

**College of Natural and Agricultural Sciences
Guidelines for the Campus-Based
Specialist in Cooperative Extension Series**

**“The CE Call”
2011-2012**

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INTRODUCTION

The following guidelines for Specialists in Cooperative Extension have been prepared to assist Specialists in CE, department chairs and faculty members in understanding the appointment and review process and meeting its goals. It does not replace either the Academic Personnel Manual or the Annual Call, but rather supplements key aspects of the procedures in a more informal and interpretive manner.

THE SPECIALIST IN CE

The Specialist in CE series is used for academic appointees in Cooperative Extension who are qualified by formal education and/or experience to conduct educational activities and mission oriented research in their area of specialty and who have responsibility for the interpretation, adaptation, and transmission of the results of relevant research. The Specialist in CE serves as a resource person to disseminate and instruct clientele on up-to-date information and research needs in his/her area of specialization. Teaching of regular undergraduate or graduate courses is not a responsibility of this series; however, the Specialist in CE with an appropriate I&R FTE teaching component is expected to play a role in resident instruction and graduate education within academic departments. In addition, the Specialist in CE is expected to provide services to the University and private sectors and complement University educational programs, both on and off campus. The Specialist in CE is evaluated for merits and promotions based on their ability to meet these objectives when considered in total.

Titles (and ranks) in this series are: (1) Assistant Specialist in CE; (2) Associate Specialist in CE; and, (3) Specialist in CE.

Professorial appointments are referred to as “Instruction and Research” (I&R) positions. Hence, split FTE appointments within the same department are colloquially referred to as CE/I&R appointments. Agronomists appointments are referred to as “Organized Research” (OR) positions. Hence, split FTE appointments within the same departments are colloquially referred to as CE/OR appointments. [See Sections I, IV (7), IV (8)]

AFFIRMATIVE ACTION

Affirmative action is an integral and important component of each of the above position responsibilities. Each appointee in this series is responsible for applying and furthering the affirmative action goals and objectives of the University and of the Division of Agriculture and Natural Resources. Specific affirmative action responsibilities include but are not limited to:

- a. Comply with all applicable Federal and State laws and regulations and University, campus, and Division policies and procedures related to civil rights, affirmative action, and equal employment opportunity.
- b. Collaborate with and provide guidance and counsel to County CE staff to meet affirmative action and equal opportunity goals at the county level.

A statement must be included on the candidate’s position description documenting their affirmative action efforts and contributions, both in the personnel and programmatic sectors.

PROCEDURES

The Chancellor shall establish procedures which entail adequate stages of review of proposed appointments, merit increases, and promotions to ensure proper evaluation of the individual candidates. Such procedures shall include appointment by the Chancellor or designee of personnel committees which include peers and which will review, when appropriate, appointments, merit increases, and promotions and which will also recommend, when appropriate, the composition of *ad hoc* review committees. *Ad hoc* review committees (for appointments with an I&R FTE component), appointed by the Chancellor or designee, will normally include appointees from the Agricultural Experiment Station (AES).

CONFIDENTIALITY

Confidentiality is a critical requirement during the entire review process. Breaches of confidentiality are subject to disciplinary action. The candidate is not allowed to see the confidential portions of the file except in redacted form and only during specific periods between the initiation of a departmental recommendation through the final administrative decision. The candidate does, however, if requested in writing, have the right to receive redacted copies of all confidential extramural letters before the departmental review and a copy of the non-confidential departmental letter setting forth the departmental recommendation before the file is sent forward to the Dean. Following the final decision, if requested in writing, non-confidential material and a redacted copy of all confidential material presented as part of the file may be obtained. (Please refer to the checklists for listings of confidential documents contained in a merit, appraisal, deferral, quinquennial review, advancement or promotion file.)

Note: The identities of persons who were the sources of these documents shall not be disclosed. Redaction of a letter of evaluation (including declinations) is defined as removal of the name, title, organizational/institutional affiliation, and relational information contained below the signature block. (APM 160-20-c(4) Any identifying information on the letterhead and emails should also be removed.

DEAN'S OFFICE CE ADVISORY COMMITTEE (CEAC) COMPOSITION AND ROLE

The Committee is comprised of Specialists in CE and Academic Senate members with a partial AES appointment. The CEAC acts in an advisory capacity to the Dean to provide advice on all actions (appointment, merit, appraisal, promotion, quinquennial review, advancement and deferral requests) in the CE series. The CEAC reviews the documentation in each file and writes an evaluation based on the four criteria. The written evaluation of the CEAC becomes a part of the file under review and includes, for the record, an actual vote.

LEVELS OF REVIEW

A Specialist in CE holding a title in the CE series, but also holding an I&R title (however small a percentage) which does confer Academic Senate membership, continues to be reviewed by the full procedures for regular faculty members on this campus. However, the files for these faculty are also first reviewed by the CEAC. The Committee on Academic Personnel (CAP) is responsible for reviewing that portion of the appointment which falls under an Academic Senate title (I&R FTE). When a campus *ad hoc* committee is required, its review of the file will precede the Dean's review.

The following chart provides, at a glance, the various levels of review for each of the different file types:

	Dept.	CEAC	Campus <i>Ad Hoc</i>	Dean	CAP	Chancellor
Appointments:						
Asst I, II & III 100% CE FTE	x	x		x		
Asst I, II & III CE/OR FTE	x	x		x		
Asst I, II & III CE/I&R FTE	x	x		x		
Asst IV & Above 100% CE FTE	x	x		x		x
Asst IV & Above CE/OR FTE	x	x		x		x
Asst IV & Above CE/I&R FTE	x	x		x	x	x
Promotions:						
Asst to Assoc 100% CE FTE	x	x		x		x
Assoc to Full 100% CE FTE	x	x		x		x
Asst to Assoc Split CE/OR FTE	x	x		x		x
Assoc to Full Split CE/OR FTE	x	x		x		x
Asst to Assoc Split CE/I&R FTE	x	x	x	x	x	x
Assoc to Full Split CE/I&R FTE	x	x		x	x	x
Advancements:						
To Step VI 100% CE FTE	x	x		x		x
To Step VI Split CE/OR FTE	x	x		x		x
To Step VI Split CE/I&R FTE	x	x		x	x	x
Advancements to A/S 100% CE FTE	x	x		x		x
Advancements to A/S Split CE/OR FTE	x	x		x		x
Advancements to A/S Split CE/I&R FTE	x	x	x	x	x	x
Merits:						
All Levels 100% CE FTE	x	x		x		
All Levels Split CE/OR FTE	x	x		x		
All Levels Split CE/I&R FTE	x	x		x	x	x
Appraisals:						
At Assistant Level 100% CE FTE	x	x		x		x
At Assistant Level Split CE/OR FTE	x	x		x		x
At Assistant Level Split CE/I&R FTE	x	x		x	x	x

PROFESSIONAL OBLIGATIONS

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).

The eFile System captures granular data in a relational database in the support of merit/promotion actions and immediate generation of candidate bio-sketches and other reports supporting various candidates' needs (e.g. extramural funds requests). It is used for a routed, paperless review of merit and promotion files. Supporting processes outside of eFile include: Chair's meeting with candidate, signing of Procedural Safeguard Statement (Part 1 and Part 2), Department meeting, Department voting, preparation of department recommendation (draft and final), CAP meeting, CAP voting and preparation of CAP recommendation. General information regarding the eFile system can be found on the eFile website at <http://efileinfo.ucr.edu/>.

Cooperation in providing information for one's personnel file is a professional obligation without which the review process cannot be initiated.

