

From: Maureen Stanton
Sent: Tuesday, August 21, 2012 10:59 AM
Subject: Addendum to 2012-13 Annual Call for Academic Personnel Advancement Actions

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

CC: ASSISTANT DEANS AND ACADEMIC PERSONNEL ANALYSTS

Dear Colleagues:

As you will recall, I recently increased the minimum number of outside letters for promotions and high-level merit actions from five to six, with at least three of those letters required to be arm's-length. However, in recognition that many department chairs have already requested and received the outside letters for their promotions and high-level merit actions that are due early this fall, I am amending this requirement for the 2012-13 academic year only. We will continue to allow a minimum of five outside letters (at least three of which must be arm's length) for promotion and high-level merit packages that are submitted to my office by their deadline (i.e., November 13, 2012 and December 3, 2012). All dossiers submitted after that time must include the new minimum of six letters.

Best regards,

Maureen Stanton

Maureen L. Stanton
Vice Provost—Academic Affairs
Professor of Evolution and Ecology
University of California, Davis
One Shields Avenue
Davis, CA 95616-8558
Phone: (530) 752-2072
Fax: (530) 752-6359
Email: mlstanton@ucdavis.edu
Web site: <http://academicpersonnel.ucdavis.edu/>

Revised: August 14, 2012

DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, VICE PROVOSTS, VICE CHANCELLORS**RE: 2012—2013 Call for Academic Personnel Advancement Actions, Including Academic Senate, and Academic Federation**

Dear Colleagues:

With this Annual Call for the 2012-13 academic year, I write to remind you of changes in policies, procedures, and interpretations that have taken place over the past year. These changes are in the process of being 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, 2013 will need to come forward to this office for review and decision.

GENERAL ISSUES

New – Pilot to Redelegate Merits to Associate Professor, Step IV and V. As a collaboration between Academic Affairs and CAP, 2012-13 will be the first year of a 2-year pilot program in which “regular” merits to Associate Professor, Step IV and V will be redelegated. To be redelegated as a “regular” merit under this pilot program, a proposed action must meet the following criteria: (1) the faculty member has been at rank for 4 years or less, (2) the faculty member moved into rank at Associate Professor, Step II or above, and (3) the faculty member has not had any deferrals in the Associate rank.

New – Labeling of Extramural Letters. In an effort to make the review of dossiers more efficient, each extramural review letter should be labeled with the following, additional information on the top right corner of the first page.

- First, each referee should be identified as being from either the “candidate list” or the “department list”.
- Second, each letter should be identified as being “arm’s length” or “**not** arm’s length”, according to the opinion of the department chair.

Clarification – Arm’s Length Letters. When extramural letters are required for a personnel action, a minimum of six letters should be included in the dossier (6-8 is ideal), at least three of which should clearly be “arm’s length”. In short, at least three of the letters included in the promotion or high-level merit dossier should be from individuals who are independent of the candidate, who are eminent scholars in the field, and who are able to provide objective, “arm’s length” assessment of the candidate’s work. Use of external referees whom the reviewers may not regard as objective or independent, either because they are too close to the appointee professionally (collaborators, thesis supervisors, personal friends, teachers, etc.) or because they have a personal relationship with the appointee, may be included if they shed light on collaborations, but these letters should clearly be indicated as not being “arm’s length” evaluations, as described above. Letters from mentors, thesis supervisors and collaborators are not “arm’s length”. An effort should be made to contact individuals who have not contributed letters for prior reviews for the same candidate. It is also desirable to have some referees who are familiar with the UC rank and step system, especially for Step VI, Professor, Above Scale and accelerated promotion, since referees from within the University (outside UC Davis) can speak to the issue of the appropriateness of the step and magnitude of the acceleration.

New – MyInfoVault (MIV) – Creative Activities List. Beginning with 2012-2013 actions, MIV now supports a Creative Activities List that will be primarily used by Humanities, Arts & Cultural Studies. The Creative Activities List allows academic appointees to accurately represent their creative activities in their review dossiers in MIV. Creative Activities can include (but are not limited to) work in studio arts (drawing, painting, photography, sculpture), design (fashion, lighting, textiles), music or dramatic composition, musical or dramatic presentations, etc. that are showcased in venues such as catalogs, exhibitions (group or solo), performances, etc. If you have any questions, please contact MIV help at miv-help@ucdavis.edu.

