

August 15, 2016

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

**RE: 2016-2017 Call for Academic Personnel Advancement for Academic Senate and
Academic Federation Actions**

Dear Colleagues:

With this Annual Call for the 2016-17 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 that it is 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.

Please pay close attention to the deadlines for non-redelegated and redelegated actions on pages 9-10 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 and that are not finalized by August 31, 2017 will need to come forward to the Office of Academic Affairs for review and final decision.

NOTE: There will be two major changes effective Academic Year 2017-2018, both are explained in this year's Annual Call, under the section "New Practices in Academic Reviews":

- 1. Administrative Deferrals**
- 2. New Deadline for Submitting Materials to Review Files**

NEW VICE PROVOST ADVISORIES

Vice Provost Academic Advisories (AA) are issued during each academic year to describe changes and provide clarification on policies and practices. The following Advisories have been issued since the 2015-16 Annual Call. A complete list of Vice Provost Advisories is accessible on the home page of the Academic Affairs website or by entering this website address:

<http://academicaffairs.ucdavis.edu/policies/vp-advisories/index.html>

- [AA2015-07](#) – Disclosing Potential Conflicts of Interest (COI) in Faculty Recruitments (9/16/15)
- [AA2015-08](#) – Action Form for Step Plus Delegation of Authority guidance (9/18/15; Revised 12/11/15)
- [AA2015-09](#) – Step Plus for Academic Federation (10/22/15)
- [AA2015-10](#) – Step Plus - Guidelines for Above Scale Advancements in the Senate series (10/22/15)
- [AA2016-01](#) – Changes to Junior Specialist Hiring Practices and Appointment Process (1/4/16)
- [AA2016-02](#) – Updated Near Relatives Procedures (4/5/16)
- [AA2016-03](#) – Deadlines for 2016 Appointments (4/7/16)

- [AA2016-04](#) – Automatic Extensions on the Clock for Childbearing/Childrearing (Revised 5/4/16)
- [AA2016-05](#) – Merit actions to Associate rank, Steps 4 and 5, for Professional Researcher, Project Scientist and Specialist in Cooperative Extension series (5/24/16)
- [AA2016-06](#) – Academic Federation Step Plus Phase 1 Practice Change for Delegation of Authority (6/20/16)
- [AA2016-07](#) – Changes related to Deferral and Five-Year Reviews (7/1/16)
- [AA2016-08](#) – Upgrade requests and Diversity Statements for Ladder-Rank Recruitments (7/22/16)

NEW PRACTICES IN ACADEMIC RECRUITMENTS

New – Upgrade Requests – see [Advisory #AA2016-08](#). Effective July 25, 2016, upgrade requests for Senate recruitments are no longer required. The department chair should be discussing with the dean the rank of the recruitment prior to submitting the search plan, based on the five-year academic plan for the department. Also, effective July 25, 2016, every search plan for a Senate recruitment must include a list of at least eight women and/or members of under-represented groups who would be attractive recruitment targets for the faculty position or who may be asked to suggest names of other qualified potential applicants who are women and/or members of underrepresented groups. Individuals on the list should be contacted personally by members of the search committee.

New – “Statement of Contributions to Diversity” in recruitments – see [Advisory #AA2016-08 \(Supersedes #AA2015-05\)](#). Effective July 25, 2016, all Senate recruitments require the “Statement of Contributions to Diversity” to appear as a required document upload for applicants. The applications for Senate recruitments will not be considered complete unless a “Statement of Contributions to Diversity” is received by the review date; incomplete applications will not be available for review by the search committee. Contributing to diversity and equal opportunity is an important criterion for excellence at UC Davis. For non-Senate recruitments, the “Statement of Contributions to Diversity” must appear as an optional document upload for applicants. Submitted diversity contributions statements must be reviewed and evaluated by the recruitment committee, regardless of whether or not every applicant submitted a diversity statement.

New – 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. UC Recruit is mandated for use in recruitments of all academic appointments. Campus staff users must be trained before access is granted. Please review UC Recruit information located on the Academic Affairs website.