POSITION DESCRIPTION

The individual position description is used for evaluating the professional accomplishments of Specialists in CE. The position description encompasses the four main criteria of (1) performance in extending knowledge and information, (2) performance in mission-oriented research and creative

activity, (3) professional competence and activity, (4) University and public service, as well as Affirmative Action. The position description provides a context for and a characterization of the percent of effort expended in all areas of responsibility.

Shortly after the effective date of the appointment (within 90 days), the employee and supervisor (department chair or equivalent) will meet with the CE employee to discuss performance standards and to establish specific goals by which success in the position can be determined. Every academic employee in CE will have a written position description setting forth the duties of the position. The initial position description is based on the Position Vacancy Announcement and includes a section on the employee's affirmative action responsibilities.

The position description should be prepared using the following or a similar format:

- a. Title
- b. Nature and Purpose - introductory paragraph in summary form. The primary purpose or program focus of the position should be presented and affirmative action responsibilities should be included.
- c. Major Responsibilities - major duties that must be satisfactorily accomplished to fulfill the requirements of the position, relative to the four criteria identified above, should be described, stating what is to be done. Describe duties in order of importance. Specific responsibilities in affirmative action must be described.
- d. Relationships - describe relationships that are essential to accomplish the duties of the position, including line organization, internal, and external cooperative relationships.
- e. Approval - must be signed and dated by the employee, signifying acceptance, and by the appropriate supervisor (department chair), signifying approval. Subsequently, review and approval by the Dean's Office, in consultation with the CEAC, will occur during the merit/promotion review process. When approved, this position description will be used for the next merit/promotion review.
- f. Updating - positions descriptions must be reviewed at every merit/promotion cycle and updated as appropriate to include any changes in the position description.

During the merit and promotion review process, each file will include the current position description and the position description at last advance or at appointment, whichever is most recent. The current position description, as approved by the Dean's Office in consultation with the CEAC, will be used for evaluation in the subsequent merit/promotion review cycle.

I. Types of Appointments on the UCR Campus

On this campus, all titles in the Cooperative Extension Series are on the Specialist in CE Salary Scale, table 32 or Fiscal year Ladder-Rank Professor Series, table 2. The implementation in 1995 of APM 334 combined all CE academics holding such titles into one title series: the Specialist in CE Series. APM 334 applies to department-based Specialists in CE. This change repealed APM 325.

Various terms may be used in the titles to designate the subject-matter of the specialist, for example, Specialist in CE (Agronomy), Associate Plant Pathology Specialist in CE, Assistant Entomology Specialist in CE, etc. (see also APM 334-8).

An appointment occurs when an individual is employed in one of the ranks shown above if the individual's most previous status was:

- (1) Not in the employ of the University; or
- (2) In the employ of the University, but not with a title in this series.

II. Criteria for Appointment

New appointees must have demonstrated the potential to meet the following areas of responsibility and will be expected to establish an effective program. Initial appointment represents a considered judgment that such individuals possess the potential to earn promotion before the time limit resulting from the eight-year rule. Components of program development consist of:

- (a) Performance in extending knowledge and information - identifying clientele and establishing educational and service activities.
- (b) Performance in mission oriented research and creative activity - developing research/demonstration projects.
- (c) Professional competence and activity - e.g., participating in a professional society.
- (d) University and public service - providing service to the University and society in general.
- (e) Resident instruction and graduate education (for the instruction component of Specialists in CE with appropriate I&R FTE).
- (f) Organized Research (for the research component of Specialists in CE with appropriate OR FTE) described under one or more AES projects.

III. Merits, Appraisals, Promotions, Advancements and Quinquennial Reviews

- a. A merit increase is an advancement in step or to an above-scale salary rate without change of rank (see APM 615).
- b. An appraisal is a formal evaluation of an Assistant Specialist in CE or certain other titles such as Assistant Professor or Assistant Agronomist in the AES which is made in order to arrive at a preliminary assessment of the candidate's prospect for eventual promotion as well as to identify appointees whose records of performance and achievement are below the level of excellence expected.
- c. A promotion is an advancement from one rank to a higher rank within this series, usually the next rank as listed in APM 334-8-a. A change from a title in another series to a title in this series (possibly involving an increase in salary) is not defined as a promotion or merit increase, but as an appointment.
- d. Advancement – see The Call for specific advancement action.
- e. A quinquennial review is a formal evaluation which is made in order to fulfill the APM requirement that each faculty member be reviewed no less frequently than every five years, even if at an open step (Professor V and above).

IV. Criteria for Merits, Appraisals, Promotions, Advancements or Quinquennial Reviews

A candidate for a merit increase, appraisal, promotion, advancement or quinquennial review in this series shall be evaluated by the following criteria. Individuals may not necessarily perform all activities in the sections suggested below; analyze the impact of those activities performed by the following indicators:

(1) Performance in Extending Knowledge and Information - Specialists in CE must develop and conduct an educational program aimed at appropriate off-campus clientele groups. The Specialist in CE serves as a resource person to disseminate information and instruct clientele on up-to-date information and research in his/her area of specialization. Clientele include CE County Advisors, other Specialists in CE, AES researchers, growers, industry representatives, governmental agencies, and other end users. The Specialist in CE systemize knowledge, technologies, and practices in their area of responsibility and disseminate this information through the use of leaflets, newsletters, bulletins, news releases, electronic media, etc., and also by presenting this information or arranging for its presentation at workshops, meetings, short courses, field demonstrations, and other educational programs. The program should extend knowledge and information to those clientele groups to assist them in their abilities to understand and address problems facing them. The program should serve the University's outreach mission. Outreach applies intellectual expertise to identify issues and communicate solutions within the community or society. Activities could include interaction with other Specialists in CE, Advisors, workgroups, and programs; developing and presenting educational materials; preparing and distributing newsletters to clientele groups; participating in meetings with clientele; working with public or private schools; teaching University Extension courses or short courses; developing and presenting in-service training courses; organizing and/or participating in workshops, field tours, or symposia.

- Effectiveness of training programs, leadership support, and cooperation provided to County CE personnel or clientele
- Range of educational methods used, with new or improved educational methods utilized
- Use by County CE personnel and/or clientele of information or educational products developed (e.g., publications, audio-visual packages, media releases, software, etc.)
- Use by colleagues, AES researchers, etc., of field problem definitions and related information
- Contribution to overall program analysis, planning, and accomplishment
- Change in clientele or industry practices as a result of educational efforts
- Design and use of systematic methods to assess social or economic benefit of activities or programs
- Effective leadership of, or teamwork with, County CE personnel to identify and reach a broad range of clientele

(2) Performance in Mission-Oriented Research and Creative Activity - Specialists in CE are expected to develop, conduct, and publish the results of applied research. Specialists in CE provide leadership for planning and coordination of research related to their area of specialization. They conduct and publish results of research directed toward resolution of significant issues or problems independently; in addition, they may work in collaboration with departmental researchers, other researchers, or CE personnel. The research should be reflected in a mix between technical non-refereed and technical refereed publications. Specialists in CE should have a program of applied mission-oriented research or creative work that supports the extending knowledge program. The term mission-oriented research describes that area in the research continuum that extends from basic research to the application or extension of research information. This research may be very applied in nature and has, as a goal, the solution of a problem facing society related to the production and utilization of food, fiber, and natural resources, or in the area of human resources, in contrast to the goal of creating knowledge for the sake of a discipline. The publication outlets used should be appropriate for reaching the segments of society facing the problem

dealt with, as well as other professionals seeking solutions for the problem. Activities may include publishing articles in popular and trade/industry magazines; writing articles for newspapers, radio, or visual media; developing computer software; writing newsletter articles; and publishing articles refereed or peer-reviewed in scholarly journals.

