

June 23, 2014

**DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, ASSISTANT DEANS, VICE PROVOSTS,
VICE CHANCELLORS, DEPARTMENT CHAIRS AND ACADEMIC PERSONNEL EXPERTS**

**RE: 2014-2015 Call for Academic Personnel Advancement for Academic Senate and
Academic Federation Actions**

Dear Colleagues:

With this Annual Call for the 2014-15 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.

We believe it would be beneficial to distribute the Annual Call to all academic appointees. We strongly recommend that department chairs review the information and distribute to all academic appointees. We also encourage department chairs to discuss important new items and reminders with academic appointees at a department meeting.

As you may recall, the Senate Task Force (STAPP), as part of its streamlining recommendations, recommended that deadlines for Academic Personnel actions be reexamined to improve workflow. As a partnership between Academic Affairs and the Academic Senate Office, we formed a focus group to review the "Deadlines for Academic Personnel Actions" published annually in the Annual Call. This focus group recommended a revised timeline which was reviewed by the Academic Senate Office committees. **Please pay close attention to the non-redelegated and redelegated deadlines on pages 7-8 of this annual call.**

We intend 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. All actions that are normally delegated to the dean for approval that are not finalized by August 31, 2015 will need to come forward to the Office of Academic Affairs for review and decision.

NEW VICE PROVOST ADVISORIES

Vice Provost Advisories are provided as additional clarification on policies and practices. The following Advisories were issued since the AY 2013-14 Annual Call. A complete list of Vice Provost Advisories is accessible on the home page of the Academic Affairs website.

- [AA2013-07](#) – Streamlining of the Endowed Chair Recruitment and Review Process (07/02/13)
- [AA2013-08](#) – New Process for Approval of Interim Recruitment Reports (09/13/13)
- [AA2013-09](#) – Delegation of Authority to the Associate Vice Provost for Faculty Equity and Inclusion (10/11/13)
- [AA2014-01](#) – Modification of Practices Regarding Additional External Letters for Appointment of Assistant Professors (March 18, 2014, Supersedes AA2013-05)
- [AA2014-02](#) – Review Period for Merits to Professor, Step VI (03/27/14)
- [AA2014-03](#) – Merits to Associate Professor Step IV & V (04/24/14)

GENERAL INFORMATION

NEW

New – Step Plus System. On June 3, the Representative Assembly of the Davis Division of the Academic Senate voted strongly to support the new Step Plus System for all Senate merit and promotion actions, as recommended by multiple committees and workgroups over the past three years. Step Plus is expected to reduce workload by approximately 20% by eliminating accelerations-in-time while making all candidates eligible for advancements of 1.0, 1.5, 2.0, or (in very rare circumstances) > 2.0 steps. **The Step Plus System for merit and promotion actions will be put into effect as of July 1, 2014.** However, there will be a three-year transition period, during which time a Senate member will have the option, *for the first action only*, to submit their dossier for an acceleration *in time* under the previous merit and promotion rules and guidelines. Accelerated-in-time promotions to the Associate and Full ranks will still be accepted under the Step Plus System. Details of the program, including implementation procedures, are posted on the Academic Affairs website at: <http://academicaffairs.ucdavis.edu/policies/step-plus/index.html>

New – Extramural Letters for Professor Step 6 Advancement. At the request of the Academic Senate Representative Assembly, Executive Council and many department chairs, and with the strong support of the Committee on Academic Personnel (CAP), we are eliminating the requirement for outside letters for advancement to Professor Step 6 *beginning with the 2014-2015 review cycle*, instead of with the 2015-2016 cycle as originally announced. Extramural letters are no longer required or encouraged for advancement to Professor Step 6 for all Senate titles, which includes: Professor, Professor in Residence, and Professor of Clinical__. There is no Step 6 in the Lecturer with Security of Employment and Senior Lecturer with Security of Employment series.

If the department has already requested extramural letters for Step 6 advancement, we recommend that the department contact the external reviewers to inform them that we no longer need their letter. If letters are received, we are requesting that those letters not be included in the dossier, so that all Step 6 advancement packets will include consistent documentation. Elimination of letters for Step 6 or similar barrier steps within the Federation titles will be discussed and considered over the coming year.