New – Search Waiver Criteria. As of July 1, 2016, UC Davis has adopted the new, system-wide DRAFT search waiver criteria for academic appointees as campus practice with two exceptions:

- (1) The duration of appointment for Junior Specialists hired under the search waiver criteria for emergency hires is limited to 2 months.
- (2) The Non-Senate Faculty and Other Academics search waiver criteria for Spousal/Partner Hire is also available if the successful recruitment and retention of Specialists in Cooperative Extension is ultimately dependent on an academic appointment for his or her spouse/partner.

The DRAFT *Guidelines: Search Waivers for Academic Appointees* is available at <http://academicaffairs.ucdavis.edu/policies/recruitment/index.html>. All search waiver requests based on these criteria are now supported by UC Recruit, and Forms Online is no longer available for academic search waivers. Once the *Guidelines: Search Waivers for Academic Appointees* is finalized by the Office of the President, we will send it out to the campus and update the document on our website. We have also created a delegation of authority chart to help outline the new criteria (see http://academicaffairs.ucdavis.edu/local_resources/docs/doa/Recruitment_SearchWaiver.pdf).

New – Family-friendly Recruitment Update. In 2012, UC Davis implemented a family-friendly recruitment practice to make it easier for recruited candidates who are parents of very young children to participate in on-campus interviews for faculty positions. This practice allows the reimbursement of travel and hotel expenses for a second person to accompany the prospective faculty member (or single parent of either gender) of a breast- or bottle-feeding child under the age of two. Reimbursable hotel expenses may also include the costs associated with providing a crib in the hotel room (up to \$200). Deans are responsible for approving and paying these reimbursements. However, all reimbursement approvals under the Family-friendly Recruitment practice must trigger the issuance of a 1099 tax form to the candidate. In addition, as an interim measure until UC-wide policy is revised, all reimbursement approvals must be routed to Academic Affairs for final approval by the Vice Provost as an exception to policy.

CLARIFICATIONS AND REMINDERS FOR ACADEMIC RECRUITMENTS

Reminder – Shortlist Report approval. In 2013, department chairs and recruitment committee chairs were removed from the Shortlist Report approval workflow in UC Recruit due to the fact that these reports included individual diversity data to which committee and department chairs should not have access. More recently, improvements were made to UC Recruit to separate the individual gender and ethnicity data from the list of the names on the shortlist. Beginning immediately, the Vice Provost authorizes the addition of the search committee chair and/or department chair roles to the approval workflows in UC Recruit for the Search Plans, Applicant Pool Reports, Shortlist Reports, and Search Reports. All Shortlist Reports for Senate searches will continue to be reviewed and approved by Academic Affairs, as well as by the deans ([Advisory #AA2013-08](#)) before any candidates are contacted for interviews (including preliminary interviews conducted over the internet, by phone or in person). This change is an adjustment of UCD APM 500 §VI.A. Please see [Advisory #AA2015-05](#) or by entering this website address:

http://academicaffairs.ucdavis.edu/local_resources/docs/VP_advisories/AA2015-05%20Advisory%20to%20Deans%20-%20Recruitment%20Process%20Changes.pdf

Reminder – Two-stage Interviews during faculty recruitments. Two-stage interview processes are becoming increasingly common in faculty recruitments. If the department plans to conduct preliminary interviews, either in person or remotely, the process must be described in their approved search plan prior to accepting applications. If preliminary interviews are to be conducted, a Shortlist Report must be approved at two stages: (1) prior to preliminary interviews; and (2) prior to inviting candidates for on-campus interviews. For ladder-rank, Sr./Lecturer PSOE/SOE series, and Librarian searches, the preliminary interview Shortlist Report(s) must be approved by Associate Vice Provost Phil Kass. Detailed steps for creating the Shortlist Report(s) for preliminary interviews can be found in [Advisory #AA2015-05](#) or by entering this website address:

http://academicaffairs.ucdavis.edu/local_resources/docs/VP_advisories/AA2015-05%20Advisory%20to%20Deans%20-%20Recruitment%20Process%20Changes.pdf

Reminder – Streamlining Appointment Actions. The checklists for Appointments in all academic titles will be updated throughout 2015-2016 to reflect the following changes. Departments may upload the proposed appointee's Curriculum Vitae along with the Biography Form in MyInfoVault (MIV). This may be done in place of or in addition to uploading/completing data entry in other categories of the dossier in MIV. Details and instructions can be found in [Advisory #AA2015-04](#) or by entering this website address: http://academicaffairs.ucdavis.edu/local_resources/docs/VP_advisories/AA2015-04%20Advisory%20to%20Deans%20-%20MIV%20Changes%20Effective%202015-2016.pdf

Reminder – Appointment dossiers must be complete. Regardless of whether a proposed academic appointee was selected through an open recruitment or an approved search waiver, all elements of the appointment dossier must be provided, including extramural letters.

