Preparing For Your Review

Guidelines and Resources for Faculty

Department of Civil & Environmental Engineering

Contents

- Types of Reviews
- Academic Ladder
- Review Criteria
- Preparing Materials
  - Self Assessment Summary
  - Publications
  - Letters
- APBears
- Deadlines
- The Chair's Role
- Candidate Rights
- Resources

Reasons for Review

1. Recognize and reward performance

2. Maintain academic standards of the highest levels

3. Ensure the candidate pursues a productive career

Types of Reviews

- **MERIT REVIEW** – An increase in step in the normal period of service, consistent with APM 220-18(b) and APM 200-19. The Department Chair conducts the review based on the established review criteria. Includes materials since last review.
- **FIVE YEAR REVIEW**– A mandatory review that occurs when a normal advancement has been deferred (APM 200-0). The Department Chair conducts the review based on the established review criteria. Includes materials for the last 5 years.
- **MID-CAREER APPRAISAL**– A review conducted in the 7th semester on the tenure clock (http://apo.berkeley.edu/Appraisal_Procedures_09.pdf). Required: A departmental ad hoc committee, and a faculty vote on the prospects of tenure (good, fair, poor). Includes materials since appointment.
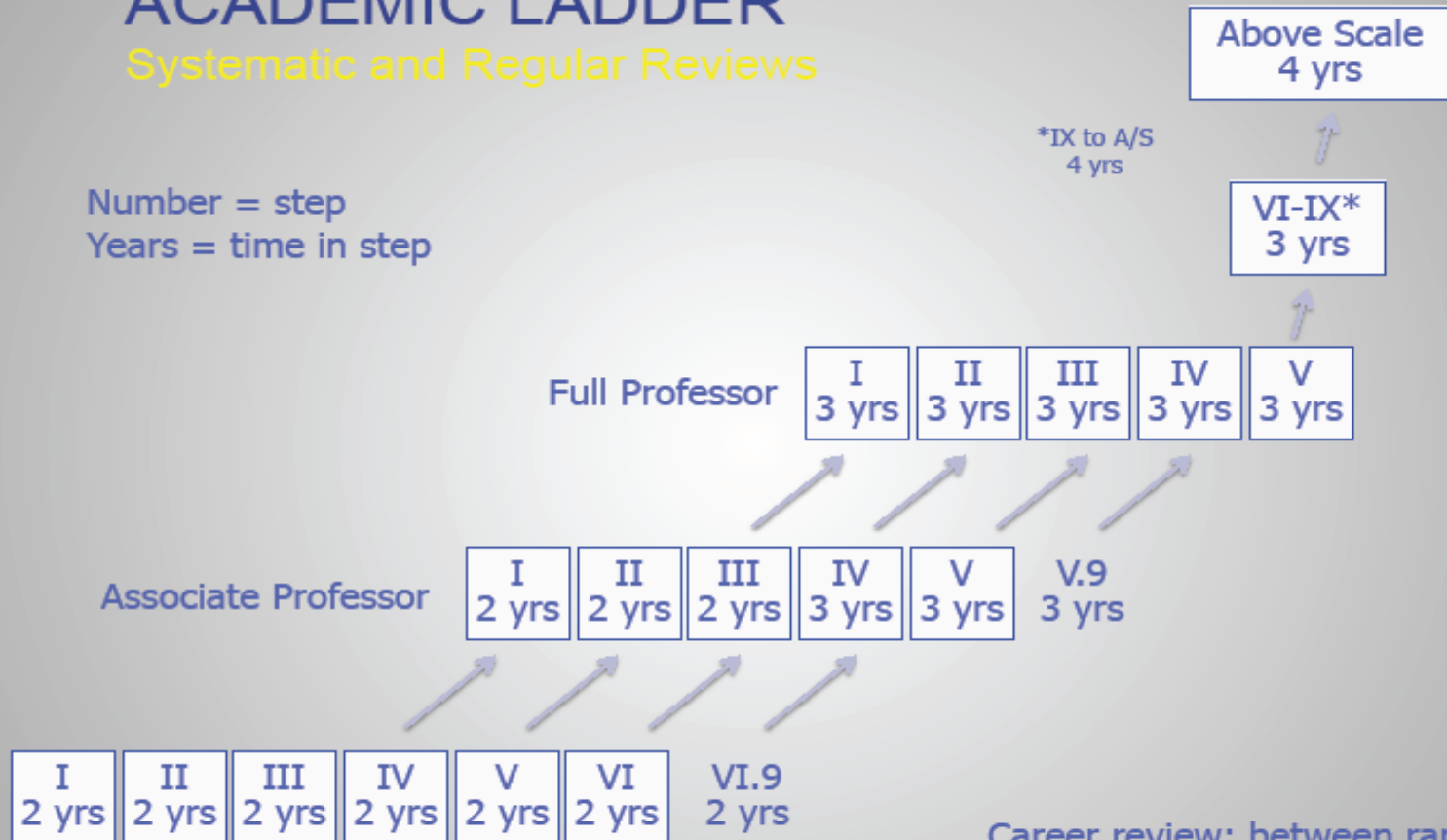
<p align="center">CAREER REVIEWS</p>

