

June 20, 2016

[Advisory to Deans #AA2016-06](#)

**DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, ASSISTANT  
DEANS, CHAIRS, AND ACADEMIC PERSONNEL ANALYSTS**

Re: Academic Federation Step Plus Phase 1 Practice Change for Delegation of Authority

Dear Colleagues,

During the first year of Step Plus for the Phase 1 Federation members (Professional Researcher, Specialist in Cooperative Extension, Project Scientist, and Specialist series), I have seen multiple merit actions for these titles because the JPC recommended a 2.0-step advancement, even though the candidate elected to pursue a 1.0-step advancement only. While the opportunity to consider non-redelegated review for especially strong records is an important feature of the Step Plus program, the financial restrictions that sometimes constrain salary increases for soft-funded positions limit the value of additional non-redelegated review in such cases. Accordingly, after consultation with the Academic Federation, I am revising our practices to minimize unnecessary workload.

The following elements of our Step Plus practices for Phase 1 Academic Federation members remain unchanged for candidates who elect to accept any Step Plus final decision on the form *Notification of advancement eligibility for an Academic Federation member*. In such cases, an action initially proposed by the department as redelegated becomes non-redelegated if any subsequent reviewing body recommends a 2.0-step advancement or a high-level advancement that crosses a barrier step (see #10 of the [Key Features of the Step Plus System](#)). However, if no reviewing body recommends one of these non-redelegated advancement options, then the dean retains approval authority for a 1.0- or 1.5- step advancement, even if the dean disagrees with the review committee or department, so long as that decision is made within 60 days after the effective date.

The following change effective for the 2016-2017 review cycle, is intended to minimize unnecessary reviewing workload for cases in which the candidate has restricted his or her advancement options on the form *Notification of advancement eligibility for an Academic Federation member*. In such cases, if the action proposed by the department is redelegated and the JPC recommends a non-redelegated advancement (e.g. of 2.0 steps), the Dean retains approval authority for the redelegated advancement if the candidate selection on the form is also a redelegated action. This approach retains the JPC's recommendation in the candidate's personnel record, but eliminates the need for higher-level review that the candidate has elected not to pursue.

The delegation of authority for these titles has been updated accordingly. Please contact me if you have any questions, comments or concerns.

Sincerely,



Maureen L. Stanton  
Vice Provost, Academic Affairs  
Distinguished Professor, Evolution and Ecology

Professional Researcher (APM 310) Agronomist ( ___ in AES) (APM 320) Project Scientist (APM 311) Specialist in Cooperative Extension <sup>6</sup> (APM 334)	Dean's Review				Ad Hoc/Stand				Final Review	
	Department	Dean's Staff	Federation/Senate Joint Cte	Dean	VP - Academic Affairs Staff	Ad Hoc	Academic Senate/CAP	Federation/Senate Joint Cte	VP - Academic Affairs Staff	VP - Academic Affairs
<b>Appointment</b>										
Assistant Rank 1-3 (Researcher, Agronomist, Specialist in CE only)	I/R	RP	R/R	A						
Assistant Rank 4-5 (Researcher, Agronomist, Specialist in CE only)	I/R	RP		R/R	RP			R/R	RP	A
Associate Rank, Step 1 through Full Rank, Steps 1-9 and Above Scale (Research, Agronomist, Specialist in CE only)	I/R	RP		R/R	RP	O		R/R	RP	A
Assistant Project Scientist, Step 1 through Associate Project Scientist, Step 5 <sup>2</sup>	I/R	RP	R/R	A						
Full Rank Project Scientist, Step 1 to Above Scale	I/R	RP		R/R	RP	O		R/R	RP	A
<b>Reappointment</b>										
All ranks and steps	I/R	RP		A						
<b>Merit</b>										
First normal merit after appointment and first normal merit after promotion <sup>4</sup>	I/R	RP		A						
Asst. Rank, 2-6; Assoc. Rank, 1-3; Full Rank, Step 2-5 <sup>4</sup>	I/R	RP	R/R	A						
Assoc Rank, 4-5 <sup>3,4</sup>	I/R	RP	R/R	A						
Full Rank, Step 6 <sup>5</sup>	I/R	RP		R/R	RP	O		R/R	RP	A
Full Rank, Steps 7, 8, and 9 <sup>4,5</sup>	I/R	RP	R/R	A						
Full Rank, Above Scale <sup>5</sup>	I/R	RP		R/R	RP	O		R/R	RP	A
All Merits that skip a step	I/R	RP		R/R	RP	O		R/R	RP	A
<b>Promotion</b>										
Assistant Professional Researcher to Associate Professional Researcher or Associate Professional Researcher to Professional Researcher	I/R	RP		R/R	RP	O		R/R	RP	A
Assistant ___ in AES or Asst Specialist in CE to Associate ___ in AES or Assoc Specialist in CE	I/R	RP		R/R	RP	O		R/R	RP	A
Assistant Project Scientist to Associate Project Scientist or Associate Project Scientist to Project Scientist	I/R	RP		R/R	RP	O		R/R	RP	A
Associate ___ in AES or Assoc Specialist in CE to Full ___ in AES or Specialist in CE	I/R	RP		R/R	RP	O		R/R	RP	A
<b>Deferral</b>										
First and second year deferrals for ___ in AES and Specialists in CE only	I/R	RP		A						
Third year deferrals for ___ in AES and Specialists in CE only	I/R	RP		R/R	RP			R/R	RP	A
<b>Appraisal</b>										
Specialist in CE and ___ in AES	I/R	RP		R/R	RP	O		R/R	RP	A
<b>Five-Year Review</b>										
Professional Research Series and ___ in AES only	I/R	RP		R/R	RP		R/R		RP	A
<b>Joint Appointment</b>										
Joint Appointments are reviewed by all departments and deans' offices according to APM UCD 220 and in observation of the delegation of authority appropriate to respective action.										
<b>Appeal</b>										
Redelegated actions	I/R	RP	R/R	A						
Non-Redelegated actions	I/R	RP		R/R	RP			R/R	RP	A
<sup>1</sup> When faculty hold a Professor (or Professor In Residence) and Professional Researcher (or Agronomist) title the entire review is conducted in accordance with the Senate title.										
<sup>2</sup> If JPC and the Dean (or Vice Chancellor for Research) are in disagreement, final decision is forwarded to the Vice Provost										
<sup>3</sup> Merits to Associate IV and V are redelegated to the Dean, unless the candidate exceeds six years at rank.										
<sup>4</sup> The dean retains approval authority if the candidate selection on the "Notification of advancement eligibility for an Academic Federation member" form is a redelegated action, regardless of the committee recommendation.										
<sup>5</sup> Approval of salary rate above 47% of the maximum of the appropriate salary scale requires President/Regents approval										
<sup>6</sup> Specialist in CE, in conjunction with a Professor-series appointment, must be reviewed by JPC prior to comprehensive review by CAP										

