

June 14, 2017

Advisory to Deans #AA2017-03

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

Re: Updated review process deadlines and phased implementation of Administrative Deferrals

Dear Colleagues,

As many of you are aware, our campus has fallen woefully behind in submitting, reviewing and managing many of our academic personnel reviews. In 2012-2013, the final decisions on roughly 25% of our merit and promotion actions were made *after* the effective date of the action (269 of 1053 merits and promotions), and two of the final decisions were actually made in a different tax year. As of 2015-2016, the percentage of late final decisions has climbed to roughly 40% (415/1032), with 4% of those final decisions being made in a different tax year (N=41).

It has become apparent that this worsening situation is due in no small part to our past practice of accepting merit or promotion packages that are submitted well past established deadlines. The resulting increase in late academic personnel actions has created numerous downstream problems in our review and approval process, including delayed and prolonged periods of responsibility for review committees, delayed appeals, and additional administrative workload associated with late actions due to retroactive payroll adjustments and changes in the delegation of decision authority. Moreover, advancements retroactive to July that are implemented after December 31st of that year can have negative tax implications for the academic appointee.

To address this problem, UC Davis is beginning a transition to a merit and promotion review schedule in which advancement dossiers submitted by candidates after published deadlines, and for which no prior approval for extension has been granted, will be subject to Administrative Deferral until the following year. (To review information on Administrative Deferrals, please see the [2016-2017 Annual Call](#).) Administrative Deferral of this type is common practice on some other UC campuses.

Based on discussions with the schools and colleges, we have refined planning for this transition, as described below.

A. NEW DEADLINE FOR SUBMITTED MATERIALS

As of the 2017-2018 review cycle, materials submitted for review must include only activities and achievements dated no later than September 30. In the past, UC Davis allowed candidates to submit additional materials to a review file until December 31 (per APM UCD 220). APM UCD 220 is currently undergoing major revision and this new date is part of that revision. Starting with the 2017-2018 review cycle, packets will be returned if they reflect activities and achievements after September 30.

- Example 1: a journal article accepted as in-press on October 12, 2017 cannot be included in a 2017-2018 merit review.
- Example 2: student evaluations for a course taught in the Fall Quarter 2017 cannot be added to a 2017-18 advancement dossier.

Please note: The September 30th deadline does not apply to a candidate undergoing review for promotion to Associate rank in their “seventh year” of service.

B. REVISED, MULTI-STAGE DEADLINES

Deadlines for actions due to Academic Affairs are published in the Annual Call, and Deans' Offices have traditionally set additional deadlines to allow for timely review at their level. As part of the phased implementation to restore timeliness and accountability in our merit and promotion review process, updated deadlines for 2017-2018 are provided in the appendix of this advisory and will be included in the 2017-2018 Annual Call. These deadlines represent the latest possible dates by which the following processes should occur, although we stress that Departments and Dean's Offices may set earlier deadlines.

- 1) Candidate submits a substantially complete MIV advancement dossier to the voting unit(s) for review and voting. (Please note that failure to meet this deadline without approval for good cause may lead to the action being administratively deferred until the following year.)
- 2) The voting unit(s) submit the dossier, including recommendation and voting summary, to their deans' office. (Please note that joint departments may now process and submit their recommendations simultaneously.)
- 3) The dean's office submits dossiers and recommendations to the Academic Senate (for redelegated actions) or to Academic Affairs (for non-redelegated actions).

C. ADMINISTRATIVE DEFERRALS

For 2017-2018, Administrative Deferrals will not be automatic, but if the candidate does not submit a substantially complete packet to their voting unit by the published deadline, the VP-AA has the right to deny a request for extension and issue an administrative deferral on a case-by-case basis. The VP-AA will also carefully assess requests for extension by the departments and the deans' offices.

To assess our progress during this transition, Academic Affairs will be tracking where advancement actions are delayed. These data will be shared with the Provost and may be included in the performance reviews for deans, department chairs and the VP-AA. We realize that some actions may start as redelegated (requiring decision by a dean) and may need to change to non-redelegated (requiring decision by the VP-AA) based on subsequent advancement recommendations. When this happens, the dean's office should contact Academic Affairs to request a new deadline.

Administrative Deferrals will be issued automatically starting with the 2018-2019 review cycle. If any 2018-2019 action is submitted late by a candidate without obtaining prior approval of an extension, the action will automatically be designated as an "Administrative Deferral". Delays at the department and deans' office level will also be evaluated carefully, and extensions may fail to be granted. Upon Administrative Deferral, the candidate will be eligible in 2019-2020 and the result of that review will not be made retroactive to the previous year. Please note that five-year reviews and 7th-year tenure cases cannot be designated as Administrative Deferrals.