- Publication of research and/or creative activity in appropriate outlets, including peer-reviewed journals and shared authorship papers
- Ability to translate effectively disciplinary information to lay terms and vice versa
- Leadership in research and/or creative activity
- New technology, practices, or adaptations developed as a result of research activities; the role of the Specialist in shared or joint developments should be identified
- Relationship of research and/or creative activity to overall priorities and goals

(3) Professional Competence and Activity (Review Panels, Professional Societies, Honors, Invited Presentations/Papers, National/International Recognition) - Specialists in CE are expected to regularly engage in professional activity which is directly related to their professional expertise and achievement.

- Type and degree of participation in disciplinary and professional societies
- Professional competence or recognition, including awards, honors, fellowships, grants, peer and non-peer respect, collegial testimony

(4) Extramural Grant Activity - as relevant and appropriate, the candidate shall provide a list of all grant activity, including research grants, training grants, facilities grants, etc., listed on a separate page in the format shown in Attachment F of the Call.

(5) University and Public Service - Specialists in CE are expected to serve on committees at the department, College, campus, regional, system-wide, and national levels. They provide leadership for education of the public regarding issues relevant to their area of expertise, maintain liaison, and respond to county, State and federal agencies, industry organizations, and related external groups. They participate in the affairs of appropriate professional societies and funding agencies and review research proposals, journal manuscripts, and publications in their area of expertise. Specialists in CE are evaluated on both the amount and the quality of their service to the department, the College, the campus, the University, and the public, with particular attention to that service which is directly related to their professional expertise and achievement. 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.

- Contribution to programmatic, administrative, or organizational direction and leadership
- Commitment and effectiveness in development and maintenance of productive cooperative relationships (e.g., committee service, workgroup participation, etc.)
- Specialist's institutional leadership, exercise of peer responsibilities, and effectiveness in developing and maintaining cooperative efforts among researchers, industry, citizens, CE staff, and others

- Effectiveness in developing and maintaining liaison and cooperative working partnership between CE, industry, research agencies, and others involved in the program
- Effort and effectiveness in aiding and counseling peers and non-peers

(6) Extension Activity - The checklists for merit, appraisal, promotion, advancement or quinquennial review actions include a section entitled “Extension Activity.” This section should include:

- Interaction with other Specialists in CE, Advisors, workgroups, and programs, which result in activities such as development and presentation of educational materials
- Preparation and distribution of newsletters to clientele groups
- Participation in meetings with clientele
- Work with public or private schools
- Instruction of University Extension courses or short courses
- Development and presentation of in-service training courses
- Organization and/or participation in workshops, short courses, field tours, or symposia

Include those activities which educate CE Advisors or other clientele groups to serve County, regional, institutional, or industry needs. Evidence of accomplishments would include preparation of publications directed to user groups and decision-makers in agricultural and natural resources and to consumer groups; establishment of computer networks; and preparation of films, videotapes, slide sets, etc. Do not repeat those items which are listed under Professional Activity and University/Public Service.

(7) Specialists in CE with a Professorial (I&R) Title - In addition to the responsibilities normally associated with Specialists in CE, those holding fractional I&R appointments are expected to play a role in resident instruction and graduate education within academic departments. The extent of involvement will vary depending upon the percent of I&R appointment, but generally will involve responsibility for an academic class. Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. More than one kind of evidence should accompany each file. For examples of evidence for teaching effectiveness, see APM 210-1-d-(1). Additionally, the research component of an I&R appointment carries with it an expectation of concept-oriented or basic research. The expected degree of accomplishment in this area also will vary depending upon the percent of I&R appointment. This type of appointment will require review by the CAP (for the I&R portion of the appointment), and final authority is with the Chancellor for appointments at Assistant IV and above.

(8) Specialists in CE with an Agronomist (OR) Title - The goals of the Specialist in CE component of an appointment of a person with a split CE/OR appointment are parallel to the missions of the AES and may overlap them. The goal of the Specialist in CE is to develop and conduct a research-based education program aimed at appropriate clientele groups off-campus. On the other hand, the role for the AES component of the appointment is to carry out research or other creative activity, the work being aligned to the mission of the AES. Research done for the CE portion of the appointment in many cases may be identical to the research done for the AES portion of the appointment, as the mission of the AES may align well with the academic direction of the appointee’s discipline and outreach program.

However, work for the AES in some cases may differ substantially in content. An AES appointee is also expected to teach and perform other outreach activities, but the purpose of these activities is to provide people and groups served by the mission of the AES with information derived from or related to the research of the appointee. This teaching may occur on or off-campus. Frequently, a person with a split appointment may use research-based information from the AES portion of the appointment in his or her Extension teaching. Professional competence activities of the AES portion should serve the academic discipline in a way appropriate to the professional interests and skills of the appointee. The professional competence activities for the AES portion of a split appointment clearly overlap with the professional competence activities of the CE portion of the appointment. In a similar way, the service component of an AES appointment is guided by the organizational needs of the AES and the needs of the clientele as they relate to the mission of the AES. The service work for the CE portion of an appointment may overlap considerably with the service work done for the AES portion of the appointment because both are based upon the research competence of the appointee and organizational needs of the University and the community.

It should be clear to persons with split FTE appointments and to those evaluating accomplishments of those persons, that the goals and missions of both components of a split FTE appointment must be met, whether they are met by identical or discrete accomplishment. Specialists in CE holding fractional OR appointments will be expected to have one or more Agricultural Experiment Station (AES) projects supported by Federal and State funds earmarked for mission-oriented research, both basic and applied, and consistent with the academic plan and mission of the College, as well as the California AES.

Although reviewers shall be rigorous and objective in evaluating a candidate's qualifications within the established criteria, reviewers shall exercise reasonable flexibility in balancing, when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another area. However, this balance may not be achieved by an absence of performance in any of the specified areas. In order to achieve a synergy, the partial appointments in each series have to be realistically evaluated with an eye toward encouraging the synergy. A merit increase or promotion is based on individual qualifications and meritorious performance and is not automatic after a stated number of years of service.

Regular merits and accelerated merits for CE and CE/OR appointees are Dean's final, whereas, 5th year appraisals, advancements and promotions are Chancellor's final. Refer to the chart on page 5 for the specific levels of review and final authority.

Advancement to a higher step before normal eligibility constitutes 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, the minimum criterion is excellence in all areas of review during the abbreviated review period. 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 promotion review examines the candidate's entire file with respect to the criteria set forth in the Call. Advancement to Specialist in CE Step VI and Above-Scale examine the candidate's file with respect to the criteria for such advancement. The question of acceleration should not be an issue in promotion to Associate Specialist in CE and Specialist in CE cases or advancements to Specialist in CE VI and Specialist in CE Above-Scale cases: the issue is whether the candidate has met the criteria for the rank and step proposed, not whether the criteria has been met in a particular time frame. A promotion is not considered an acceleration, regardless of years at rank or step when a candidate is advancing to the "normal" step in the next rank. In cases where movement to a lateral step is possible, the first step above the lateral step is considered the "normal" step. Regardless, departments may always elect to vote on the lateral step when advancement to the lateral step is deemed most appropriate. A vote on the lateral step would particularly be important if the vote on the "normal" step were less than unanimous.

In eFile, the same processes and documentation requirements apply with the entry, review, approval and routing done electronically via the eFile system.

V. Terms of Service

- (1) ASSISTANT RANK: An Assistant Specialist in CE at any percentage of time is normally appointed for the maximum term of two years (24 months) as a fiscal year appointment. The appointment may be made for a shorter term. Reappointment is normally considered at the time of the biennial merit review. The total University service with this title, either by itself or in combination with titles identified in APM 334-17-a., may not exceed eight years (96 months). For policies on computation of years of service in regard to periods of leave, temporary transfers, changes in status, and breaks in service, see APM 133. With proper justification and prior approval, the Chancellor or designee may grant exceptions to the eight-year limitation of service. The normal period of service at a given step is two years.
- (2) ASSOCIATE RANK: The Associate rank is reserved for Specialists in CE who demonstrate significant potential for a productive career. Promotion to this and higher ranks is reserved for individuals demonstrating superior intellectual attainment in extending knowledge and information and in research or creative activity. Candidates considered for promotion from the Assistant to Associate rank must have demonstrated an ability to set program priorities (including long-range planning), relate and interact well with colleagues and clientele, and have demonstrated initiative and leadership in total program development and delivery. Documentation of program results must show excellence in education and research. This should include peer reviewed publications and publications for clientele use. Documentation must include positive Affirmative Action commitment and efforts. Evidence must clearly indicate that the candidate is making creative contributions in both extension of knowledge and research.

All appointments to the ranks of Associate Specialist in CE and Specialist in CE are indefinite appointments with no ending date until terminated by layoff, retirement, demotion, dismissal, resignation, separation, or death. Although normal term of service as Associate Specialist in CE is six years, there is no obligation on the part of the University to promote an Associate Specialist in CE to the rank of Specialist in CE solely on the basis of years of service at the lower rank. The normal period of service in any

one of the first three steps is two years. For the last two steps, the normal period of service is three years.

The case of promotion to the Associate rank for Specialists in CE with an I&R FTE component constitutes a tenure action for the I&R portion of the appointment. This and higher ranks are reserved for individuals demonstrating superior intellectual attainment in teaching and research. Also, promotion to the Associate rank for Specialist in CE with an OR FTE component constitutes a tenure action for the OR portion of the appointment. Promotion of a Specialist in CE without an I&R or OR FTE component does not constitute a tenure action.

- (3) FULL RANK: Candidates considered for promotion from the associate rank to full Specialist in CE must have developed an excellent program in the four criteria for advancement, as well as continued demonstration of superior intellectual attainment in extending knowledge and information and in research or creative activity. Full title rank is reserved for individuals who are successful in terms of contributions to their discipline, intellectual development, program growth and depth, clientele and colleague respect, and professional improvement. Documentation of program results must show excellence in education and research. This should include peer reviewed publications and publications for clientele use. Documentation must include positive Affirmative Action commitment and efforts. Candidates for advancement at the full title rank are expected to have demonstrated long-range planning leadership within their program area. At the Specialist in CE rank, the normal period of service at step is three years in each of the first four steps.
- (4) FULL RANK STEPS V, VI, VII, VIII and IX: Service at Step V and higher may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V and will be granted on evidence of (1) excellent performance in extending knowledge and information, (2) highly distinguished scholarship, especially applied scholarship, and/or creative work, (3) excellence in professional competence and activity, and (4) highly meritorious University and public service. In addition, there should be great distinction, recognized nationally or internationally in the performance (1) of extending knowledge and information or (2) in scholarly and creative achievement.

Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to 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.

- (5) ABOVE SCALE: Advancement to an above-scale rank is reserved for CE Specialists of the highest distinction whose performance in the extension of knowledge is excellent and whose work has been internationally recognized and acknowledged. 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 a 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.

VI. Deferrals

The same procedures for deferral apply as for regular faculty members. See Deferral section of The Call. Use Attachment CE-2.

VII. Solicitation of Letters

- a. Farm Advisor/County Advisor Letters - letters of evaluation are required for merit, promotion, fifth-year appraisal, advancement and quinquennial review files. Input is essential, particularly if we are to look at the impact of programs on counties and clientele. Clientele include CE County Advisors, other Specialists in CE, AES researchers, growers, industry representatives, governmental agencies, and other end users. If Farm Advisor input is lacking or too few, as they sometimes are in certain program areas, input from other leaders (other Specialists in CE, industry, local, State and Federal agencies, commodity boards, etc.) may be solicited.
- b. Extramural Letters - are required for all appointment and promotion cases and for advancement to Specialist in CE VI and Specialist in CE Above Scale. Extramural letters are not required for merits, appraisals, or for merits within Above-Scale. Letters requesting extramural evaluations are critical and are used to assess achievement, particularly in the areas of research and professional activity.

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.

In the case of both letter solicitations from Farm Advisors/County Advisors and letters from extramural referees (applicable as noted above), letters should be requested from 3-6 individuals suggested by the candidate and from 3-6 individuals suggested by the department and/or chair, respectively; both lists should be adequately balanced between the candidate's suggestions and those of his/her colleagues.

Sample solicitation letters are provided in Model Letters A-F, respectively. The University of California policy on confidentiality (attachment A-7, page 24) is to be enclosed with the solicitation letters A through F for Farm Advisor/County Advisors Letters and Extramural Letters.

VIII. Formal Appraisal of Assistant Specialists in Cooperative Extension

Formal appraisal of Assistant Specialists in CE shall be made in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to Associate rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued employment in the Specialist in CE series. The general rules of APM 220-80 apply here. Use Checklist CE-1

Candidates are to be evaluated for their progress in establishing effective Extension programs, innovative research programs and, if applicable, teaching effectiveness.

- a. On the UCR campus, this appraisal is conducted in the Assistant Specialist in CE's fifth year of service, which is normally well in advance of possible promotion to the Associate rank. A case of initial appointment from outside the University, with anticipation of promotion within two or three years after appointment, obviously calls for an exception to the general rule. Each Assistant Specialist in CE shall be appraised with the title Assistant Specialist in CE or with this title in combination with other titles as defined in APM 334-17-a.
- b. No formal appraisal is required if, prior to the normal occurrence of an appraisal, the Assistant Specialist in CE is being recommended for promotion to take effect within a year, has given written notice of resignation, or has been given written notice of non-reappointment.
- c. The Chancellor shall promulgate appropriate procedures to conduct this appraisal.
- d. The Chancellor or designee shall make the final determination concerning the outcome of an appraisal, taking into account all the available evidence and the recommendations made in the course of the appraisal.
- e. The Chancellor shall inform the chair, through the Dean, of any decision and of any information or advice resulting from the appraisal that the Chancellor thinks might be helpful to the chair or the appointee. The possible outcomes for an appraisal are positive, qualified positive or negative. It is also possible that an appraisal review may lead to a recommendation for a non-reappointment. If so, procedures as outlined in APM 334-83 will be followed. If the appointee is to be given notice of non-reappointment or a terminal appointment, it is the responsibility of the Chancellor or designee to ensure that written notice is given in accordance with the schedule specified in APM 334-84.

IX. Procedures for Non-Reappointment for Academic Reasons of an Assistant Specialist in CE

The general provisions of APM 220-80 apply here. In addition:

- a. If a proposal not to reappoint an Assistant Specialist in CE is a result of a departmental review during consideration of reappointment, the case shall be reviewed in accordance with the provisions of APM 220-82.
- b. In the case of formal appraisal, reappointment, or promotion of an Assistant Specialist in CE, if the Academic Vice Chancellor's (or other appropriate officer's) preliminary assessment is to make a terminal appointment, is not to reappoint or promote, or is contrary to the departmental recommendation, see APM 220-84-b for the appropriate procedures.
- c. The Chancellor is responsible for a decision not to reappoint or to make a terminal appointment of an Assistant Specialist in CE. The Chancellor shall inform the chair, through the Dean or Provost, of a decision not to reappoint. The Chancellor or designee shall provide a written statement to the individual advising of the outcome of the personnel review.

X. Quinquennial Review

All CE Specialists, including those at open steps (CE Specialists V and above), are required to be reviewed every five years (APM 200-0 and 220-80-b). For such cases, the chair is to prepare a file with the candidate after the fourth year with no review. The candidate may choose to submit a merit, promotion (if appropriate) or quinquennial review file. Merit and promotion files would follow their normal procedures. Non-submission of materials by a faculty member will not constitute automatic deferral. If a faculty member does not submit materials by the departmental due date, the department will conduct the mandatory review based on the materials available in the department as of the due date. Use Checklist CE-5.

A quinquennial review file results in a satisfactory, satisfactory with qualifications 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 substantial and valuable service to the University and to the public, commensurate 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.

If a candidate does not provide the required material to prepare a quinquennial file, the Department Chair will inform the Dean in writing and detail the circumstances.

In the absence of unusual mitigating circumstances, the candidate's performance will be deemed unsatisfactory.

Should an evaluation result in a review decision of "unsatisfactory," the candidate can expect guidance from the Department Chair, Dean, and/or the Chancellor's office.

A deferral does not qualify as a Quinquennial Review.

XI. **Reappointment of Assistant CE Specialists**

Appointment of an Assistant CE Specialist is typically made for a maximum term of two years with renewal occurring biennially at the conclusion of a positive merit evaluation. Alternatively, an Assistant CE Specialist may *choose* to submit a reappointment file in lieu of a merit file during any period of merit eligibility. Assistant CE Specialists who receive a denied merit are reappointed for only one year and are required to submit a review file the following year. The candidate may elect to submit a merit consideration or a reappointment, provided a mandatory (7th year) promotion is not due. Appraisal eligibility is independent of assistant CE Specialists merit or reappointment eligibility. Possible outcomes of a reappointment review are 1) a positive review resulting in a two-year appointment extension; or 2) non-reappointment with a terminal year. In the latter case, the procedures as outlined in [APM 334-84](#) will be followed. If an Assistant CE Specialist does not provide the required material to prepare a merit or reappointment file, the Department Chair will inform the Dean in writing and detail the circumstances. In the absence of unusual mitigating circumstances, the preliminary consideration will be for non-reappointment with a terminal year and the procedures as outlined in [APM 334-84](#) will be followed.

XII. Academic Senate Membership

Specialists in CE who hold a partial I&R appointment with a professorial title are members of the Academic Senate. Specialists in CE and Specialists in CE with an OR FTE appointment are not members of the Academic Senate.

XIII. Voting Privileges

Each department may, by following the procedures that are set out in Academic Senate Bylaw 55 for the extension of the right to vote to lesser professorial ranks, choose to extend the privilege to participate to Specialists in CE without I&R appointments. Such extension may only be granted by a 2/3 vote of the tenured departmental Senate faculty, and it is subject to review by the Committee on Academic Personnel. Thus, these Specialists in CE would be able to read the personnel files, participate in the department meeting, and cast an advisory vote.

XIV. Salary

Authorized salary scales established for this series are issued by the Office of the Provost and Senior Vice President--Academic Affairs. Compensation at each rank and step shall be the same as for the comparable rank and step in the scale for the Ladder-Rank Professor Series, Fiscal Year. All new appointments shall be made on this scale. Specialists with a split CE/OR appointment are placed on the Professional Research Series and the Professorial (Professor Series, Fiscal Year) respectively, according to the percentages of the split appointment.

XV. Extension Requests

A request for a late submission of the file must be for extraordinary reasons and be approved by the VPAP (I&R split) prior to the final due date for submission to the Dean's office published in [Section I of the CALL](#). Such a request must be forwarded to the Dean's office and will specify the reason for the delay and include the estimated date when the file will be received in the Dean's Office. 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. If the estimated submittal date is beyond the final date for files to be received by the Academic Personnel Office (first Monday in May), the extension request must also be approved by CAP. The Deans, CAP and the VPAP 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 or beyond the final due date listed may be returned for re-submission during the next academic year.

XVI. Conditions of Employment

The following is an abbreviated list of conditions of employment which apply to appointment to a title in this series. For a complete list, please see APM 334-20.

- a. Neither tenure nor security of employment is acquired by appointment in this series.
- b. Continued appointment must be justified by a high level of achievement and performance.
- c. When an appointment is to be terminated, written notice by the appropriate administrative authority shall be given in advance of the termination date in accordance with the following schedule:
 - (1) In the event of unsatisfactory job performance: See APM 150.
 - (2) In the event of discontinuance of the program, function, or position in the organization for programmatic reasons: not less than a three-month notice will be given appointees with less than three years of service; and not less than a four-month notice will be given to appointees with service of three years or more. Appropriate pay in lieu of notice may be given.

- (3) In the event funding is no longer available: not less than a one-month notice will be given whenever feasible.
 - (4) In the case of dismissal for serious misconduct, termination may be made with no advance notice.
 - (5) For non-reappointment for academic reasons of an Assistant Specialist in CE as a result of academic personnel review, see APM 334-84.
- d. In the event of termination of an appointment in this series because of lack of work, lack of funds, or programmatic change, the provisions of the University Academic Non-Senate Layoff Policy (APM 145) apply.
 - e. The provisions of APM 140 concerning the University Grievance Policy for academic non-Senate appointees are applicable to appointees in this series.
 - f. The provisions of APM 150 regarding corrective action and dismissal for non-Senate academic appointees are applicable to appointees in this series.

XVII. [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	Page
Appraisal	Attachment CE-1	25
Deferral	Attachment CE-2	26
Merit	Attachment CE-3	27
Promotion to Associate Specialist in CE	Attachment CE-4	28
Promotion to Specialist in CE	Attachment CE-4	28
Advancement to Specialist in CE VI	Attachment CE-4	28
Advancement to Above-Scale	Attachment CE-4	28
Advancement within Above-Scale	Attachment CE-4	28
Quinquennial Review	Attachment CE-5	29

Specialist in Cooperative Extension

MODEL LETTER A

The following text must be included in solicitation of letters (to extramural reviewers) of evaluation for academic appointment or promotion to Associate Specialist in CE (1.00 CE FTE), or for academic appointment or promotion to full title Specialist in CE (1.00 CE FTE). < The Chair may add to this language.>

Dear _____:

The Department of _____ is evaluating _____ for possible appointment (or promotion) to the rank of Associate Specialist in CE (or Specialist in Cooperative Extension). I write to ask whether you might be willing to assist us in this regard by providing a written evaluation of _____'s accomplishments, emphasizing (his/her) performance in the four criteria described below. Your evaluation is crucial in maintaining the highest scholarly standards of the University of California.

For Associate Rank:

The Associate rank is reserved for Specialists in CE who demonstrate significant potential for a productive career. Promotion to this and higher ranks are reserved for individuals demonstrating intellectual attainment in extending knowledge and information and in research and creative activity. The four criteria used for assessing the performance of a Specialist in CE are: 1) performance in extending knowledge and information in a specialty area; 2) performance in mission-oriented research and creative activity; 3) professional competence and activity; and 4) University and public service.

For Full Rank:

Candidates considered for promotion from the Associate rank to full Specialist in CE must have developed an excellent program in the four criteria of performance in extending knowledge and information in a specialty area, performance in mission-oriented research and creative activity, professional competence and activity, and University and public service for advancement, as well as continuing to demonstrate superior intellectual attainment in extending knowledge and information and in research and creative activity.

Please add your own description and evaluation of _____'s career accomplishments and potential achievements in whatever terms you feel would best apply.

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

Specialist in Cooperative Extension

MODEL LETTER B

The following text must be included in solicitation of letters (to extramural reviewers) of evaluation for academic appointment or promotion to Associate Specialist in CE (split CE & I&R FTE), or for academic appointment or promotion to full title Specialist in CE (split CE & I&R FTE). <The Chair may add to this language.>

Dear _____:

The Department of _____ is evaluating _____ for possible promotion to the rank of Associate Specialist in CE (or Specialist in CE) (___%) and Associate Professor (or Professor) (___% with tenure). I write to ask whether you might be willing to assist us in this regard by providing a written evaluation of _____'s accomplishments, emphasizing (his/her) performance in teaching as well as the four criteria described below. Your evaluation is crucial in maintaining the highest scholarly standards of the University of California.

For Associate Rank:

The Associate rank is reserved for Specialists in CE who demonstrate significant potential for a productive career. Promotion to this and higher ranks are reserved for individuals demonstrating intellectual attainment in extending knowledge and information and in research and creative activity. The four criteria used for assessing the performance of a Specialist in CE are: 1) performance in extending knowledge and information in a specialty area; 2) performance in mission-oriented research and creative activity; 3) professional competence and activity; and 4) University and public service.

For Full Rank:

The full rank is reserved for Specialists in CE who have developed an excellent program in the four criteria for advancement, as well as continued demonstration of superior intellectual attainment in extending knowledge and information and in research and creative activity. The four criteria used for assessing the performance of a Specialist in CE are: 1) performance in extending knowledge and information in a specialty area; 2) performance in mission-oriented research and creative activity; 3) professional competence and activity; and 4) University and public service.

In addition to the responsibilities normally associated with Specialists in CE, those holding fractional I&R appointments are expected to play a role in resident instruction and graduate education within academic departments. The research component of this appointment carries with it an expectation of concept-oriented or basic research. We would appreciate your evaluation of the candidate's teaching, if you have the basis for such an evaluation.

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 measure 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.

Please add your own description and evaluation of _____'s career accomplishments and potential achievements in whatever terms you feel would best apply.

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

Specialist in Cooperative Extension

MODEL LETTER C

The following text must be included in solicitation of letters (to extramural reviewers) of evaluation for academic appointment or promotion to Associate Specialist in CE (split CE & OR FTE), or academic appointment or promotion to Specialist in CE (split CE & OR FTE). < The Chair may add to this language.>

Dear _____:

The Department of _____ is evaluating _____ for possible promotion to the rank of Associate Specialist in CE (or Specialist in CE) (____%) and Associate _____(or _____) (____% with tenure). I write to ask whether you might be willing to assist us in this regard by providing a written evaluation of _____'s accomplishments, emphasizing (his/her) performance in research, as well as the four criteria described below. Your evaluation is crucial in maintaining the highest scholarly standards of the University of California.

If Applicable:

Promotion to the Associate rank for Specialists in CE with an OR FTE component constitutes a tenure action for the OR portion of the appointment.

For Associate Rank:

The Associate rank is reserved for Specialists in CE who demonstrate significant potential for a productive career. Promotion to this and higher ranks are reserved for individuals demonstrating superior intellectual attainment in extending knowledge and information and in research and creative activity. The four criteria used for assessing the performance of a Specialist in CE are: 1) performance in extending knowledge and information in a specialty area; 2) performance in mission-oriented research and creative activity; 3) professional competence and activity; and 4) University and public service. In addition, Specialists in CE with a fractional OR (AES) FTE appointment are expected to carry out mission-oriented research, both basic and applied.

For Full Rank:

The full title rank is reserved for individuals demonstrating superior intellectual attainment in extending knowledge and information and in research and creative activity. The four criteria used for assessing the performance of a Specialist in CE are: 1) performance in extending knowledge and information in a specialty area; 2) performance in mission-oriented research and creative activity; 3) professional competence and activity; and 4) University and public service. In addition, Specialists in CE with a fractional OR (AES) FTE appointment are expected to carry out mission-oriented research, both basic and applied.

Please add your own description and evaluation of _____'s career accomplishments and potential achievements in whatever terms you feel would best apply.

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

Specialist in Cooperative Extension

MODEL LETTER D

The following text must be included in solicitation of letters (to extramural reviewers) for advancement to Specialist in CE VI (1.00 CE FTE, split CE & I&R FTE, or split CE & OR FTE). < The Chair may add to this language.>

Dear _____:

The University of California, Riverside is conducting an exceptional review of the scholarly record of _____ for the rank of Specialist in CE, 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. 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 Specialist in CE 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) Specialist in CE, we look for further evidence of superior intellectual attainment and excellence beyond that which was achieved for promotion to Associate Specialist in CE, and for significant impact within the scholarly community.

The next full career evaluation is typically made in connection with advancement to Specialist in CE, Step VI. The criteria for advancement to Specialist in CE, Step VI, requires evidence of excellence and high merit in performance in extending knowledge and information; in scholarship, especially applied scholarship, and/ or creative achievement; in professional competence and activity; and in service. In addition, there should be great distinction, recognized nationally or internationally in the performance of (1) extending knowledge and information or (2) in scholarly and creative achievement.

If Applicable

Your evaluation should also consider the fact that _____'s appointment is ___% in Cooperative Extension and ___% as a _____ in the Agricultural Experiment Station (or ___% as an I&R Professor).

If Applicable

In addition, Specialists in CE with a fractional OR (AES) FTE appointment are expected to carry out mission-oriented research, both basic and applied.

If Applicable

In addition to the responsibilities normally associated with Specialists in CE, those holding fractional I&R appointments are expected to play a role in resident instruction and graduate education within academic departments. The research component of this appointment carries with it an expectation of concept-oriented or basic research. We would 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 enclosed University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

Specialist in Cooperative Extension

MODEL LETTER E

The following text must be included in solicitation of letters (to extramural reviewers) for advancement to Specialist in CE, Above-Scale (1.00 CE FTE, split CE & I&R FTE, or split CE & OR FTE). < The Chair may add to this language.>

Dear _____:

The University of California, Riverside is conducting an exceptional review of the scholarly record of _____ for the rank of Specialist in CE, Above-Scale. Each campus in the University of California system has only a small number of Specialists in CE, Above-Scale. 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 Specialist in CE 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) Specialist in CE, we look for further evidence of superior intellectual attainment and excellence beyond that which was achieved for promotion to Associate Specialist in CE, and for significant impact within the scholarly community.

The next full career evaluation is typically made in connection with advancement to Specialist in CE, Step VI. The criteria for advancement to Specialist in CE, Step VI, state that this step will be granted upon evidence of great distinction, recognized nationally or internationally in the performance of (1) extending knowledge and information or (2) in scholarly and creative achievement.

Specialist in CE, Above-Scale, represents an even higher standard. Our personnel rules state that advancement to this level “is reserved for Specialists in CE of the highest distinction whose performance in the extension of knowledge is excellent and whose work has been internationally recognized and acknowledged. Moreover, mere length of service and continued good performance at Specialist in CE, Step IX is not a justification. There must be demonstration of additional merit and distinction beyond the performance of which advancement to Step IX was based.”

If Applicable

Your evaluation should also consider the fact that _____’s appointment is ___% in Cooperative Extension and ___% as a _____ in the Agricultural Experiment Station (or ___% as an I&R Professor).

If Applicable

In addition, Specialists in CE with a fractional OR (AES) FTE appointment are expected to carry out mission-oriented research, both basic and applied.

If Applicable

In addition to the responsibilities normally associated with Specialists in CE, those holding fractional I&R appointments are expected to play a role in resident instruction and graduate education within academic departments. The research component of this appointment carries with it an expectation of concept-oriented or basic research. We would 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 enclosed University of California policy regarding the confidentiality of letters of evaluation which are included in the personnel review files.

Specialist in Cooperative Extension

MODEL LETTER F

The following text must be included in solicitation of letters (to Farm Advisors and/or other clientele) for evaluation in a fifth-year appraisal, merit advancement, promotion or quinquennial review file for Specialists in CE. <The Chair may add to this language.>

Dear _____:

For Appraisal:

The University of California requires a formal appraisal of Assistant Specialists in CE in their fifth year of service within that rank. _____, who holds an appointment as _____(____%), is currently under review for a formal fifth-year appraisal. The purpose of the appraisal is to arrive at a preliminary assessment of the prospects of a candidate for eventual promotion to the Associate rank.

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

For Merit or Promotion:

The Department of _____ is evaluating _____, who holds an appointment as _____(____%) and _____(____%) for possible promotion to the rank of Associate Specialist in CE (or possible merit advancement to _____). I write to ask whether you might be willing to assist us in this regard by providing a written evaluation of _____'s accomplishments, emphasizing (his/her) Extension activities (extension of knowledge and applied research).

_____ will be evaluated on his/ her (1) performance in extending knowledge and information, (2) performance in mission-oriented research and creative activity, (3) professional competence and activity, and (4) University and public service. Your evaluation should consider this information, as well as your direct knowledge of _____'s accomplishments.

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

For Quinquennial Review:

The University of California requires that every academic is reviewed no less than every five years. _____, who holds an appointment as _____(____%), is currently under review for a formal fifth-year evaluation. The purpose of the evaluation is to provide constructive feedback aimed at maximizing the candidate's effectiveness in the following areas: (1) performance in extending knowledge and information; (2) performance in mission-oriented research and creative activity; (3) professional competence and activity; and (4) University and public service. Your evaluation should consider this information, as well as your direct knowledge of _____'s accomplishments.

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

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 (including declinations) 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."

ATTACHMENT CE-1

CHECKLIST OF DOCUMENTS FOR **APPRAISALS** FOR ASSISTANT SPECIALISTS IN CE

Name: _____ Department: _____

Submit original and electronic copy.

**** = Confidential**

- A. Checklist of Documents in File
- B. Signed Procedural Safeguards Statement
- C. Chair's Letter (*optional*)
- D. Department Letter (must include vote)
- E. Minority Report (*if applicable*)
- F. Candidate's Response to department letter (*optional*)
- G. Candidate's Self-Statement (*optional, but strongly encouraged*)
- H. Candidate's Response to material in the file (*optional*)
- Indicate # Included ** I. Evaluation Letters from Farm Advisors evaluating Extension activities - (**required**)
 Include letters of declination and count in total number
 Include the following:
 Solicitation letter
 Indicate those suggested by department and by candidate, as well as a brief statement regarding academic standing of each letter writer
- Indicate # Included ** J. Student Letters Evaluating Teaching (*required if non-confidential teaching evaluations are not provided*)
 Solicitation letter or statement as to how obtained
- K. Current Position Description (for CE portion of appointment) & Position Description at last advance or at appointment, whichever is most recent; must include Affirmative Action Statement here
- L. Current Biography
- M. Current Bibliography of Publications/Creative Activity (*include candidate's contributions to joint-authored works since arrival at UCR*)
- N. List of Professional Activity and Service (*since appointment, include the current year*)
- O. List of University/Public Service (*since appointment, include the current year*)
- P. List of Extension Activity (*since appointment, include the current year*)
- Q. Grant Activity (*if applicable, since appointment, include the current year*)
- R. Teaching Load Data Form (*include teaching activity for the previous three years*)
- S. Student Evaluation of Teaching (*include evaluations for the previous three years*)
- T. Letters from other Departments/Programs/Institutes/Centers (*optional*)
- Indicate # Included ** U. Other – Confidential (specify item(s) below)

- V. Other – Non-Confidential (specify item(s) below)

- W. File of Publications/Creative Activity (*one copy only*)
 Package separately with cover list of contents and mark "Please return to the Department of _____"

_____ file sent to Dean's office

Dept chair initial & date

Received in Deans office	Returned for corrections			Received in APO	Returned for corrections		Sent to Ad Hoc	Ad hoc report received	Ad hoc report sent to Dean	Dean letter received in APO	Sent to CAP	CAP vote date	CAP minute received	Sent to VPAP	Sent to EVCP	Sent to Chancellor	Final Decision	Announced
	sent	sent	sent		sent	sent												
	sent	sent	sent		sent	sent												
	rcvd	rcvd	rcvd		rcvd	rcvd												

CHECKLIST OF DOCUMENTS FOR **MERITS** FOR ASSISTANT SPECIALISTS IN CE

Name: _____ Department: _____

Submit original and electronic copy.

**** = Confidential**

- A. Checklist of Documents in File
- B. Signed Procedural Safeguards Statement
- ** C. Chair's Letter (*optional*)
- D. Department Letter (*must include vote*) **2 page max**
- E. Minority Report (if applicable) **2 page max**
- F. Candidate's Response to the Department Letter (*optional*) **2 page max**
- G. Candidate's Self-Statement (*optional, but strongly encouraged*) **2 page max**
- H. Candidate's Response to material in the file (*optional*)
- Indicate # I. Evaluation Letters from Farm Advisors evaluating Extension activities - (*required*)
Included Include letters of declination and count in total number
Include the following:
 Solicitation letter
 Indicate those suggested by department and by candidate, as well as a brief statement regarding academic standing of each letter writer
- Indicate # J. Student Letters Evaluating Teaching (if applicable; *required if non-confidential teaching evaluations are not provided*)
Included Solicitation letter or statement as to how obtained
- K. Current Position Description (for CE portion of appointment) & Position Description at last advance or at appointment, whichever is most recent; must include Affirmative Action Statement
- L. Current Biography
- M. Current Bibliography of Publications/Creative Activity (*retained at CNAS Dean's Office*)
- N. Bibliography at Last Advance (*retained at CNAS Dean's Office*)
- O. Difference List with items to be credited since last advance (*blue paper*)
 Difference List cover sheet included (*blue paper*) (*optional*)
- P. Professional Activity and Service (*since last advance or last merit if following a lateral promotion; include the current year*)
- Q. University and Public Service (*since last advance or last merit if following a lateral promotion; include the current year*)
- R. Extension Activity (*since last advance or last merit if following a lateral promotion; include the current year*)
- S. Grant Activity (*if applicable, since last advance or last merit if following a lateral promotion; include the current year*)
- T. Teaching Load Data Form since last advance (*if applicable; include teaching activity for the previous three years or since the last advance; whichever period of time is shorter*)
- U. Student Evaluation of Teaching (*if applicable; include evaluations for the previous three years or since the last advance; whichever period of time is shorter*)
- V. Letters from other Departments/Programs/Institutes/Centers (*optional*)
- ** W. Other – Confidential (*specify item(s) below*):

- X. Other – Non-Confidential (*specify item(s) below*):

File sent to the Dean's Office

Dept chair initial & date

Received in Deans office	Returned for corrections			Received in APO	Returned for corrections		Sent to Ad Hoc	Ad hoc report received	Ad hoc report sent to Dean	Dean letter received in APO	Sent to CAP	CAP vote date	CAP minute received	Sent to VPAP	Sent to EVCP	Sent to Chancellor	Final Decision	Announced
	sent	sent	sent		sent	sent												
	sent	sent	sent		sent	sent												
	rvvd	rvvd	rvvd		rvvd	rvvd												