A:	Approval Authority
RP:	Review for adherence to policy
I/R:	Initiate Action/Recommend
R:	Review
R/R:	Reviews/Recommends
O:	Optional Ad Hoc or Standing Committee review

Specialist (APM 330)	Dean's Review				Ad Hoc/Stand			Final Review	
	Department	Dean's Staff	Federation/Senate Joint Cte	Dean	VP - Academic Affairs Staff	Ad Hoc	Academic Federation/CAP	VP - Academic Affairs Staff	VP - Academic Affairs
<b>Appointment</b>									
Junior Specialist	I/R	RP		A					
Assistant Specialist, Steps 1 - Specialist, Step 5 <sup>1</sup>	I/R	RP	R/R	A					
Specialist Above Scale	I/R	RP		R/R	RP	O	R/R	RP	A
<b>Reappointment</b>									
All ranks and steps	I/R	RP		A					
<b>Merit</b>									
First normal merit after appointment and first normal merit after promotion <sup>2</sup>	I/R	RP		A					
Assistant Specialist, Steps 2 - Full Rank, Steps 1-5 <sup>2</sup>	I/R	RP	R/R	A					
To Full Specialist, Above Scale <sup>3</sup>	I/R	RP		R/R	RP	O	R/R	RP	A
Full Specialist, further Above Scale <sup>3</sup>	I/R	RP		R/R	RP	O	R/R	RP	A
All Merits that skip a step	I/R	RP		R/R	RP	O	R/R	RP	A
<b>Promotion</b>									
Assistant Specialist to Associate Specialist	I/R	RP	R/R	A					
Associate Specialist to Full Specialist	I/R	RP	R/R	A					
<b>Accelerated Promotion</b>									
Assistant to Associate Specialist, and Associate to Full Specialist	I/R	RP		R/R	RP	O	R/R	RP	A
<b>Joint Appointment</b>									
Joint Appointments are reviewed by all departments and deans' offices according to APM UCD 220 and in observation of the delegation of authority appropriate to respective action.									
<b>Appeal</b>									
Specialist Redelegated actions	I/R	RP	R/R	A					
Specialist Non-Redelegated actions	I/R	RP		R/R	RP		R/R	RP	A
<sup>1</sup> When Dean (or Vice Chancellor for Research) and JPC are in disagreement, final decision is forwarded to the Vice Provost.									
<sup>2</sup> The dean retains approval authority if the candidate selection on the "Notification of advancement eligibility for an Academic Federation member" form is a redelegated action, regardless of the committee recommendation.									
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