

July 1, 2016

[Advisory to Deans #AA2016-07](#)

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

RE: Changes to Delegation of Authority and packet requirements for Deferral and Five-Year Reviews and subsequent advancement reviews

Dear Colleagues:

After consultation with CAP, I am making the following changes to the processes and delegation for third- and fourth-year deferrals, five-year reviews, and subsequent advancement review. These changes are effective July 1, 2016 and shall be applied to the 2016-2017 academic review cycle. Please find all these changes reflected in the updated [Delegation of Authority](#) and [Checklists](#) for Deferral, Five-Year Review, Merit and Promotion.

Deferrals

Deferral reviews following a positive advancement review are redelegated to the home Dean or VC for final decision as follows:

- 1st-, 2nd-, 3rd-, and 4th-year deferral reviews are redelegated to the Dean.
- The joint dean will continue to make a recommendation on all deferral reviews.
- Committee review:
 - FPC review is optional for 1st- and 2nd-year deferral reviews.
 - FPC review is required for 3rd- and 4th-year deferral reviews.
- The 3rd-year deferral review must contain a Plan for Progress. Assess the suitability of the Plan for Progress.
- The 4th-year deferral review must contain an updated Plan for Progress with the Plan for Progress from the 3rd-year deferral appended.

Deferral reviews following an unsatisfactory 5-year review or a denied advancement review are redelegated to the home Dean or VC for final decision as follows:

- 1st- and 2nd-year deferral reviews are redelegated to the Dean.
- 3rd- or 4th-year deferrals after an unsatisfactory 5-year review or denied merit/promotion action are non-redelegated until the candidate positively advances.
- The joint dean will continue to make a recommendation on all deferral reviews.
- Committee review:
 - FPC review is required for the 1st- and 2nd-year deferral review after an unsatisfactory Five-Year Review or denied merit/promotion action.
 - CAP review is required for 3rd- and 4th-year deferral reviews after an unsatisfactory Five-Year Review or denied merit/promotion action.
- Any deferral review(s) following an unsatisfactory 5-year review must contain an updated Plan for Progress and all previous Plans for Progress. This applies to 1st- and 2nd- year deferral reviews following an unsatisfactory 5-year review.

Deferral reviews may be denied. The following requirements only apply to those candidates required to request a deferral of their advancement action (i.e., professors who have not yet achieved at least Professor, Step 5).

- The candidate is required to pursue the merit or promotion action the following year if any deferral review is denied. We recommend that a comment be added to the final decision that states something along the lines of: "Deferral denied. Submit <merit/promotion> action in 20XX-20XX."
- Deferral reviews following a positive advancement review:
 - If a 1st-year deferral is denied, the candidate is required to pursue an action the following year. Use the delegation of authority to determine the delegation of the next action.

- If a 2nd-year deferral is denied, the candidate is required to pursue an action the following year. Use the delegation of authority to determine the delegation of the next action. Please note that the next action may be a non-redelegated Five-Year Review instead of a merit/promotion review.
- If a 3rd-year deferral is denied, the candidate is required to pursue a non-redelegated action the following year regardless of the delegation of authority. Please note that the next action may be a non-redelegated Five-Year Review instead of a merit/promotion review.
- If a 4th-year deferral is denied, the candidate is required to pursue a non-redelegated action or 5-year review in the 5th year.
- Deferral reviews following an unsatisfactory Five-Year Review or denied merit/promotion review:
 - If a 1st-, 2nd- or 3rd-year deferral is denied, the candidate is required to pursue a non-redelegated action the following year, regardless of the delegation of authority.
 - If a 4th-year deferral is denied, the person is required to pursue a non-redelegated action or a Five-year review in the 5th year.

Reminder: Full-time faculty administrators who are below full Step 5 are not required to submit deferrals. They are still eligible to advance on their professorial title if they choose.

Five-Year Reviews

A Five-Year Review remains non-redelegated and is the Vice Provost's approval authority.

If a Five-Year Review is conducted following a 3rd- or 4th-year deferral review, the plans for progress from both deferrals must be submitted along with the Five-Year Review.

If a Five-Year Review is conducted 5 years after an unsatisfactory Five-Year Review, all the plans for progress since the first third year deferral must be included.

If the candidate has two consecutive unsatisfactory five-year reviews, the process for "termination for incompetent performance" will begin in accordance with the policy and procedure outlined in APM 075.

Recommendation: Strongly encourage that department faculty vote on the Five-Year Review. This may require updating voting procedures.

Reminder: Full-time faculty administrators are not required to submit 5-year reviews on their professorial title.

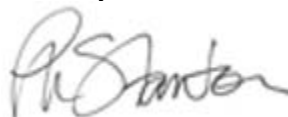
Advancement following Third- and Fourth-Year Deferrals and Five-Year Reviews

Any advancement following a 3rd year deferral is non-redelegated and all subsequent advancements are non-redelegated until the candidate positively advances.

The Plan(s) for Progress must be submitted along with any merit/promotion review until the candidate positively advances.

Thank you in advance for your support of these new processes.

Sincerely,



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