

August 8, 2011

**DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, VICE PROVOSTS, VICE CHANCELLORS**

**RE: 2011--2012 Call for Academic Personnel Advancement Actions, Including Academic Senate, and Academic Federation**

Dear Colleagues:

With this Annual Call for the 2011-12 academic year, I write to remind you of changes in policies, procedures, and interpretations that have taken place over the past year. These changes have been incorporated into the relevant UC Davis policy sections. They are summarized below.

I also want to remind you of our intent to adhere to the deadlines given in this document. Any request for extension of a deadline will require strong justification, and if granted, will not extend the deadline beyond a few days to a few weeks at most. Late actions for which an extension is not granted in advance will not be accepted. All actions that are normally delegated to the dean for approval that are not finalized by July 31, 2012 will need to come forward to this office for review and decision.

There have been numerous streamlining actions that have taken place in the last two years. A summary of these can be found at <http://academicpersonnel.ucdavis.edu/Streamlining.cfm> .

**GENERAL ISSUES**

**New – Significant Publications.** We have heard from review committees, including the Oversight Committee on Academic Personnel (CAPOC), that they would find it useful to have faculty indicate which publications are the most significant in terms of findings/impact and for which the faculty member has a significant role. This can be done by adding a footnote to the publication list, providing the information to the Chair to include in the departmental letter, and/or including the information in the candidate's statement. The most significant work should be limited to five publications.

**New – MyInfoVault (MIV).** If there is a direct link on the publication list to the manuscript, it will not be necessary to provide a reprint in the backup documents. If the link sends you to a web page where a search for the article is necessary, you will need to provide a copy of the article in the supporting documents.

**New – MyInfoVault (MIV).** Effective with the 2012-2013 actions, all merit and promotion actions at the Assistant and Associate ranks must be submitted in MIV – i.e., paper dossiers will not be accepted for these actions beyond the 2012-13 actions.

**Reminder- Clarification of Appeals versus Reconsiderations.** Information was distributed from the Senate clarifying appeals versus reconsideration in the form of a flow chart, available at: <http://academicssenate.ucdavis.edu/documents/Senate-Chair-letter-and-flowchart-RE-CERJ-Advice-Merit-Appeal.pdf> . As described in the chart, appeals are applicable when the faculty member who wishes to appeal should provide evidence of the personnel committee's failure to apply established standards of merit or failure to follow established procedure. Reconsiderations are applicable when new information is supplied that is not the result of a personnel committee's failure to apply established standards of merit or failure to follow established procedure. Please refer to the chart to see the steps of each process.

**Reminder – Extramural Letters in MyInfoVault (MIV).** For actions prepared in MIV, extramural letters may be uploaded into MIV.

**Reminder – My Info Vault (MIV).** We encourage those units that are not yet using MIV to prepare merit and promotion dossiers to do so. This will decrease errors and ultimately save time for staff and for reviewers.

**Reminder – Joint Appointments.** If a faculty member has a joint appointment and one department has the dossier in MIV and the joint department is not using MIV, a hard copy of the dossier will need to be sent to the joint department.

**Reminder - For actions prepared in MIV.** The following items, if written, need to be submitted in hard-copy with the supporting documentation.

- (1) Chair's Confidential Letter
- (2) Candidate's Rejoinder if submitted beyond the department level directly to the dean. Rejoinders submitted to the department may be uploaded into MIV.
- (3) Signed Position Description

Supporting documentation outside of MIV includes: copies of published or in press manuscripts, copies of acceptance letters for the in press items, and copies of student evaluations. If you have any questions about other documentation, please contact your academic personnel analyst or email [miv-help@ucdavis.edu](mailto:miv-help@ucdavis.edu).

**Reminder – Deadline for Submitting Appointments to the Vice Provost.** All proposed appointments effective July 1, 2012, that require the Vice Provost's approval, must be submitted to the Vice Provost office by May 14, 2012 to ensure they will be approved by the effective date. Any appointment dossier received after this date may not be approved by July 1<sup>st</sup>.

**Reminder – Sample Solicitation Letter.** No names and addresses should be included on the sample solicitation letter to identify the reviewer.

