

UC Davis Academic Personnel Manual

Appointment and Promotion

Section UCD-220AF, Academic Federation Review and Advancement

Date: 1/17/04, revised 7/9/04 and 10/11/05

Supersedes: New

Responsible Department: Academic Personnel

Source Document: UC APM-220 and UCD-220

Exhibit A, Criteria Used for Evaluating Performance When Soliciting Extramural Evaluations

Exhibit B, Model Format for Letters Soliciting Extramural Evaluations for Academic Federation Promotions

Exhibit C, Sample Departmental Letters--Academic Federation

Procedure 1, General Procedure for Merit or Promotion

I. Purpose

This policy section summarizes the principles, policies, and procedures at UC Davis that govern the evaluation and review of academic performance (for merit or promotion) of members of the Academic Federation. The information provided in this document also serves as a guide for the form and content of an employee's review file.

These procedures should be used for each personnel action, taking into account relevant variations for the specific title series outlined in Sections APM-220 and UCD-220 for the specific title series of the candidate.

II. Definition

Department--for purposes of this policy, a teaching, research, administrative, or other organizational unit.

III. Scope

A. Applicable Academic Federation title series

1. The procedures in this section apply to the title series listed below. UC Systemwide (APM) and campus (UCD) sections specific to each title are listed in parentheses.
 - Academic Administrator (APM-370, UCD-370)
 - Academic Coordinator (APM-375)
 - Agronomist (___ in the Agricultural Experiment Station) (APM-320, UCD-320)
 - Assistant, Associate University Librarian (APM-365)
 - Continuing Education Specialist (APM-340, UCD-340)
 - Librarians (non-represented) (APM-360)
 - Professional Research (APM-310)
 - Project (e.g., Scientist) (APM-311)
 - Specialist, Specialist in the Agricultural Experiment Station, Education Extension Specialist (APM-330)
 - Specialist in Cooperative Extension (APM-334, UCD-334)
 - Supervisor of Physical Education (APM-300)

- University Extension Teacher (UCD-340B)
2. For titles administered under a Memorandum of Understanding (MOU), refer to the appropriate contract and relevant UCD policy sections that implement the contracts.
 - Librarians (Unit 17)
(http://atyourservice.ucop.edu/employees/policies/systemwide_contracts/lib/lib_contract.pdf)
 - Lecturers, Supervisors of Teacher Education, Nursery School Teachers
(http://atyourservice.ucop.edu/employees/policies/systemwide_contracts/nsi/index.html)
 3. While employees holding an appointment in the Adjunct Professor series (APM-280) or Health Sciences Clinical Professor series (APM 278) are members of the Academic Federation, policies and guidelines administering Academic Senate appointees govern this series (UCD-220).
 4. Appointees in the Agronomist (___in the AES) series and the Professional Research series who jointly hold an Academic Senate title are administered fully under the Academic Senate policies governing academic personnel review and advancement (UCD-220).
- B. Special notes: Academic Senate processes for specific Academic Federation title series
1. Deferrals (UCD-220, II.A). A deferral must be requested for certain academic title series when the individual is eligible but is not to be considered for normal advancement. This procedure applies only to appointees in the following title series in the Academic Federation:
 - Agronomist (___in the AES)
 2. Appraisals (UCD-220, IV.B). An appraisal is a detailed analysis and evaluation of an academic appointee's past achievement and normally occurs in the fourth year at the rank of assistant (or in combination with other eligible titles; see APM-133). The appraisal is intended to provide frank and candid assessments of the appointee's performance and collegial recommendations for further career development. This procedure applies only to Academic Federation appointees in the following titles:
 - Assistant Agronomist (___in the AES)
 - Assistant Specialist in Cooperative Extension
 3. Overlapping steps (UCD-220, IV.A.1). These notes and policies apply only to the following title series:
 - Agronomist (___in the AES)
 - Professional Research
 - Specialist in Cooperative Extension
 - Project Scientist
 4. Preliminary assessment (UCD-220, IV.F.10). Preliminary assessments will be sent to departments only in cases of intended denial of promotion to associate rank with resulting termination of appointment. These policies and procedures apply only to the following title series:
 - Agronomist (___in the AES)
 5. Five-year review (UCD-220, II.B). These policies and procedures apply only to the following title series:

- Agronomist (___in the AES)
- Professional Research
- Supervisor of Physical Education

IV. Eligibility for Advancement

Refer to each title series in the relevant Academic Personnel Manual section (see III.A, above) for normal review cycles.

V. Access to Review Records (UCD-220, III)

For Academic Federation actions, comments from the peer group are treated in the same manner as extramural letters. That is, a single peer review group letter should not have identifying names in the body, and if a department summarizes the peer review group's comments or if individual letters are submitted, then these should be treated as confidential and be redacted, if necessary.

It should also be noted that, in addition to the items listed in the link above, the following are considered to be "non-confidential review records:"

Comments by Academic Federation personnel committees

VI. