

ASSISTANT PROFESSOR – FOURTH-YEAR APPRAISAL

General Information (see [The CALL-Regular Professor Series](#))

- A Fourth-Year Appraisal is a formal evaluation of an Assistant Professor. It is intended to evaluate the candidate's prospect for eventual promotion to tenure and to provide information to the candidate regarding those prospects.
- To be conducted during the fourth year of combined service in the Assistant Professor series (includes time as a Visiting Assistant Professor) at any UC and at any percent of time
 - May also be conducted at any time during service as an Assistant Professor at the election of the department or when requested by the appointee, Dean, Council on Academic Personnel, or Chancellor
- Fourth-Year Appraisal may also be conducted at any time during service as an Assistant Professor at the election of the department or when requested by the appointee, Dean, Council on Academic Personnel, or Chancellor.
- If TOC is requested and approved before the 4th Year of Service, the Fourth-Year Appraisal review may be pushed back/delayed by one year (irrespective of TOC, this is the candidate's choice).
Note: if a faculty member is contemplating early promotion and a 4th Year Appraisal has not been conducted, please encourage the faculty member to proceed with a 4th Year Appraisal followed by promotion.

Fourth-Year Appraisals are characterized as:

- **"Favorable"** – likely that the individual will eventually qualify for promotion to tenure
- **"With Reservations"** - there is an identified weakness or imbalance in the record which appears to require correction in order to eventually to qualify for promotion to tenure
- **"Unfavorable"** - unlikely that the individual will eventually qualify for promotion to tenure
Note: Whenever the department's appraisal is "unfavorable," a vote must be taken and recommendation made with respect to the separate question of the individual's continued appointment. A department may recommend:
 - a) unfavorable appraisal with continuation of appointment
 - b) unfavorable appraisal with recommendation for non-renewal. See [The CALL, Regular Professor Series, Section VIII](#) on "Non-Renewal of Appointment of an Assistant Professor as a result of a Personnel Review."
- The department must consider the candidate's teaching, research and creative work, professional competence and activity, and University and public service **since appointment** at UCLA ([Summary of Procedures #7](#))
- Fourth-Year Appraisals require review by the Council on Academic Personnel (CAP)

Submit the following to Luskin:

- ☐ Original plus one (1) single-sided copy and four (4) double-sided copies of the dossier. For the double-sided copies, the cover page through (and including) the vote page must be single-sided, and thereafter double-sided.
- ☐ Two (2) copies of the Off-Scale Analysis.
- ☐ Publications, teaching evaluations, and any supporting materials placed in box. See below for details.*
- ☐ A copy of the bibliography must be placed in the publication box or envelope.

Dossier Contents in the order below:

- ☐ **Assistant Professor Data Summary cover page**
 - If the candidate has a joint or split appointment(s), please notate all departments and the percentages in the Department section
 - Check all applicable categories in the Type(s) of Review section
 - In addition to checking the Appraisal recommendation box, please check the Department's recommendation, either: Favorable, With Reservation, or Unfavorable
 - Check the appropriate boxes for cases involving additional review(s), such as renewal of appointment and/or merit
 - Complete all fields in the Present Status section
 - Indicate the number of years in the field for "Years Toward Eight-Year Limit"
 - If the candidate had a previously approved TOC, notate the academic year(s) next to the "Years Toward Eight-Year Limit" (Example TOC: 2010-2011)
 - Complete all fields in the Proposed Status section
 - Annual salaries - Refer to [Table 1: Faculty – Ladder Ranks – Professor Series, Academic Year](#)
 - Salary must be rounded to the nearest \$100
 - Proposed salary rate is marked as TBD if no specific salary is recommended

- Salary above the proposed step on Table 1 is an off-scale salary
 - If the action is in conjunction with a merit, the Dean can approve a proposed annual salary up to and including the next step or a proposed annual salary that does not exceed the current percent off-scale. A request to increase off-scale percentage must be explained and justified, and is subject to final approval by the Vice Chancellor.
- ☐ If applicable, **current Joint Appointment waiver form**
- ☐ **History Record** (entire history; no handwritten entries)
- ☐ **Assistant Professor Data Summary Vote page** (for guidelines, see [The CALL, Appendix 4](#))
 - “Aye/Nay” votes are not applicable. The options for the vote are: "Favorable," "With Reservations," or "Unfavorable". See [The CALL, Regular Professor Series, VI](#), for procedures.
 - Be specific as to the motion voted on and the proposed effective date
 - There must be separate votes for cases that include a merit and/or renewal of appointment
 - The sum of the vote tally must equal the number eligible to vote
 - Votes must add up and match the Departmental Assessment/Director’s letter
 - **ALL** prior assistant vote actions must be shown on the **vote page** (landscape version)
 - For split appointments or joint appointments without a waiver, each department must have their own vote page
- ☐ **Data Summary, pages 3 – 7**
 - **Candidate must initial these pages before any committee or departmental review**
 - If the content does not fit on one page, append additional pages and number them with letters, for example 3a, 3b, 3c. Do not assign new numbers to the data summary pages.
Note: CAP requests a separate teaching tabulation page with the following information: Quarter, Course, Number of Students, Response Rate, Instructor Rating, Course Rating, and Department Average. Please place this page directly behind data summary page 4.
- ☐ **Bibliography ([L & S format](#) must be used)**
 - The candidate must initial these pages before any committee or department review
 - Mark “Since Last Advancement” in ALL sections
- ☐ **“Prior” Certification page**
 - **Must** be read by the candidate and signed before any committee or departmental review
 - Bulky items (exhibits, grant proposals, etc.) should include a footnote, “See envelope (or box)”
 - Indicate items supplied by the candidate on bottom section. Immediately after this page, include:
 - CV, required
 - Self-statement (optional, but strongly encouraged)
 - Sabbatical Report, if applicable
 - Bias list, if applicable
- ☐ **“After” Certification page**
 - **Must** be read by the candidate and signed after the Department votes on the action
 - **Must** be dated on or after the date on the department assessment letter
- ☐ If applicable, **candidate’s written response to department assessment**
- ☐ **Department Assessment/Recommendation Letter**
 - This is the letter setting forth the department’s recommendation, written under the Chair’s signature
 - The first sentence must include the candidate’s name, action, proposed rank and step, salary and whether the rate is off-scale, vote and effective date
 - Voting faculty have the right to review the letter prior to the candidate’s review ([see memo from former VC](#))
 - For the Fourth-Year Appraisal, the letter should specify the department’s recommendation as “Favorable”, “With Reservations”, or “Unfavorable”. Also, the letter should include the department’s recommendation for additional reviews (merit and/or renewal of appointment).
- ☐ If applicable, **the Chair’s individual recommendation** (submit in a separate statement)
- ☐ If applicable, **Departmental ad hoc or standing committee report**
- ☐ **Peer evaluation of teaching** must be submitted

- ☐ If applicable, **Department's unsolicited sample solicitation letter with Statement of Confidentiality**
 - If an unsolicited letter of evaluation is received, a letter should first be sent to the writer setting forth the Statement of Confidentiality ([The CALL, Summary of Procedures #10](#)) and asking that individual to respond whether in light of this University policy the letter should be included, revised, or returned. If no response is received by an assigned date, it is assumed that the writer agrees to the inclusion of the evaluation letter.
 - Write "Unsolicited" in the top right corner of the sample letter
- ☐ If applicable, **Unsolicited letters** (see [Helpful Hints](#) for more information)
 - All unsolicited letters received must be included in the dossier

Opus

Track the action in Opus, and submit to the Dean's Office queue before the hard copies of the dossier are delivered.

***Publications and Teaching Evaluations**

Publications, teaching evaluations, and any supporting materials placed in boxes. Boxes must be clearly labeled on both sides to include candidate's name, department(s), action, effective date, box number (e.g. 1 of 2), etc.

- **Publications:** All publications since appointment must be submitted, including in-press and work-in-progress manuscripts, if available. Publications must be numbered and stapled.
Note: A copy of the bibliography must be placed in the box or envelope (check off the items submitted).
- **Teaching:** All teaching evaluations since appointment must be submitted in reverse chronological order. Each packet should have the OID evaluation summary sheet before the students' written comments. Must be stapled or clipped

Routing and Approval

The Luskin analyst will review the case then forward it to the appropriate Dean for review. The Dean will write a recommendation, which will be included in the case when directed to APO. APO will send it to CAP, and the final decision rests with the Vice Chancellor. When the necessary approval(s) have been obtained, the Luskin analyst will follow internal protocol and notify the department.