**Reminder – “Arms-length” Letters for Promotion Actions.** Extramural letters are to be obtained from reviewers recommended by the candidate and from reviewers selected independently by the chair, with the advice of other colleagues (“arms-length” evaluations). The department chair should select reviewers that are not on the candidate's list. At least half of the extramural letters should be from the department's list rather than the candidate's list. “Arms-length” evaluations are letters from sources without personal connections to the candidate. Letters from mentors, thesis supervisors, and collaborators are NOT “arms-length.”

**Reminder -- Consideration of Academic Collegiality\* in the merit and promotion process.** The Academic Senate Committee on Privilege and Tenure (P&T) examined the question of whether an individual's collegiality, or lack thereof, may be considered in merit and promotion actions. If collegiality becomes an issue in a personnel action, P&T asserted that the record forwarded should be particularly clear and factually well-supported. To that end, P&T recommended the following:

- “If non-collegiality is raised as an issue at the department level, the chair's letter to the dean must be specific about the nature of the allegations and should document examples of non-collegiality so that the individual under review can understand the allegations and respond accordingly. Specificity and substantiation in the chair's letter will help [reviewers] judge the merits of the allegation.
- If the departmental letter raises the issue of non-collegiality, the dean should fully explore and comment upon the allegations in [his/her] letter.”

\*Academic collegiality (or academic “citizenship” as it is sometimes called) is not a separate or additional area of performance for which the individual is to be evaluated but rather, falls within the context of the individual's record of teaching, research, professional competence and activity, and

University and public service [see the AAUP Statement on Professional Ethics (Appendix A in APM 210-1, <http://www.ucop.edu/academicpersonnel/apm/apm-210.pdf> )].

**Reminder- - Advancement Proposals and Faculty Retention Issues.** CAPOC has indicated that retention as a justification for advancement is inappropriate and should not be included in departmental and dean recommendation letters for merits and promotions.

**Reminder -- Approval Authority for Appeals.** When the dean is the delegated authority on a merit proposal and the original decision is made before the end of July and thus is not retroactive, the dean will continue to hold authority for the final decision following any appeal of that decision, even if the appeal process does not come to a final resolution until after July 31.

**Reminder – Academic Affairs Review of Dossier Content.** Because departments and deans' offices review dossiers for compliance with policy, Academic Affairs will limit its content review to the recommended action form and Action Tracking to ensure data integrity. It is the responsibility of the department and dean to ensure the accuracy of the information in the dossiers.

### ACADEMIC SENATE PERSONNEL ACTIONS

**Reminder -- A Career Equity Review (CER)** occurs coincident with a merit or promotion action. Separate requests/packets for this review should accompany the merit/promotion action. Only faculty who have held an eligible title, and have not been reviewed by CAPOC during the previous four academic years, can be considered for a CER. Career Equity Review decisions may be appealed through the standard appeal process for merits and promotions ([http://manuals.ucdavis.edu/apm/220\\_Proc5.htm](http://manuals.ucdavis.edu/apm/220_Proc5.htm)). For complete information on the CER program, refer to [http://academicpersonnel.ucdavis.edu/career\\_equity\\_main.htm](http://academicpersonnel.ucdavis.edu/career_equity_main.htm).

**Reminder-Dean's Recommendation.** CAPOC has agreed that if the dean concurs with the department recommendation the reviewing Dean may opt to write a statement indicating that he/she has reviewed the dossier and agrees with the recommendation of the department (in lieu of writing a detailed letter, unless there is new information to add to the dossier).

**Reminder – Advancement to Professor, Step VI.** Advancement to Step VI involves an “overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service. Above and beyond that, great academic distinction, recognized nationally, will be required in scholarly or creative achievement or teaching.” APM 220-18b.(4)

**Reminder – Advancement to Above-Scale.** “Advancement to an above—scale rank involves an overall career review and is reserved only for the most highly distinguished faculty (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious. Length of service and continued good performance at Step IX is not justification for further salary advancement.” APM 220-18b.(4)

**Reminder -- APM – 210. Instructions for Review and Appraisal Committees – effective July 1, 2005.** APM-210-1d was revised to recognize faculty efforts to promote equity and diversity. Such efforts should be considered in the context of the individual's overall record of teaching, research, professional competence and activity, and University and public service.

**Reminder – Five-Year Reviews.** When a candidate has a five-year review that does not result in advancement, the individual is immediately considered eligible for advancement the following year.