NEW PRACTICES IN ACADEMIC REVIEWS

New – Administrative Deferrals will begin in 2017-2018. Deadlines for actions due to the Vice Provost's Office are published in the Annual Call and Deans' Offices set additional deadlines to allow for timely review at their level. If any 2017-18 action is late without obtaining prior approval of an extension, the action will automatically be designated as an "Administrative Deferral", and the candidate will be eligible in 2018-2019. The advancement will not be made retroactive to the previous year. Note: Five-year reviews and 7th-year tenure cases cannot be designated as Administrative Deferrals. As preparation for this change will need to occur throughout 2016-2017, please be sure to communicate this information to all academic members of your unit(s)! We will be communicating more details during 2016-2017. However, enforcement of Administrative Deferrals will begin in 2017-2018.

New – New Deadline for Submitting Materials to Review Files in 2017-2018. Currently, UC Davis allows candidates to submit additional materials to a review file until December 31, if such materials are deemed critical to the review. Effective with the 2017-2018 review cycle, this date will change to September 30. Materials will not be accepted after September 30 unless the person undergoing review is an Assistant Professor in his/her "seventh year" of service. For example: a journal article accepted as in-press on October 12, 2017 cannot be included in the 2017-2018 review file. Please be sure to communicate this information to all academic members of your unit(s). We will issue a formal advisory during 2016-2017.

New – Merit Advancements to Associate rank, Steps 4 and 5 for the Professional Researcher, Project Scientist and Specialist in Cooperative Extension series. Federation members in these series who will have served within the Associate rank for 6 years or less at the time of advancement will have their merit action reviewed as a redelegated action, regardless of whether or not the advancement is to an overlapping step. Federation members in these series who seek to advance to an overlapping step in the Associate rank, but will have been at the Associate rank for more than 6 years at the time of advancement, will have their merit action reviewed as a non-redelegated action. Federation members in these series do not need to request permission from the Vice Provost to pursue non-redelegated advancements to the overlapping steps of 4 and 5 at the Associate rank. At their discretion, deans may require prior approval at the college/school level before the department prepares a merit to one of these overlapping steps. See [Advisory #AA2016-05](#) "Merit action to Associate rank, Step 4 and 5 for Professional Researcher, Project Scientist and Specialist in Cooperative Extension series".

New – MyInfoVault (MIV) Required for all Actions in 2016-2017. Enhancements needed to support multiple dossiers, including linked actions like Merit with Appraisal, were implemented in MIV in 2015-2016. Effective with the 2016-2017 review cycle, all actions must be completed and submitted using MyInfoVault.

New – Step Plus System – Academic Federation Phase 1 (Professional Researcher, Project Scientists, Specialists, Specialists in CE, Health Sciences Clinical Professor, and Adjunct Professor series). The "Notification of advancement eligibility for an Academic Federation member" form has been updated and is available at: http://academicaffairs.ucdavis.edu/local_resources/docs/forms_and_checklists/Notice_Eligibility_Federation_Members.docx. Forms submitted from all previous deferral requests must be included until the candidate advances. The [checklists](#) for these series have been updated to include this new requirement.

New – Step Plus System – Academic Federation Phase 2 (Academic Coordinators, Academic Administrators, Assistant/Associate University Librarians and Law Librarians, Continuing Educators, and University Extension Teachers). Academic Federation members in these titles should have

received a communication from the Academic Federation in May indicating that they will be contacted for further information on potential Step Plus implementation.

CLARIFICATIONS AND REMINDERS FOR ACADEMIC REVIEW DOSSIERS

Clarification – Faculty membership in Graduate Groups is in itself not a form of service.

However, if a faculty member is providing service to the graduate group (e.g., serving as Chair, Vice Chair, or member of a committee), that *is* considered service, and should be included on the list of campus-level service in the dossier.