A revised chart for Extramural Letters and “Arm’s Length” Requirements for Appointment, Merit, and Promotion Reviews is available on the Academic Affairs website at: http://academicaffairs.ucdavis.edu/local_resources/docs/Arms_length_letters_chart_20June2014_Final.pdf

New – Merit Advancements to Associate Professor Step 4 and Step 5. In response to questions regarding the 2013-2014 annual call, a *Vice Provost Advisory to Deans #AA2014-03* dated April 24, 2014, was issued to further clarify the delegation of authority for merits to the overlapping steps of Associate Professor Step 4 and Step 5. The advisory clarifies that this delegation applies to all professorial titles. Faculty members appointed or promoted to Associate Professor who have served at that rank for 6 years or less will have their merit reviewed as a redelegated action, regardless of whether or not the advancement is to an overlapping step. Faculty members who have been at Associate rank for more than 6 years will have their merit action reviewed as a non-redelegated action. See Advisory AA2014-03 “Merits to Associate Professor Step IV & V” for more details.

New – Newly Appointed Assistant Professors. Newly appointed Assistant Professors should not come up for tenure review (promotion) until they have been on our campus for approximately one year. We expect newly hired tenure-track faculty to have an opportunity to acclimate and participate in teaching and service on our campus prior to tenure review. For example, an Assistant Professor hired effective July 1, 2014 would not be eligible to come up for promotion review effective July 1, 2015.

New – Revised Merit and Promotion Checklists. Given the changes in extramural letter requirements, the merit and promotion checklists have been reissued. The updated checklists include these new letter requirements and are published on the Academic Affairs website at:

http://academicaffairs.ucdavis.edu/resources/forms_checklists/index.html

The new extramural letter requirements can be viewed at:

http://academicaffairs.ucdavis.edu/local_resources/docs/Arms_length_letters_chart_20June2014_Final.pdf

New – Revision of APM-UCD 620. The Vice Provost made it our practice not to reduce off-scale salary components as a result of every deferral or denied action, as an exception to APM-UCD 620. APM-UCD 620 has been revised and reissued to reflect this policy change. The Vice Provost retains the authority to reduce off-scale salary components in the event an academic appointee has consecutive negative reviews. Please see the policy at: <http://manuals.ucdavis.edu/apm/620.htm>

New/Revised – Candidate’s Diversity Statement for Teaching, University & Public Service, and Scholarly & Creative Activities. MIV 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. ***Diversity activities are a very important part of faculty performance, so faculty should be encouraged to complete the Candidate’s Diversity Statement. Moreover, these activities should be referred to in the department letter.***

New/Revised – Extramural Letters for Appointments in the Assistant Professor series. *Vice Provost Advisory to Deans #AA2014-01* dated March 18, 2014, supersedes #AA2013-05 as well as its revision dated June 5, 2013. Letters deemed sufficient for the recruitment may suffice for appointments at the Assistant steps 1-3. For appointments at the Assistant steps 4-6, four to six letters are required. There is no general requirement for arm’s-length letters for appointments in any of the assistant-rank professor titles.

CLARIFICATION

Clarification – Use of Asterisk (*) Notation on Publications List. Effective with the advancement cycle for AY 2014-15, we are clarifying the use of notations on publication and creative activities lists in dossiers. Please use an * to annotate items to be considered in the review period regardless of whether the item is above or below previous advancement action/review lines. Should the publication be above the prior advancement action/review line, an explanatory footnote should be provided to indicate the reason why this publication was not included in the past action.

REMINDERS

Reminder – Adjunct Professor Series Appointment and Review. APM 280-4 states, “Titles in this series may be assigned (1) to individuals who are predominantly engaged in research or other creative work and who participate in teaching, or (2) to individuals who contribute primarily to teaching and have a limited responsibility for research or other creative work; these individuals may be professional practitioners of appropriate distinction...” Due to the broad scope of this policy, we want to provide clarity and guidance for the Adjunct Professor series, which is reviewed by the Committee on Academic Personnel Oversight Committee (CAPOC). ***For candidates who are appointed and reviewed in the Adjunct Professor series, the department letter should clearly describe the balance of research versus teaching expected of the candidate.***

Reminder – Department Voting Clarification for Advancement Actions. When providing voting information on advancement actions, any “No” vote requires explanation in the department letter.

Reminder – Department Voting Clarification for Appraisals. In an effort to provide consistent data for CAPOC when reviewing an appraisal, department faculty votes should indicate the number of faculty who are voting for a “positive appraisal,” the number of faculty who are voting for a “guarded appraisal” and the number of faculty who are voting for a “negative appraisal.” The department votes should **not** be listed as “yes” or “no” on an appraisal.

Reminder – Documenting Progress When Advancing to Overlapping Steps.