New – MyInfoVault (MIV) – Candidate’s Diversity Statement for Teaching, University & Public Service, and Scholarly & Creative Activities. Beginning with 2012-2013 actions, MIV now provides candidates with the ability to include an optional, separate statement in their dossier that describes contributions to diversity in teaching, university and public service, and scholarly and creative activities in accordance with APM 210. See Appendix A for examples of these activities and a screen shot of the MIV data entry screen.

Clarification – Scholarly/Intellectual Leadership. Faculty members are strongly urged to describe thoroughly their roles in each co-authored publication in the “Contributions to Jointly Authored Work” section of MIV. Many areas of science and engineering are increasingly collaborative, and this is often reflected in publications that have many authors. Whereas the APM treats scholarly “independence” as critical for advancement in the ladder ranks, this can be a difficult criterion to apply in research that requires substantial collaboration across disciplines and areas of expertise. Accordingly, faculty candidates should identify any leadership roles that they played in collaborations leading to co-authored publications. Examples of scholarly leadership include activities such as developing the conceptual framework for the project, inventing or applying novel analytic techniques, making key discoveries, changing the interpretation of findings, and writing substantial sections of the paper.

Clarification – “Contributions to Jointly Authored Work”. Faculty candidates can list all authors, but should only describe their own contributions to the work resulting in the co-authored publication, keeping in mind the importance of demonstrated intellectual leadership (see above). An estimate of the candidate’s % contribution to the work should *not* be included.

Reminder – Most Significant Publications. We have heard from review committees, including the Committee on Academic Personnel Oversight Committee (CAPOC), that they would find it useful to have faculty indicate which publications are the most significant in terms of findings/impact, and in which the faculty member has had a significant role. This can be done by adding the “most significant works” footnote to the publication list in MIV, providing a statement in MIV regarding the “significance of research” which will appear on the “Contributions to Jointly Authored Works” list, providing the information to the Chair to include in the departmental letter, and/or including the information in the candidate’s statement. The works listed as “most significant” should be limited to five publications in a given review period.

Reminder – 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 during the 2012-13 cycle unless an exception is approved ahead of time. Furthermore, 2012-2013 is the last cycle in which paper dossiers will be accepted at the Full ranks.

Reminder – 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.

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

Reminder – For Actions Prepared in MyInfoVault (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 or other teaching materials. If you have any questions about other documentation, please contact your academic personnel analyst or email miv-help@ucdavis.edu.

Reminder – Deadline for Submitting Appointments to the Vice Provost. All proposed appointments effective July 1, 2013, that require the Vice Provost's approval, must be submitted to the Vice Provost office by May 13, 2013 to ensure they will be approved by the effective date. Any appointment dossier received after this date may not be approved by July 1st.

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

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). For complete information on the CER program, refer to 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. This statement of concurrence can be submitted in lieu of a detailed letter, unless there is substantive new information that the dean wishes 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 – 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 8th 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 Affairs web site, which can be found under the heading “Academic Federation Position Description Templates.”
<http://academicpersonnel.ucdavis.edu/forms/forms.cfm#Forms>

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) in Academic Federation instructional titles that are not covered by a collective bargaining agreement, both Academic Senate and Academic Federation faculty may express opinions and should 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 described separately within a single letter from the department.

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 have been a number of new and revised academic personnel policies issued during 2011-2012. A complete list may be found at <http://www.ucop.edu/acadpersonnel/apm/issuance.html>. The most important of these are listed below.

- **APM 205, 2/24/12. New** policy for the Recall of Academic Appointees; incorporates former APM 200-22 and Appendices A and B.
- **APM-670, 7/2/12.** Revised Health Sciences Compensation Plan. This is the first revision since adoption in 1999. Policy was reorganized to be consistent with other University policy.

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

Sincerely,

Maureen Stanton
Vice Provost—Academic Affairs
Professor—Evolution and Ecology

DEADLINES FOR ACADEMIC PERSONNEL ACTIONS

NOTE: Any retroactive action requires the review and approval of the Vice Provost – Academic Affairs, including actions normally re delegated 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.