Clarification – Letters for high-level merit advancement to Professor Step 6. As of the 2014-2015 review cycle, extramural letters were no longer required or encouraged for advancement to Professor Step 6 for all Senate Professor titles. ***However, system-wide policy specifies that Professor Step 6 is a barrier step, and so national recognition of scholarship and/or teaching must be documented in the dossier and fully described in the department letter. Additionally, the review period for this high-level advancement is the time since Promotion to Professor.*** During the past year, some of the high-level merit dossiers for advancement to Professor Step 6 failed to provide sufficient evidence that these criteria had been met. In a minority of cases, extramural letters from national and international authorities may be essential to demonstrate national scholarly impact and recognition, and for these cases, extramural letters may be required by the Dean, CAP, or Vice Provost.

Establishing a candidate's national reputation, recognition and impact is somewhat more challenging without extramural letters, but can be achieved. For example, the department letter and dossier can describe the candidate's invitations to speak at national or international conferences or institutions, service in a professional capacity at national or international levels, and awards, fellowships or other forms of national and international recognition. Candidates considering future advancement to Professor Step 6 and beyond should be advised to keep these criteria in mind.

Note: Extramural letters for advancement to Step 6 (or similar barrier steps) within the Academic Federation titles are still required for the 2016-17 merit review cycle.

Clarification – Periods of Review for Promotion. The period of review for promotion to the Associate rank is that since the candidate's terminal degree. The period of review for promotion to the Full rank is that since promotion to the Associate rank. For both types of promotion, the review should consider academic activities conducted at an outside institution if the candidate served in a faculty position elsewhere during the period of review.

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..." Furthermore, APM UCD 280-10 states, "Appointment to this title requires a meaningful and regular participation in teaching..." 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 (CAP-OC). ***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. Note that there is also an expectation within APM 280 that a minimum of 50% of the funding for an Adjunct appointment should be derived from non-State funding.***

Reminder – APM UCD 285 Lecturer with Security of Employment Series (07/01/15). A new campus policy went into effect as of July 1, 2015 for the Lecturer with Security of Employment (LSOE) and Senior Lecturer with Security of Employment (Sr. LSOE) series. This series also includes the Lecturer with Potential for Security of Employment (LP SOE) and Senior Lecturer with Potential for Security of Employment (SR. LP SOE) titles. The UC system wide is currently under revision. We will update the campus as information becomes available.

Reminder – Department Voting Clarification for Appraisals. To provide consistent data for CAP-OC 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 (refer to the [Appraisal checklist](#)).

Reminder – 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, 2015 would not be eligible to come up for promotion review effective July 1, 2016.

Reminder – Position Planning Tool for Academic Researchers. We have designed a tool to assist staff and faculty in planning for the hiring and advancement of academic researchers using the following titles: Postdoctoral Scholar, Junior Specialist, Specialist (Assistant, Associate, and Full), Project Scientist (Assistant, Associate, and Full), and Professional Researcher (Assistant, Associate, and Full). The goal of this tool is to help departments and Principal Investigators select the appropriate academic series for prospective appointees, as well as to guide the design of grant budgets to accommodate appropriate advancement for these personnel. The Position Planning Tool can be found on the Academic Affairs website under the “Tools” menu or by entering this website address: <https://academicaffairs.ucdavis.edu/applications/decisiontree/default.cfm>

Reminder – Recommended Language for Department Solicitation Letter to Extramural Reviewers (include in all solicitation letters). We **strongly** recommend including the following language in the department solicitation letter to extramural reviewers for **all** advancement actions that require extramural 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/the last promotion) is not a factor in this review.”*

Reminder – Dossier Annotations. Please be sure that the historical lines in MIV that show the timing of past actions are retained and included when submitting dossiers. This is particularly important on the Publications and Creative Activities Lists, but will also facilitate review of other activities lists, including extending knowledge, service, and student evaluations. Please see [Advisory #AA2015-04](#) or by entering this website address: http://academicaffairs.ucdavis.edu/local_resources/docs/VP_advisories/AA2015-04%20Advisory%20to%20Deans%20-%20MIV%20Changes%20Effective%202015-2016.pdf

Reminder – 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 current review period, regardless of whether the item is above or below previous advancement action/review lines. Because the MIV publication lists are strictly date-ordered, items appearing above the line may sometimes

“count” for the current review period. Similarly, because of delays in publishing “in press” items, it is also possible that items appearing below the line for the last review were counted in a previous review period and thus cannot be counted again. For any publications that are to be counted within the current review period, but that are above the prior advancement action/review line, an explanatory footnote should be provided to indicate why this publication was not included in the past action.