When pursuing an overlapping step (e.g., merit to Asst 5 instead of promotion to Assoc 1), it is important to document progress on scholarly/creative works such as grant proposals or manuscripts that are in progress or submitted. Progress should clearly be described and discussed in the candidate’s statement(s) and the department letter.

Reminder – Labeling of Extramural Letters. To make the review of dossiers more efficient, each extramural review letter must 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.

Reminder – Recommended Language for Department Solicitation Letter to External Reviewers (include in all solicitation letters). We **STRONGLY** recommend including the following language in the department solicitation letter to external reviewers for **all** advancement actions that require external letters. *“UC Davis encourages its faculty members to consider extensions of the (pre-tenure/review) period under circumstances that could interfere significantly with development of the qualifications necessary for (tenure/advancement). Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. **Please note that under this policy the overall record of productivity and scholarly attainment forms the basis of your evaluation. Time since appointment is not a factor in this review.**”*

Reminder – Scholarly/Intellectual Leadership in Collaborative Work. Academic appointees are strongly urged to describe their roles thoroughly in each co-authored scholarly/creative activity in the “Contributions to Jointly Authored/Created Works” section of MIV. Many areas of science and engineering are increasingly collaborative, and this is often reflected in publications that have multiple authors. Independence can be a problematic 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/created activities. 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.

Faculty candidates may list all authors, but should only describe their own contributions to the work resulting in the co-authored publication/creative activity, 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 – Streamlining Adopted as Campus Practice. Based on feedback, the successful streamlining pilots, Phase I (Academic Personnel – effective July 22, 2010 through July 1, 2013) and Phase II (Academic Senate/Academic Federation – effective August 24, 2010 through July 1, 2013), were implemented as campus practice effective July 1, 2013. Streamlining efforts are available on the Academic Affairs website with changes made to the Delegations of Authority and checklists for appointments and advancement actions. Phase I and II streamlining documents remain available on

the Academic Affairs website: <https://academicaffairs.ucdavis.edu/policies/appoint-and-advance/streamlining.html>

Reminder – UC Recruit. UC Recruit is an online application management system deployed at all 10 campuses to provide consistent data collection that meets federal and state reporting needs. As of 2013-14, UC Recruit was mandated for use in recruitments of all academic appointments. Campus staff users must be trained before access is granted. Please review Recruit information located on the Academic Affairs website.

Reminder – Visiting Professor 3rd Year Exception. The Visiting Professor title (APM 230) is redelegated to the Dean for a year at a time, for a maximum of two years. A third year is possible with strong justification; however, this is an exception that requires Vice Provost approval.

MYINFOVAULT (MIV)

New – MyInfoVault (MIV), New Action Types. Effective for the 2013-2014 academic year, the majority of academic review types were made available in MIV, with the addition of New Appointments in February of 2014. The following actions can now be completed using MIV:

- New Appointments
- Appointments via Change in Department/Title
- Appraisals only (if sole action)
- Deferrals
- Department Chair 5-year Review for Reappointment
- Emeritus Status
- Endowed Chair/Professorship Appointments/Reappointments
- Merits
- Five-Year Reviews
- Promotions
- Unit 18 Initial Continuing Appointments.

Please note: Effective for the 2013-2014 actions, **all** merit and promotion actions were required to be submitted in MIV. Paper dossiers for merit and promotion actions will not be accepted during the 2014-2015 cycle. At their discretion, deans may require other actions in their units to be completed in MIV as well.

Reminder – MyInfoVault (MIV), Coming Soon in 2014-2015. The following enhancements are slated for development in 2014-2015 to be available for the 2015-2016 academic review cycle:

- Ability to have multiple dossiers in progress at one time for any given academic appointee. For the 2014-2015 academic year, if your academic appointee is pursuing a merit and an endowed chair appointment, we recommend completing the merit in MIV and the endowed chair appointment via paper.
- Ability to complete Merit actions with Appraisal and Merit or Promotion actions with a Career Equity Review. These actions are unique in that they are presented as one dossier but have two decision points. For 2014-2015, we recommend completing the merit or promotion in MIV and the appraisal or CER via paper.

All other MIV development activities can be reviewed on the Academic Affairs website under Tools.

Reminder – MyInfoVault (MIV), Supporting Documentation. 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. It is also acceptable to provide a link to the abstract as long as a full version of the article is available from the same site. If the link sends the user 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 and remove the web link from MIV to avoid confusion regarding access to the article.