**Reminder - Normative Time for Steps V and Above.** Although faculty may remain at Steps V to Step IX for indefinite periods of time, the “normative” time at these steps between advancements is three years. Normative time at Step IX and at each “level” of Above-Scale is four years.

## ACADEMIC FEDERATION PERSONNEL ACTIONS

**Reminder-- Assistant Researchers, Assistant Adjunct Professors (at 50% time or more), and Health Science Assistant Clinical Professors (at 50% time or more).** These appointees have an 8 year limit at the Assistant rank. Because policy does not require a year of notice to these appointees, the promotion review must occur during their 8<sup>th</sup> year at the latest. This differs from professorial and other titles for which the University is required to provide a year of notice (i.e., a terminal year).

**Reminder – Position Descriptions.** When preparing position descriptions use the templates provided on the Academic Federation web site.

(<http://academicfederation.ucdavis.edu/personnel.cfm> ).

**Reminder -- Academic Federation Instructional Titles Not Covered by Collective Bargaining Agreement: (e.g., Adjunct Professors, Lecturers WOS, Supervisors of Physical Education, Health Sciences Clinical Professors, etc.).** For personnel actions (appointments, merits, promotions) of Academic Federation instructional titles that are not covered by a collective bargaining agreement, both Academic Senate and Academic Federation faculty may express opinions and may vote. The UC Academic Senate Systemwide Rules and Jurisdiction Committee has ruled that these opinions and votes must be reported in two separate letters. Each letter must discuss the opinions and vote of the group, but only one letter (either one) needs to provide the detailed evaluation of the file. All votes are confidential; therefore both the voting process and the reporting of the vote should be treated as such.

**Reminder -- Academic Federation Non-Instructional Titles [e.g., Academic Coordinators, Academic Administrators, Professional Researchers, Project (Scientists), Specialists in CE, Specialists, etc].** The department should have in place approved peer review and voting groups for all non-instructional Academic Federation personnel. For merits and promotions of Academic Federation titles that are not instructional and not covered by a collective bargaining agreement, the opinions of the approved Peer Group and the opinions and vote of the approved Voting Group at the unit/department level should be expressed separately but included in a single department letter.

**Reminder -- Promotion in Project (Scientist) Series.** When a department proposes the promotion of an appointee who was transferred from the Professional Research to the Project (Scientist) series, the review should include the work done while the individual was in the Professional Research series, if it is within the period of review.

## NEW AND REVISED ACADEMIC PERSONNEL POLICIES OR PROCEDURES

There were no new or revised academic personnel policies in 2010-11.

## DEADLINES FOR ACADEMIC PERSONNEL ACTIONS

**NOTE: Any retroactive action requires the review and approval of the Vice Provost – Academic Affairs, including actions normally redelegated to the Dean for approval. An action is retroactive if the decision of the dean is more than 30 days after the effective date of the action.**

The following deadlines have been established for arrival of files in the Office of the Vice Provost-Academic Affairs.

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| <b>November 14</b> | Recommendations for promotion to Associate and Full Professor (or equivalent titles)   |
| <b>December 5</b>  | Recommendations for merit increases to Step VI and all above-scale advancements<br><br>Recommendations for merit increases to Associate rank, Step IV and Step V   |
| <b>December 19</b> | Recommendations for other non-redelegated merit increases, including <ol style="list-style-type: none"><li>1. Accelerations that skip a step</li><li>2. Third action and beyond for department chairs</li><li>3. Associate Deans</li></ol> |
| <b>February 1</b>  | Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner.   |
| <b>March 5</b>     | Recommendations for merit increases and promotions for Librarian titles (including Law Librarian and Assistant, Associate University Librarian)  |
| <b>April 9</b>     | Appraisals from the deans' offices   |
| <b>May 14</b>      | Recommendations for appointments that require Vice Provost or Chancellor approval for actions effective July 1, 2012   |

**Other deadlines/actions:**

- Deferrals and 5-year reviews are due in the Office of the Provost at the time the corresponding regular action would be due.
- **Extensions must be requested prior to the due date of the action. No extensions for the submission of proposals for merits or promotions will be granted without strong justification.**

Thank you for your assistance and cooperation in making the complex advancement process at UC Davis work as well as it does.

Sincerely,



Barbara A. Horwitz  
Vice Provost-Academic Affairs