Reminder – Hyperlinks provided in the Dossier. It is important that all hyperlinks in MyInfoVault take the reviewer to the record without requiring searching and/or making a purchase. The crucial point is that hyperlinks frequently change and must be checked for each action—to prevent delays in review, all reviewers must be able to navigate to online materials using workable links. **All dossiers containing inadequate links will be returned for correction, which will result in delaying the review and final decision on the action.**

OTHER ITEMS

New – *DRAFT* Guidelines for preparing Prior Approval Requests for Category 1 Outside Professional Activities (*APM 025 Conflict of Commitment and Outside Activities of Faculty Members and APM 671 Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants*). Appendix A is a draft guidelines document that Academic Affairs will be using when reviewing prior approval requests for Category I Activities, and we urge both academic appointees and AP staff members to review those guidelines. Over the 2016-17 academic year, we will be working to incorporate the information into our Forms Online program.

REMINDER – EMPLOYMENT OF NEAR RELATIVES ([APM 520](#) and [APM UCD 520](#)). An internal audit conducted during the 2014-15 academic year found that not all near relatives on our campus had completed and had on file the appropriate forms and documentation. Please refer to [Advisory #AA2016-02](#) for additional information. The form is now accessible through [Forms Online](#), see the “Near Relatives Identification and Approval Form.”

NEW AND REVISED SYSTEMWIDE ACADEMIC PERSONNEL POLICIES

Academic personnel policies issued during 2015-2016 may be found at:

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

APM 080 Medical Separation (07/01/15) – Revised APM 080, *Medical Separation* is effective July 1, 2015. Revisions to the policy: 1) bring APM 080 into conformance with Regents Standing Order 101.1(b), *Employment Status*; 2) clarify authority to medically separate faculty with and without tenure or security of employment, as well as appointees who are not members of the Academic Senate; and 3) update language so that it is congruent with the requirements of the *American with Disabilities Act* (ADA).

APM 210-1-d Review and Appraisal Committees (07/01/15) – Revised APM 210-1-d, *Review and Appraisal Committees*, is effective July 1, 2015. The revisions clarify the intent of the existing language and strengthens the principle that contributions to diversity are a component of excellence at the University of California.

APM 330 Specialist Series (07/01/15) – Revised APM 330, *Specialists Series*, is effective July 1, 2015. All Specialists appointed on or after July 1, 2015 are subject to the revised policy. All Specialists with appointments beginning before July 1, 2015 are subject to the new policy, with the exception of

provisions for appointment and advancement criteria (APM 330-10), qualification (APM 330-11), and recommendation and review (APM 330-80).

APM 670 Health Sciences Compensation Plan (07/01/15) – Revised APM 670, *Health Sciences Compensation Plan*, is effective July 1, 2015. APM 670, Appendix B, *Guidelines on Occasional Professional Activities by Health Sciences Compensation Plan Participants* (July 2012) is now replaced by APM 671, *Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants* (July 2014). As of July 1, 2015, APM 670, Appendix B no longer applies to any faculty members and thus should be retired. This is the only revision to APM 670 issued on July 24, 2015 and effective July 1, 2015.

APM 133-17-g-l Limitation on Total Period of Service with Certain Academic Titles, 210-1-c-4 Review and Appraisal Committees, 220-18-b Professor Series, 760-30-a Leaves of Absence/Childbearing Leave, Parental Leave, and Active Service-Modified Duties (09/01/15) – Issued on August 20, 2015, APM sections 133-17-g-l, *Limitation on Total Period of Service with Certain Academic Titles*; 210-1-c-4, *Review and Appraisal Committees*; 220-18-b, *Professor Series*; and 760-30-a, *Family Accommodations for Childbearing and Childrearing*, are effective September 1, 2015. These revisions to four separate APM sections strengthen these important and longstanding University policies, and clarify the range of reasons for which faculty may request and receive approval to extend the tenure clock. While current policy provides for an automatic extension of service limitations when leave is related to childbearing, adoption and childcare, a faculty member may now request to extend the clock for a serious personal health condition, for illness or bereavement of a family member, or for other significant circumstance or event. The Vice Provost evaluates and has approval authority for all tenure clock extensions requested for reasons other than child-bearing, adoption or child-rearing.