Digital access to online Supporting Documentation remains a high priority for MIV development. This enhancement is delayed as we explore opportunities to partner with the library for scholarly and creative activities and with the Academic Course Evaluation (ACE) system for course evaluations.

NEW AND REVISED SYSTEMWIDE ACADEMIC PERSONNEL POLICIES

Academic personnel policies issued during 2013-2014 may be found at:

<http://www.ucop.edu/academic-personnel/academic-personnel-policy/policy-issuances-and-guidelines/policy-issuances-2010-present.html>.

APM 015 (07/19/13) – The Faculty Code of Conduct: Revised language to include within the protections of academic freedom the freedom to speak on matters of institutional policy when acting as a member of the faculty whether or not as a member of an agency of institutional governance.

APM 035 (02/25/14) – Appendix A, Affirmative Action and Nondiscrimination in Employment: Appendices A-1 and A-2 have been replaced with new Appendix A, which directs faculty and academic appointees to the Presidential policy.

APM 241 (01/01/14) – Faculty Administrators (Positions Less Than 100% Time): Revisions align APM 241 with Regents Policy 2307 and the Compendium of Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (currently under review).

APM 430 (07/01/13) – Visiting Scholars and Other Visitors: The purpose of APM 430 is to define the type of visitor for which this policy applies and to establish the status of the individual visiting the University of California and the rights and responsibilities of both the visitor and the University.

APM 700 (07/01/13) – Leaves of Absence/General: This policy addresses circumstances under which an academic appointee chooses not to return to his/her University appointment following the expiration of a leave of absence, or chooses to be absent from that appointment without obtaining prior approval for a leave. The Presumptive Resignation policy is designed to prompt an appointee in such circumstances to take affirmative steps to counter the University's presumption that the appointee's intention is to resign the University appointment.

Thank you for your assistance and cooperation in continually improving the complex advancement process at UC Davis.

Sincerely,



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

NEW

CENTRAL CAMPUS DEADLINES FOR ACADEMIC PERSONNEL ACTIONS

The following deadlines have been established for the academic personnel peer review process. These deadlines exist to ensure the peer review process is followed in a timely manner and to allow administrative work and prioritization of workload for the Academic Senate and Academic Federation committees. **Please note:** All Dean's Offices will establish earlier deadlines to allow school/college level review.

These deadlines apply to the action regardless of the delegation of authority (<http://academicaffairs.ucdavis.edu/dofa.cfm>). Requests for extensions to these deadlines should be submitted with justification to the Office of the Vice Provost, via the Dean's Office, for Vice Provost approval.

- Non-redelegated actions are due to the Office of the Vice Provost – Academic Affairs by the deadlines indicated below.
- Redelegated actions that required Academic Federation Committee review are due to the Academic Senate Office by the deadlines indicated below. For information about what committee reviews which title, please visit: <http://academicfederation.ucdavis.edu/personnel/index.html>.

November 12	Recommendations for promotion to Associate Professor (or equivalent titles) and promotions for Academic Federation titles to the Associate rank, excluding Librarians.
December 2	Recommendations for all other promotions.
December 16	Recommendations for merit increases to Step VI. 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
January 9	Recommendations for merit increases to Associate rank, Step IV and Step V for Professional Researchers, Specialists in Cooperative Extension, and Academic Senate titles that do not meet the redelegated pilot program for these steps. Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner.
February 3	Recommendations for all Above Scale advancements. Recommendations for appointment/reappointment of Endowed Chair/Professorship holders if the appointment/reappointment is to be announced at the April donor dinner.
February 9	Recommendations for accelerated merit increases and accelerated promotions for: <ol style="list-style-type: none">1. Academic Administrators2. Academic Coordinators3. Continuing Educators

March 3 Recommendations for merit increases and promotions for Librarian titles (including Law Librarian and Assistant, Associate University Librarian).

Appraisals from the deans' offices.

All other redelegated Academic Federation actions.

May 12 Recommendations for appointments that require Vice Provost or Chancellor approval for actions effective July 1, 2015.

Other deadlines/actions:

- Any appointment actions with an effective date other than July 1 should be received at the Senate Office at least four weeks prior to the effective date of the appointment.
- 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 dean is not able to make a decision within 60 days after the effective date of the action.
- 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.
- Deferrals and 5-year reviews are due in the Office of the Vice Provost – Academic Affairs at the time the corresponding regular action would be due. These actions are due at the time of the corresponding regular action to ensure timely decisions to pursue regular actions.