- **FINAL APPRAISAL/TENURE REVIEW**– A review conducted no later than the 11th semester on the tenure clock (http://apo.berkeley.edu/Appraisal_Procedures_09.pdf). Required: A departmental ad hoc committee, solicitation of external letters, a faculty vote, and a campus ad hoc review committee (CAHRC).
- **PROMOTION TO FULL PROFESSOR**– A review normally conducted after six years in the Associate Professor rank. Required: A departmental ad hoc committee, solicitation of external letters, a faculty vote, and a campus ad hoc review committee (CAHRC).
- **ADVANCEMENT TO STEP VI**– This is a barrier step requiring achievement of great academic distinction recognized nationally. Required: A departmental ad hoc committee. Optional: The solicitation of external letters.
- **ADVANCEMENT TO ABOVE SCALE**– Reserved for only the most highly distinguished faculty. Must have at least four years of service at Professor, Step IX. Required: The solicitation of external letters.

ACADEMIC LADDER
Systematic and Regular Reviews

Number = step
Years = time in step

Above Scale
4 yrs

*IX to A/S
4 yrs

VI-IX*
3 yrs

Full Professor	I 3 yrs	II 3 yrs	III 3 yrs	IV 3 yrs	V 3 yrs

Associate Professor	I 2 yrs	II 2 yrs	III 2 yrs	IV 3 yrs	V 3 yrs	V.9 3 yrs

Assistant Professor	I 2 yrs	II 2 yrs	III 2 yrs	IV 2 yrs	V 2 yrs	VI 2 yrs	VI.9 2 yrs

Career review: between ranks and initial appointment

Merit review: between steps

Review Criteria

A candidate for appointment, appraisal, merit increase, or promotion in the Professor series shall be reviewed on their performance in the following four areas.

A. **TEACHING**

B. **RESEARCH AND CREATIVE WORK**

C. **PROFESSIONAL COMPETENCE AND ACTIVITY**

D. **UNIVERSITY AND PUBLIC SERVICE**

Refer to the Review Criteria Guide for a detailed list of the points considered in each category as well as specific examples of evidence. You may also refer to APM 210.1.d.

Contributions to diversity and equal opportunity in any of the performance areas listed above are highly encouraged and will be recognized at the time of review.

Preparing Materials: Self Assessment Summary

Only address achievements that fall within your review period. For career reviews, a summary of your achievements since your last career review is helpful, but the focus should be on your achievements that are new since your last review. For a complete list of review criteria see Review Criteria Guide .

The information requested for the self assessment summary will supplement AP Bears and provide campus reviewers with context and analysis for your achievements.

TEACHING and MENTORING
- Provide a brief description of each course that you taught highlighting new courses devised and your efforts at improving teaching effectiveness, if any.
- Provide context for any low teaching evaluation scores and outline your steps to improve:
- Mention honors received for distinguished teaching or publication of textbooks, if any:
- List the names of completed Ph.Ds. that you chaired or co-chaired in the review period (note: while AP Bears include this information, the department will use this list to check the accuracy of the AP Bears information):
- List the names of Ph.Ds. that you are currently chairing or co-chairing (note: while AP Bears include this information, the department will use this list to check the accuracy of the AP Bears information):
- For your Ph.D. students who have graduated during the review period, please describe their current employment (academia, research, industry, etc.)
- Describe any other exceptional mentoring that took place in the review period:

Preparing Materials: Self Assessment, Research

REASEARCH & CREATIVE WORK

- Give a narrative summary of your major areas of research in the review period and list the publications associated with them. Please use the same numbering system that is used in your Bibliography.
- Provide metrics that describe your productivity (number of accepted or published journal articles, conference proceedings, etc., in the review period):
  - Refereed Journal Articles:
  - Refereed Conference Proceedings:
  - Technical Reports:
  - Books or Chapters in Books:
  - Other:
- Describe the **quality and standing** of the journals that you published in:
- Describe the impact of your research (citation metrics, impact on practice, etc.)
- Describe any honors or awards received in the review period:
- Describe your current level of grant funding and funding source:

Preparing Materials: Self Assessment, Service

PROFESSIONAL COMPETENCE ACTIVITY
- Comment on the venue and importance of your invited lectures, keynote presentations, etc.:
- Describe service to editorial boards of scholarly journals and reviewer for funding agencies:
- Describe workshops organized or conferences organized, in terms of importance and size of the event:
- Describe your professional committee service, including your role and the accomplishments of the committee during the review period.
- Describe any other areas of profession competence in the review period (examples include testimony given to legislature, serving as external reviewer for other universities, etc.):

UNIVERSITY SERVICE
- Comment on your university service activities at the **Department** level and describe your most significant contributions:
- Comment on your university service activities at the **College** level and describe your most significant contributions:
- Comment on your university service activities at the **Campus** level and describe your most significant contributions:
- Comment on your **System-Wide** service and describe your most significant contributions.
- Describe any public service activities:

ADDITIONAL INFORMATION
- Describe any achievements not captured above that should be included in the current case:

Preparing Materials: Publications

Publications Needed For Review:

- **ALL CASES:** <u>All</u> publications since last review should be provided to the department in PDF format.
- **CAREER REVIEWS:** In addition, provide PDF copies of <u>all</u> publications since your last career review. <u>Example:</u> if you are being considered for a promotion to tenure (Associate Professor), the department needs all of your publications since your appointment. Also select 3-5 publications of your most significant contributions to be highlighted for reviewers.
- **BIBLIOGRAPHY:** Add listings of new publications since last review to the bibliography sent to you with the Chair's request for materials. Add new citations and indicate 1) collaborative work (it's no longer mandatory to add % contributions) 2) collaborative work with <u>your</u> advised student(s) in **bold** 3) work that was derived from a conference or report. *PLEASE DO ADD THE URLs FOR ANY PUBS THAT APPEAR ON LINE.*

  <u>Examples:</u>

  99. **Student, K.O.** and T. J. Professor, "Paper of Importance in Engineering," *International Journal of Prestige Engineering*, April 2010, Vol. 24, No. 3, pp. 103-113, doi: 1123.44590/jtoom.

  100. **Student, N.**, T.J. Professor, A. Collaborator, and T. Collaborator, "Paper of Significance in Engineering," *Journal of Prestige Engineering, ASCE*, April 2010, Vol. 131, No. 4, pp. 439-448, doi: 10.1082/22.34667. <u>Derived from ref-proceeding no. 78.</u>

After updates have been made in the CEE publications database, a finalized bibliography will be uploaded for you by the department.

Preparing Materials: Letters

Career reviews require the solicitation of letters from individuals who can provide an independent assessment of a candidate's qualifications and accomplishments. The Campus prefers letters from full professors at peer institutions or peer departments.

ACTION	SERIES/RANK	# OF LETTERS	LIST
Tenure	Associate	Min of 7	At least ½ from Dept
Promotion	Full	Min of 7	At least ½ from Dept
Step VI (letters optional)	Full	Min of 3	At least ½ from Dept
Advance to Above-Scale	Full	Min of 5	At least ½ from Dept

Candidates should provide a list of possible reviewers using the external reviewers form provided with the Chair's request for materials. The department will create a separate list independent of the candidates. A reviewer's in dentifying information will be redacted and kept confidential from the candidate. Unsolicited letters (other than those submitted by the candidate, which are not confidential) shall not be part of the case nor placed in the review file.

APBears: Electronic Achievement & Review System

APBears captures faculty achievements electronically and replaces the annual bio-bibliography form. It is **required** for the submission of all advancement cases. The department has posted guidelines as a resource when entering your data. Candidates have the ability (and are encouraged) to enter achievements in the system at any time, **not just at the time of review**. Achievements for the entire review period should be entered into APBears by the deadline established in the Chair's request for materials. Please list each activity only <u>once</u> in APBears.