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

Sincerely,

A handwritten signature in black ink, appearing to read "Maureen L. Stanton", with a long horizontal flourish extending to the right.

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

CENTRAL CAMPUS DEADLINES FOR ACADEMIC PERSONNEL ACTIONS

NOTE: There will be two major changes effective Academic Year 2017-2018, both are explained in this year's Annual Call, under the section "New Practices in Academic Reviews":

- 1. Administrative Deferrals**
- 2. New Deadline for Submitting Materials to Review Files**

The following deadlines have been established for the academic personnel peer review process in 2016-17. These deadlines exist to ensure that peer and administrative review proceeds in a timely manner and to allow for prioritization of workload for the Academic Senate and Academic Federation review 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 require 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 14	Recommendations for promotion to Associate Professor (or equivalent titles) and promotions for Academic Federation titles to the Associate rank, excluding the following Federation title series: Librarians, Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist.
December 5	Recommendations for all other promotions, excluding the following Federation title series: Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist.
December 12	Recommendations for 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.
December 16	<p>Recommendations for merit increases to Full rank, Step 6.</p> <p>In addition, all other Senate merit actions except those to or within the Above Scale rank (see February deadline). Note that a number of these actions may be non-redelegated. Examples:</p> <ol style="list-style-type: none">1. Third action and beyond for department chairs2. Associate Deans'3. Actions in which the department has recommended 2 or more steps
January 6	Recommendations for all other promotions in the following Federation title series: Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist.

January 9	<p>Recommendations for merit increases to Associate rank, Step 4 and Step 5 for Professional Researchers, Specialists in Cooperative Extension, and Academic Senate titles that do not meet the redelegated pilot program for these steps.</p> <p>Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner.</p>
February 3	<p>Recommendations for all Above Scale advancements.</p> <p>Recommendations for appointment/reappointment of Endowed Chair/Professorship holders if the appointment/reappointment is to be announced at the April donor dinner.</p>
February 10	<p>Recommendations for accelerated merit increases and accelerated promotions for:</p> <ol style="list-style-type: none"> 1. Academic Administrators 2. Academic Coordinators 3. Continuing Educators
March 3	<p>Recommendations for merit increases and promotions for Librarian titles (including Law Librarian and Assistant, Associate University Librarian).</p> <p>Appraisals from the deans' offices.</p> <p>All other redelegated Academic Federation actions.</p>
May 10	<p>Recommendations for appointments that require Vice Provost or Chancellor approval for actions effective July 1, 2017.</p>

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.
- An action is retroactive if the dean is not able to make a decision within 60 days after the effective date of the action. Any retroactive action requires the review and approval of the Vice Provost – Academic Affairs, including actions normally redelegated to the dean for approval.
- 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.

APM 025 Category 1 Activities
Items to Consider/Review for Prior Approval Requests

[APM 025-2-a](#) states, “Faculty members who are employed by the University of California owe their primary professional allegiance to the University and accept as their own the University’s responsibilities to advance and communicate knowledge. Teaching, research or other creative activities, and the cultivation of scholarly or creative competence, are their primary activities and should receive the largest commitment of time and energy; the same expectation exists for part-time faculty to the extent of their faculty appointment....”

Days allowed for Outside Professional Activities (OPA): 39 (academic year appointees) and 48 (fiscal year appointees)

Category I activities most likely to create a conflict of commitment because:

- 1) they are activities related to the training and expertise which is an individual’s qualification for University appointment, but performed for a third party, and/or
- 2) they require significant professional commitment.

