
3104: MERIT, ADVANCEMENT, APPRAISAL REVIEW

Reappointments which commence after twelve semesters of service in a Unit 18 title in the same Unit at UC Merced, known as “Continuing Appointments,” can be made only after an instructional need has been established.

Conferment of a Continuing Appointment following an Excellence Review after six years of service, and the subsequent merit reviews, are intended to reward those individuals who meet specified needs and standards of excellence after a programmatic decision has been made to allocate resources for a Continuing Appointment. The retention of these candidates beyond the sixth year is a significant academic personnel action and the criteria and guidelines herein must be carefully followed in the review process.

INITIAL CONTINUING APPOINTMENT

DETERMINATION OF INSTRUCTIONAL NEED

Instructional need to establish a Continuing Appointment shall exist when the Dean determines the following with respect to the initial year of the Continuing Appointment (**MOU Art. 7b.B**):

1. There is a curricular need for courses to be taught by Lecturers in the area in which the Lecturer under consideration has taught, and
2. the Lecturer under consideration is qualified to teach the course(s), and
3. a Continuing Appointee is not already expected to teach the course(s).
4. Instructional need will **not** exist when:
 5. A specified Senate faculty member is designated to teach the course(s) previously assigned to the Lecturer in the next academic year;
 6. A graduate student whose training is in the same discipline, or where the assignment is made pursuant to an academic plan for pedagogical training, is designated to teach the course(s) previously assigned to the Lecturer during the initial appointment year;
 7. An unanticipated distinguished Visiting Professor or Adjunct Professor is designated to teach the course(s) previously assigned to the Lecturer during the initial appointment year;
 8. The assignment of the Lecturer to teach the course(s) conflicts with the established School academic program requirements for intellectual diversity;
 9. Other courses in the area in which the Lecturer has taught and for which he or she is currently qualified are neither available nor taught during the initial appointment year; or
 10. The course(s) have been assigned to another Continuing Appointee with more service, and there are no other courses taught by Lecturers with less seniority in the area where the candidate has been teaching and is qualified to teach.

ESTABLISHING THE CONTINUING APPOINTMENT PERCENTAGE

Normally, the Lecturer’s initial Continuing Appointment base percentage will be at least equal to his or her appointment percentage in the previous academic year (e.g., the sixth year). It may be lower, however, if the Dean determines that the course(s) taught by the Lecturer in the previous year will not be offered, or will not be taught by Lecturers because Instructional Need has changed for one or more of the reasons cited above.

EXCELLENCE REVIEW

A Lecturer who has been appointed to twelve semesters of service must undergo an Excellence Review to determine whether she or he meets the excellence standard required for a Continuing Appointment.

LECTURERS

The Excellence Review will be conducted during the academic year in which the Lecturer's eleventh or twelfth semester falls in the Spring semester. Eligibility letters will be issued by the Academic Personnel Office each March.

Prior to the initiation of the Excellence Review (i.e., before the **Procedural Safeguard Statement** is initiated), normally in March of the previous year, the Lecturer under consideration shall be notified in writing of the review, and the timing, criteria, and procedures that will be followed. Such notice will be issued to the candidate by the Vice Provost for the Faculty, with a copy to the Dean. This letter will indicate that the candidate's materials are due to the Dean's office by **July 15**, and the completed Case File is due to APO by the following **March 15. (Schedule for AP Actions)**. Candidates may be required to turn in case materials to their particular Schools or Units on an earlier date to allow for time for internal review procedures; such direction will come directly from the School or Unit.

Once the Excellence Review is initiated (i.e., the Procedural Safeguard Statement has been initiated), the Case File shall continue through the entire review process (i.e., all files, including files in which the School recommends against a Continuing Appointment, shall be forwarded to all reviewing entities). The candidate, however, may request in writing to the VPF at any time that the review be halted. If such a request is made, the file will not continue through the review process, and reappointment will not be considered further.

CONTINUING APPOINTMENT CRITERIA

Consideration for a Continuing Appointment shall be made on the basis of demonstrated **excellence** in the field and in all three of the following categories:

- Teaching/instructional performance;
- Academic responsibility;
- Other assigned duties which may include University co-curricular and community service. **(MOU 7b.D)**

Instructional performance is measured by evaluation of evidence demonstrating such qualities as:

- Command of the subject matter and continued growth in mastering new topics;
- Ability to organize and present course materials;
- Ability to awaken in students an awareness of the importance of the subject matter;
- Ability to arouse curiosity in beginning students and to stimulate advanced students to do creative work;
- Achievements of students in their fields; and
- Evidence of learning as determined by learning outcome assessment. **(MOU 7b.D)**

REVIEW COMMITTEE

Excellence Reviews will be conducted by a Review Committee within the School appointed by the Dean in consultation with Senate faculty and composed of Senate faculty with sufficient knowledge in the field of expertise of the individual being reviewed. In addition, the School will make reasonable efforts to ensure that a qualified non-Senate faculty member (e.g., Lecturer) be a member of each review committee. All such service will be voluntary.

PREPARATION OF THE CASE FILE

All candidates for Excellence Review will complete the **Procedural Safeguard Statement** to ensure that their rights under Articles 7b and 7c of the MOU have been explained and upheld.

Candidate's Materials

Once a Lecturer has been informed of her or his eligibility for an Excellence Review, she or he is expected to assemble a file of documentation including:

LECTURERS

1. Updated curriculum vitae, including teaching information and current address;
2. Instructional materials that may include syllabi, tests and reading lists;
3. Student evaluations, including written comments;
4. Evidence of student learning outcomes assessment; and
5. Optional materials that may include letters of assessment not solicited by the School (such as assessment by peers or other faculty members or from former students), a statement of pedagogical philosophy and goals, and/or other relevant materials such as a self-statement or self-evaluation. The program or School may have specific requirements regarding these or other materials.

Other Documentation of Performance

The School will gather other evidence for evaluation, which may include:

1. Assessment from classroom visitations by colleagues and evaluators;
2. Annual pre-six assessments; and
3. Solicited letters of assessment.

The candidate shall have the opportunity to review the file and to respond in writing within five business days. Any such statement will become part of the Case File.

Case Analysis

It is the Review Committee's responsibility to submit analytical comments in the form of a Case Analysis concerning the candidate's teaching effectiveness. These comments must be accompanied by evidence from the materials included in the file. Any references to confidential letter writers must be by alpha code. The Case Analysis should include the following:

1. Evaluation of performance in all assigned duties and evaluation of qualifications in relation to criteria for a Continuing Appointment;
2. Recommendation for or against Continuing Appointment; and
3. Merit recommendation: if the candidate is found to have met the excellence standard for a Continuing Appointment, the salary must be raised to the minimum annual salary for Continuing Appointment per **Table 17-B** of the Academic Salary Scales.
4. Either within the Case Analysis or in a separate document, the standards of excellence appropriate to the particular discipline or subject area being used in evaluating the candidate should be outlined.

The candidate shall have the opportunity to review the Case Analysis and to respond in writing within five business days. Any such statement will become part of the Case File.

Faculty Vote

If so specified in the Unit's voting procedures, the Case File may be considered by voting members of the Unit. Any discussion and vote by the Unit should be recorded in a Transmittal Memo written by the Chair and included in the Case File which is then forwarded to the Dean.

Dean's Recommendation Letter

In the Letter, the Dean provides his or her recommendation regarding the proposed action and supplies additional analysis as needed. The Dean should also either endorse the salary recommendation put forth or provide justification for a different recommendation.

Routing

Once completed, the Case File is routed to the Academic Personnel Office for review by the Vice Provost for the Faculty, who shall make the final decision regarding granting a Continuing Appointment.

MERIT REVIEWS

Every March, the Academic Personnel Office will issue letters of eligibility for Merit Reviews for Continuing Appointees. It is the School's responsibility to initiate review of Continuing Appointees every three years. Each School, using standards of excellence appropriate to the particular discipline or subject areas, should develop systematic methods and criteria for discriminating among levels of performance. Documentation of these standards should be included with the case. The process for conducting a Merit Review for a Continuing Appointee shall follow the same procedure outlined above for an Excellence Review. The primary criterion for review will be demonstrated excellence in teaching, along with the other criteria outlined in MAPP 3104.A.4 above. Well-documented evidence should be provided on which the appraisal of teaching competence has been based. A positive review shall result in a merit increase of at least 6% on the **Academic Salary Scale (MOU Article 22.C.2.c)**. If during the course of a review, or at any other time, the School determines that based on the evaluation criteria there has been a significant decline in the quality of performance by the Continuing Appointee, the procedures outlined in **Article 30** of the MOU must be followed.

A Continuing Appointee may request a one-year deferral of the merit review. Future eligibility for review will be based on the new review date.

Schools should inform the candidates of internal deadlines and the opportunity to submit materials to be included in the Case File. If the candidate does not provide materials by the School's due date, the School will conduct the review based on the materials available in the School as of the due date.