CHECKLIST OF DOCUMENTS FOR **PROMOTIONS** to ASSOCIATE SPECIALIST in CE OR SPECIALIST in CE, and **ADVANCEMENTS** to SPECIALIST in CE **VI**, SPECIALIST in CE **ABOVE-SCALE** OR **WITHIN** SPECIALIST in CE **ABOVE SCALE**

Name: _____ Department: _____

Submit original and electronic copy

** = Confidential

- A. Checklist of Documents in File
- B. Signed Procedural Safeguards Statement
- ** C. Chair's Letter (*optional*)
- D. Department Letter (*must include vote*)
- E. Minority Report (*if applicable*)
- F. Candidate's Response to the Department Letter (*optional*)
- G. Candidate's Self-Statement (*optional, but strongly encouraged*)
- H. Candidate's Response to material in the file
- Indicate # ** I. Extramural Letters (*required for promotions, to Step VI & to A/S*)
Included Include letters of declination and count in total number
Include the following:
 Solicitation letter
 Indicate those suggested by department and 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. Please include CV if sent to extramural reviewers. (See Section III.M)
- Indicate # ** J. Evaluation Letters from Farm Advisors evaluating Extension activities - (*Required*)
Included Include letters of declination and count in total number
Include the following:
 Solicitation letter
 Indicate those suggested by department and by candidate, as well as a brief statement regarding academic standing of each letter writer
- Indicate # ** K. Student Letters Evaluating Teaching (if applicable; *required* if non-*confidential* teaching evaluations are not provided)
Included Solicitation letter or statement as to how obtained
- L. Current Position Description (for CE portion of appointment) & Position Description at last advance or at appointment, whichever is most recent; must include Affirmative Action Statement here
- M. Current Biography
- N. Current Bibliography of Publications/Creative Activity
- O. Bibliography at Last Advance (*retained at CNAS Dean's Office*)
- P. Difference List with items to be credited since last advance (*blue paper*)
 Difference List cover sheet included (*blue paper*) (*optional*)
- Q. Professional Activity and Service (*see Section III.R of The Call for the period of review*) - include the current year
- R. University/Public Service (*see Section III.Y of The Call for the period of review*) - include the current year
- S. Extension Activity (*include the current year*)
- T. Grant Activity (*if applicable, see Section III.N of The Call for the period of review*) – include the current year
- U. Teaching Load Data Form (*if applicable; include teaching activity for the previous three years; see The Call, Section III.X for the period of review for listing Graduate Student Instruction*)
- V. Student Evaluation of Teaching (*include evaluations for the previous three years, to coincide with the teaching activity*)
- W. Letters from other Departments/Programs/Institutions/Centers (*optional*)
- ** X. Other – Confidential (*specify item(s) below*):

- Y. Other – Non-Confidential (*specify item(s) below*):

- Z. File of Publications/Creative Activity (one copy only; either on a flash drive, CD or in a binder)
Package separately with cover list of contents and mark "Please return to the Department of _____."

NOTE: For advancement to Specialist in CE VI, and within Specialist in CE Above-Scale, do not forward publications, but keep them available in the department.

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Dept chair initial & date

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	sent	sent	sent		sent	sent												
	sent	sent	sent		sent	sent												
	rcvd	rcvd	rcvd		rcvd	rcvd												

CHECKLIST FOR QUINQUENNIAL REVIEWS FOR SPECIALISTS IN CE

Name: _____ Department: _____

Submit original and electronic copy.

** = Confidential

- A. Checklist of Documents in File
- B. Signed Procedural Safeguards Statement
- ** C. Chair's Letter (*optional*)
- D. Department Letter (*vote required*)
- E. Minority Report (*if applicable*)
- F. Candidate's Response to the Department Letter (*optional*)
- G. Candidate's Self-Statement (*optional but encouraged*) **2 page maximum**
- H. Candidate's Response to the material in the file (*optional*)
- Indicate # ** I. Evaluation Letters from Farm Advisors evaluating Extension activities – (*Required*)
Included Include letters of declination and count in total number
Include the following:
 Solicitation Letter
 Indicate those suggested by department and by candidate, as well as a brief statement regarding academic standing of each letter writer
- J. Position Description (for CE portion of appointment) at last advance or at appointment, whichever is most recent; must include Affirmative Action Statement here
- K. Current Biography
- L. Current Bibliography of Publications/Creative Activity
- M. Bibliography at Last Advance
- N. Publication and Creative Activity during last 5 years (*include candidate's contributions to joint-authored works during last 5 years*)
- O. Professional Activity and Service (*for last 5 years, include the current year*)
- P. University/Public Service (*for last 5 years, include the current year*)
- Q. Extension Activity (*for last 5 years*)
- R. Grant Activity (*for last 5 years, if applicable*)
- S. Teaching Load Data Form (*if applicable*) (*showing last 5 years*)
- T. Student Evaluation of Teaching
Evaluations for all courses taught in last 5 years -- campus teaching evaluation forms, etc.
- ** U. Letters from other Departments/Programs/Institutions/Centers (*optional*)
- V. Other – Confidential (*specify item(s) below*):

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

File Tracking

_____ file sent to Dean's Office
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	sent	sent	sent		sent	sent												
	sent	sent	sent		sent	sent												
	rcvd	rcvd	rcvd		rcvd	rcvd												

CHECKLIST OF DOCUMENTS FOR REAPPOINTMENT OF ASSISTANT CE SPECIALISTS

Name: _____ Department: _____

Submit original and electronic copy:

- A. Checklist of Documents in File
- B. Signed Procedural Safeguards Statement
- C. Candidate Statement for Conflict of Commitment
- ** D. Chair's Letter (*optional*)
- E. Departmental Letter (*must include vote*) 2 page maximum
- F. Minority Report (*if applicable*) 2 page maximum
- G. Candidate's response to the Department Letter (*optional*) 2 page max
- H. Candidate's Self-Statement (*optional but strongly encouraged*) 2 page maximum
- I. Candidate's Response to material in the file (*optional*)
- Indicate # Included ** J. Evaluation Letters from Farm Advisors evaluating Extension activities - (*required*)
 Include letters of declination and count in total number
 Include the following:
 Solicitation letter
 Indicate those suggested by department and by candidate, as well as a brief statement regarding academic standing of each letter writer
- Indicate # included ** K. Student Letters Evaluating Teaching (*if applicable: required if non-confidential teaching evaluations are not provided*)
 Solicitation letter or statement as to how obtained
- L. Current Biography
- M. Current Bibliography of Publications/Creative Activity
- N. Bibliography (*since appointment*)
- O. Difference List with items to be credited since last advance or appointment (*optional*)
 Difference List cover sheet included (*optional*)
- P. Professional Activity and Service (*since appointment*)
- Q. University and /Public Service (*since appointment*)
- R. Grant Activity (*since appointment*)
- S. Teaching Load Data Form (*if applicable: since appointment*)
- T. Student Evaluation of Teaching (*if applicable: include evaluations since appointment*)
- U. Letters From Other Departments/ Programs/ Institutes/ Centers (*optional*)
- ** V. Other - Confidential (*specify item(s) below*):

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

**** Confidential**

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File Tracking

_____ file sent to Dean's office

Chair Signature & Date

Received in Deans office	Returned for corrections			Received in APO	Returned for corrections		Sent to Ad Hoc	Ad hoc report received	Ad hoc report sent to Dean	Dean letter received in APO	Sent to CAP	CAP vote date	CAP minute received	Sent to VPAP	Sent to EVCP	Sent to Chancellor	Final Decision	Announced
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	Sent	Sent	Sent		Sent	Sent												
	Recvd	Recvd	Recvd		Recvd	Recvd												