File Preparers will review your achievements captured in the Review Summary for accuracy and completeness. You will be asked to make changes to or include any missing essential information. Candidates are able to view their review summary under **Cases**.

Deadlines

Why are deadlines so important?

- The deadlines established by the Campus, Dean, and Department are **critical** in order to effectively distribute the anticipated case workload and to ensure that decisions are made prior to their effective dates. New campus policies have been established to help ensure the timeliness of case submissions. The College has also announced that they will no longer accept cases that are 30 days past their due date.
- In many cases, the department deadlines are established to allow for the time needed for *ad hoc* review, solicitation of letters, and faculty deliberation and vote and to effectively handle the case load.
- Late submission of your materials puts unnecessary burden on administrators and reviewers.

What will happen if my materials are late?

- Your case will be reprioritized to the bottom of the queue so that faculty who submitted their materials on time are not negatively impacted. This will further delay your case.
- More than likely your advancement decision will be delayed and any increase in your salary will be also delayed (although in general, your salary increase will be effective or retroactive July 1 of the recommended year, although in some cases the department or campus may decide to delay your case and resubmit it in the following review cycle).

The Chair's Role

As the leader of the department, one of the Chair's responsibilities is oversight of the academic personnel review process which includes:

- Recruiting, selecting, and evaluating faculty of the department in consultation with colleagues.

- Recommending appointments, promotions, merit advances, and terminations in consultation with colleagues.

- Ensuring that faculty are aware of the criteria prescribed for appointment & advancement.

- Seeking the advice of faculty colleagues in a systematic way through department meetings and the appointment of *ad hoc* and standing committees.

- Providing a receptive means for questions, complaints or suggestions from members of the department.

- Ensuring that the fairness safeguards in the review process have been followed.

The Department Chair's duties and responsibilities are outlined in APM 245.

Candidate Rights

- Inform the Candidate about the review process (including departmental procedures) and the rights of the Candidate during the course of the review. The Candidate should be provided the following documents:
  - APM 160 - Academic Personnel Records: Maintenance, Access, and Opportunity to Request Amendment of
  - APM 210 - Review and Appraisal Committees (criteria for promotion)
  - APM 220-80 - Appointment and Promotion
- Provide the Candidate the opportunity to nominate external evaluators. (220-80-c)
- Inform the Candidate that s/he may indicate individuals who might not be objective (both internal and external reviewers). The Candidate must provide a written statement with reasons which will be included in the review file, but will be accessible only to administrators. (220-80-c)
- At least 5 days before the faculty meeting scheduled to determine the departmental recommendation, provide the Candidate the opportunity to inspect non-confidential materials (to ensure completeness) and to receive redacted copies of the confidential materials. (220-80-d)
- Candidate has the opportunity to make a written statement for the file before the departmental recommendation is determined. (220-80-d)
- Candidate shall be informed of the departmental recommendation (including the detailed vote) and the substance of the departmental evaluations in each of the four criteria. Upon request by the Candidate, s/he may receive a copy of the chair's letter. (220-80-e)
- Candidate will be provided copies of any and all material added to the review file after the departmental recommendation is forwarded and may comment on them.
- After the final decision or at the Preliminary Assessment stage, the Candidate may request copies of the entire review file or a written summary of the reasons for the decision. (220-80-i)
- For the Preliminary Assessment stage, provide the Candidate the same opportunity for review of the file and to submit a statement.

Resources

- Academic Personnel Manual; Sections covering the review process: APM 160, APM 210, APM 220
- Candidate's Rights
- APBears
  - Log On
  - Help Wiki
  - Candidate Routing Guide
  - FAQs
  - APBears Achievement Pages and Categories
- CEE Forms and Resources:
  - APBears Guidelines
  - Review Criteria Guide
  - Sample Curriculum Vita
  - Review and Comment Form
  - External Letters Form
- Campus Policies:
  - Evaluation of Teaching
  - Evaluation of Graduate Student Mentoring in Faculty Performance Reviews
  - Evaluation of Service in Faculty Performance Reviews
  - Evaluating Contributions to Diversity for Appointment & Promotion
  - Guidelines for Step VI Reviews
  - External Letters