I recognize that it will take considerable effort to transform our current academic personnel review process from one in which long-delayed and retroactive actions are commonplace to one in which academic appointees can expect to undergo timely review and decision. However, the worsening situation of the past few years has convinced me that we *must take action as a campus!* Achieving this goal will require significant changes and increased accountability at all levels of the advancement process. Faculty members should be given adequate guidance and then encouraged to enter their own data into MIV and check it for accuracy. Department chairs need to be more proactive about consulting with eligible faculty members and planning for upcoming advancement actions, and need to request extramural letters, when required, no later than early spring quarter of the previous academic year. Department meetings and votes need to be scheduled well in advance, and draft department letters written in a timely way so that department deadlines can be met. College and School FPC's may need to begin meeting earlier. Especially during the transition period, it is also possible that redirection or augmentation of staff resources will be needed to manage peak periods for academic personnel caseload in departments, deans' offices, the Academic Senate Office and the Office of Academic Affairs.

Thank you in advance for your support of the transition to consequential deadlines. If you have any questions, comments or concerns, please do not hesitate to contact your [Academic Affairs analyst](#) or Kelly Anders, Director of Academic Personnel & Systems (kanders@ucdavis.edu, 530-754-8268).

Sincerely,

A handwritten signature in black ink, appearing to read "Maureen L. Stanton". The signature is fluid and cursive, with the first name being the most prominent.

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

/kla

Appendix A: Deadlines for review materials to be submitted to each level of review

Review Type	Deadline materials are finalized and due to the following location: ¹		
	Department	Dean's Office ²	VP Office (Non-Redelegated) Senate Office (Redelegated)
Promotion to Associate Professor (or equivalent titles) and promotions for some Academic Federation titles to the Associate rank, including the following title series: Professor, Professor in Residence, Professor of Clinical_, Acting Professor of Law, Lecturer with Security of Employment, _in the AES	10/9/2017	10/30/2017	11/20/2017
All other Promotions for the following title series: Professor, Professor in Residence, Professor of Clinical_, Acting Professor of Law, Lecturer with Security of Employment, _in the AES	10/30/2017	11/20/2017	12/11/2017
Promotion to Associate rank in the following Federation title series: Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist	11/6/2017	11/27/2017	12/18/2017
Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner			1/8/2018
All other Promotions in all Federation title series: Academic Administrator, Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist	11/13/2017	12/8/2017	1/12/2018
Merits to Associate rank, Steps 4 and 5 for Professional Researchers, Specialist in Cooperative Extension, and Academic Senate titles that do not meet redelegated pilot program for these steps	11/13/2017	12/8/2017	1/19/2018
All Merits to Full rank, Step 6, Above Scale Merits, and other Non-Redelegated actions: <ul style="list-style-type: none"> • Third action and beyond for Department Chairs • Associate Deans 	11/20/2017	1/12/2018	2/2/2018
Appointment/Reappointment of Endowed Chair/Professorship holders if the appointment/reappointment is to be announced at the April donor dinner.		1/5/2018	2/2/2018

¹ These deadlines reflect the latest possible dates for submission of materials. Departments and Dean's Offices may set earlier deadlines.

² Departments are required to allow the candidate 10 calendar days prior to submitting the action to the dean's office to review the final department letter and submit a rejoinder.

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	Department	Dean's Office ²	VP Office (Non-Redelegated) Senate Office (Redelegated)
Appointment/Reappointment of Endowed Chair/Professorship holders if the appointment/reappointment is to be announced at the April donor dinner.		1/5/2018	2/2/2018
Accelerated Merits or Accelerated Promotions for: Academic Administrators, Academic Coordinators, and Continuing Educators	11/17/2017	1/12/2018	2/9/2018
Merits and Promotions for: Librarian titles (<i>including</i> : Law Librarian, and Assistant, Associate University Librarian)		11/17/2017	3/2/2018
Appraisals: Professor, Professor in Residence, Professor of Clinical_, Acting Professor of Law, Lecturer with Security of Employment, __ in the AES and Specialist in Cooperative Extension (note: SOM requires redelegated appraisals for the Adjunct Professor series)	12/18/2017	1/19/2018	3/2/2018
All other redelegated Academic Senate and Federation actions, including all 2.0-step merits that started as redelegated.	1/2/2018	2/2/2018	3/2/2018
Appointments effective July 1, 2018 that require Vice Provost or Chancellor approval	3/16/2018	4/2/2018	5/9/2018

Other deadlines:

Extensions must be requested prior to the due date of the action. No extensions for the submission of late merits or promotions will be granted without strong justification.

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. This does not apply to Health Sciences Clinical Professors.

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.

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