November 13	Recommendations for promotion to Associate and Full Professor (or equivalent titles) and promotions for Federation titles
December 3	Recommendations for merit increases to Step VI and all above-scale advancements Recommendations for merit increases to Associate rank, Step IV and Step V that do not meet the re delegated pilot program
December 17	Recommendations for other non-redelegated merit increases, including <ol style="list-style-type: none">1. Accelerations that skip a step2. Third action and beyond for department chairs3. Associate Deans
February 4	Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner
February 8	Recommendations for merit increases and promotions for <ol style="list-style-type: none">1. Academic Administrators2. Academic Coordinators3. Continuing Educators
March 4	Recommendations for merit increases and promotions for Librarian titles (including Law Librarian and Assistant, Associate University Librarian)
April 8	Appraisals from the deans' offices
May 13	Recommendations for appointments that require Vice Provost or Chancellor approval for actions effective July 1, 2013

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.**

Appendix A: Contributions to Diversity Under APM-210

APM-210-1-d provides clear guidance that faculty members who contribute to the attainment of UC's goals of enhancing diversity and equalizing opportunity should be recognized for these activities. During the academic review process, search committees and those reviewing merit and promotion actions should give appropriate consideration to diversity-enhancing activities demonstrated by a candidate.

For additional information please visit:

<http://www.ucop.edu/acadadv/acadpers/apm/apm-210.pdf>
http://www.ucop.edu/acadpersonnel/faculty_diversity.html

The following examples are taken from

<http://www.ucop.edu/acadpersonnel/documents/eval-contributions-diversity.pdf>.

This is not an exhaustive list – other activities may also fit the guidelines described in APM – 210.

(1) Teaching

- Contributions to pedagogies addressing different learning styles, for example:
 - Designing courses or curricula that meet the needs of educationally disadvantaged students
 - Developing effective teaching strategies for the educational advancement of students from under-represented groups
- Experience teaching students who are under-represented, for example:
 - Teaching at a minority-serving institution
 - A record of success advising women and minority graduate students
 - Experience teaching students with disabilities

(2) Research and Other Creative Work

- Research contributions to understanding the barriers facing women and minorities in academic disciplines, for example:
 - Studying patterns of participation and advancement of women and minorities in fields where they are under-represented
 - Studying socio-cultural issues confronting under-represented students in college preparation curricula
 - Evaluating programs, curricula, and teaching strategies designed to enhance participation of under-represented students in higher education
- Research interests that will contribute to diversity and equal opportunity , for example, research that addresses:
 - Race, ethnicity, gender, multiculturalism, and inclusion
 - Health disparities, educational access and achievement, political engagement, economic justice, social mobility, civil and human rights

- Questions of interest to communities historically excluded by higher education
- Artistic expression and cultural production that reflects culturally diverse communities or voices not well represented in the arts and humanities

(3) Professional Activity

- Engagement in activity designed to remove barriers and to increase participation by groups historically under-represented in higher education:
 - Participation in academic preparation, outreach, or tutoring
 - Participation in recruitment and retention activities
 - Service as an advisor to programs such as Women in Science and Engineering
 - Exceptional record mentoring students and junior faculty from groups under-represented in the field
 - Promoting welcoming classroom environments for students from culturally diverse groups

(4) University and Public Service


- Participation in service that applies up-to-date knowledge to problems, issues, and concerns of groups historically under-represented in higher education:
 - Engagement in seminars, conferences, or institutes that address the concerns of women and under-represented minorities
 - Presentations or performances for under-represented communities
 - Honors, awards, and other forms of special recognition such as commendations from local or national groups or societies representing under-served communities
 - The application of theory to real-world economic, social, and community development problems
 - Election to office, or undertaking service to professional and learning societies, including editorial work, or peer reviewing for a national or international organization addressing disparities in access to higher education
 - Selection for special public service activities and invitations to give talks within the field that address the needs of under-represented or culturally diverse groups
 - Participation in professional or scientific associations or meetings, and presentation of papers related to the needs of communities historically excluded from higher education

Contributions to Diversity may now be entered into MIV as a Candidate's Diversity Statement.

- Log-in to MyInfoVault at <http://myinfovault.ucdavis.edu>
- Select **Enter Data**.
- Select **Candidate's Statements – Diversity Statement**.
- Enter the **Year** for the statement.
- Enter data into the appropriate expandable and collapsible sections of the Diversity Statement (Teaching; University and Public Service; and/or Scholarly and Creative Activities). Please note: only those sections that contain information will appear in the dossier; e.g., if no data is entered in the "Scholarly and Creative Activities" section of the diversity statement that section will not appear in the dossier.
- Select **Save**.

Add "Diversity Statement"

* = Required Field [Do you want to format text?](#)

Kelly Anders 

* Year:

Description/Elaboration of Diversity Activities in Teaching ▶ expand to see description/elaboration of diversity activities in teaching

Description/Elaboration of Diversity Activities in University and Public Service ▶ expand to see description/elaboration of diversity activities in university and public service

Description/Elaboration of Diversity Activities in Scholarly and Creative Activities ▶ expand to see description/elaboration of diversity activities in scholarly and creative activities