Outside Professional Activities must not interfere with obligations to the University and “it is expected that the use of days will be allocated evenly across service periods” and “if ...receives summer compensation....the limit ...is the equivalent to one day per week, during the period such compensation is received.” (See [APM 025-8-b-\(1\)](#) and [APM 025-8.c](#))

REVIEW PRINCIPLES/QUESTIONS

Please comment on and/or provide the following:

1. Does the activity cause real or apparent conflict or interference with the fulfillment of faculty obligations?
2. Does the activity fall within the time limits allowed for Outside Professional Activity?
3. How does this activity enhance the mission of the University?
4. Please attach an itinerary for Outside Professional Activity.

Note, a leave should be requested for activities that require time away from the campus, per the specified leave requirements, e.g., 7 days or less approval required by Chair, 7-30 days approval required by the Dean, and greater than 30 days, approval required by Vice Provost.

Outside Teaching – Category I – *requires Chancellor approval*

1. Will the person be compensated for this activity? *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses. (Amount of compensation is not required for faculty who fall under APM 025.)
2. Will the person receive a formal academic appointment at the outside institution?
3. Is there a contract, letter of agreement or letter of appointment for the work to be performed? If so, please attach.
4. Will the person request (or has requested) a leave from UC Davis?
5. Are UC Davis students involved? If so, please describe their role.

Outside Research – Category I – *requires Chancellor approval*

1. Provide documentation of consultation with the InnovationAccess Office within the Office of Research, regarding Intellectual Property concerns. (AA working on a process with OVCR.)
2. Will the person be compensated for this activity? *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses. (Amount of compensation is not required for faculty who fall under APM 025.)
3. Will the person receive a formal academic appointment at the outside institution/company?
4. Is there a grant contract, MOU or other related documentation explaining the nature of involvement in this activity? If so, please attach.
5. Will the person request (or has requested) a leave from UC Davis?
6. Are UC Davis students involved? If so, please describe their role.

APM 671 Category 1 Activities
Items to Consider/Review for Prior Approval Requests for HSCP Members

[APM 671-2-a](#) states, “Faculty members who are employed by the University of California owe their primary professional allegiance to the University and accept as their own the University’s responsibilities to advance and communicate knowledge. Teaching, research or other creative activities, clinical care, and the cultivation of scholarly or creative competence are their primary activities and should receive the largest commitment of time and energy; the same expectation exists for part-time faculty to the extent of their faculty appointment.” Outside Professional Activities must not interfere with obligations to the University.

Days allowed for Outside Professional Activities (OPA): 21 (members of the comp plan; non-comp plan members fall under APM 025)

Category I activities most likely to create a conflict of commitment because:

- 1) they are activities related to the training and expertise which is an individual’s qualification for University appointment, but performed for a third party, and/or
- 2) they require significant professional commitment.

“Outside professional activities must be undertaken in a manner consistent with the faculty member’s professional obligations to the University. Outside activities must not conflict with the faculty member’s obligations to students, colleagues, or to the University as a whole.” (See [APM 671-8-a](#))

REVIEW PRINCIPLES/QUESTIONS

Please comment on and/or provide the following:

1. Does the activity cause real or apparent conflict or interference with the fulfillment of faculty obligations?
2. Does the activity fall within the time limits allowed for Outside Professional Activity?
3. How does this activity enhance the mission of the University?
4. Please attach an itinerary for Outside Professional Activity.

Note, a leave should be requested for activities that require time away from the campus, per the specified leave requirements, e.g., 7 days or less approval required by Chair, 7-30 days approval required by the Dean, and greater than 30 days, approval required by Vice Provost.

Outside Teaching – Category I – *requires Chancellor approval*

1. Will the person be compensated for this activity, and if so, how much? *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.
2. Will the person receive a formal academic appointment at the outside institution?
3. Is there a contract, letter of agreement or letter of appointment for the work to be performed? If so, please attach.
4. Will the person request (or has requested) a leave from UC Davis?
5. Are UC Davis students involved? If so, please describe their role.

Outside Research – Category I – *requires Chancellor approval*

1. Provide documentation of consultation with the InnovationAccess Office within the Office of Research, regarding Intellectual Property concerns. (AA working on process with OVCR.)
2. Will the person be compensated for this activity, and if so, how much? *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.
3. Will the person receive a formal academic appointment at the outside institution/company?
4. Is there a grant contract, MOU or other related documentation explaining the nature of involvement in this activity?
5. Will the person request (or has requested) a leave from UC Davis?
6. Are UC Davis students involved? If so, please describe their role.