department recommendation *(Dossier tab > Recommendation/Decision Letters > Candidate response to dept/unit)*.

☐ If the candidate uploaded a response to the department, confer with the Chair and/or division if the response raises issues that might warrant further discussion or consultation prior to proceeding.

Dept/Unit Finalize (DP-75)

This is your last step before the file moves to the division. Carefully review the contents of the review, in particular any candidate response to the department letter. Confirm the following information is complete and correct before you click Submit.

☐ The final department recommendation letter is attached using the correct document type (*Dossier tab > Recommendation/Decision Letters > Dept/Unit letter*)

☐ The Working Documents tab includes a line with the dept/chair recommendation under *Recommendations*.

☐ The recommendation in the department letter matches the recommendation line on the Working Documents tab.

On the Submit confirmation screen:

Verify or update the department recommendation information in the data-entry fields

☐ The recommended Action is correct.   ☐ The *Mod(ifier)* is correct

☐ The recommended Title is correct   ☐ The Step is correct

☐ The O/A (off-scale/above scale) descriptor is correct   ☐ The Salary is correct

Verify or update the review settings information in the data-entry fields

Does the final departmental recommendation *change the type of review and/or authority*? Check that:

☐ The Type of Review is correct for the recommendation, including all *modifiers*

☐ The Authority is correct for the recommended action

Request Additional Information
(if you need to add corrected or additional materials before Submitting the file to the division)

At this point in the review, for anything other than non-substantive correction of typos, changing or adding new materials (e.g., missing courses, missing scholarly/creative work citations, etc.), requires the "Request Additional Information" process. This creates a new pass in the review, and ensures the candidate has the opportunity to review the changes. Once a new pass is created, all materials added in the earlier pass(es) are view-only and cannot be edited or removed from the file.

☐ If any materials are to be removed from the review (after the appropriate consultations), delete them *before* clicking "Request Additional Information." Otherwise, they will be permanently saved as part of the file.

☐ Carefully review the routing options for the request, which depends on the type of additional information/response that is required.

☐ If changes to the scholarly/creative work are needed, and the candidate used Biobibnet to include their citations, the candidate has made the required updates in Biobibnet so you can manually add them on the Scholarly/Creative Work tab in the Review file and upload a revised CV on their behalf.

For more information, see Managing Additional Information Requests

---

Quick Reference

Definitions and tips regarding terms highlighted in the worksheet.

Review Settings

Modifiers – Acceleration, Greater than normal, Career Review, Reten/Comp Offer, Reconsideration.

Review Period – For normal actions (e.g., merit) this is the period since last review; for major actions (e.g., promotion), this is the period since the last major action.

Authority/Action

Dean Authority Actions

- Normal 1-step merit, G1 merit (1-1/3 steps), G2 merit (1-2/3 steps), GR merit (greater-than-normal up to 1-2/3 steps and not = G1 or G2).
- Salary increase only at barrier steps (Associate 4, Professor 5, Professor 9) up to the equivalent of a 2/3 step).*

EVC Authority Actions

- Merits exceeding 1-2/3 step salary equivalent, accelerated merits (AC=2 steps, A1=2-1/3 steps), Midcareer Appraisal, Promotion to Full Professor (external letters required), Initial Merit to Professor 6 or higher, Further Above-scale Merit.
- Salary increases at barrier steps (Associate 4, Professor 5, and Professor 9) that exceed the equivalent of a 2/3 step increase.*

Chancellor Authority Actions

- Promotion with Tenure/SOE (external letters required), Initial Merit to Above scale (external letters required).

* Note that there is a further delegation in effect through June 30, 2024; see EVC memo Temporary Delegation of Authority for Salary Increases at Barrier Steps.

Soliciting External Letters

Enable letter solicitation – Config tab > Edit Review Settings > External Review = Yes

Sample solicitation letter(s) – Doc Type = Sample solicitation request

Declined – If a solicited reviewer declined in writing, this is considered confidential and must be attached to the list of confidential letter writers.

Alpha Codes – Identify each letter writer with an alpha code (reviewer A, B, C, etc.).

Department Letter

Personal Information – Medical conditions, children, the reason for any leave.

Department Recommendation Data

Change the type of review and/or authority – If the department recommendation changes the type of review and/or the deciding authority, go to *Config tab > Edit Review Settings* and update the review type and authority as necessary.

Prep for Candidate Review

Response Deadline – You may adjust the date as appropriate, for example to accommodate university holidays.

Supplemental Resources

This section contains a list of additional resources that you may find helpful if you have questions about what is required or expected for a particular review.

Department Chair Toolkit – Policies and procedure resources to assist department Chairs in facilitating academic personnel reviews.

CAP's Tips for Chairs – Recommendations by the Committee on Academic Personnel to ensure that review files contain the information necessary for the senate committee to make a recommendation without having to request corrected and/or additional information.

CITL – The Center for Innovations in Teaching and Learning may be able to assist with questions about how to document teaching or courses & syllabi.

Working Notes (Optional)

(NOTE: If this form is added to the file it will be visible to everyone with access.)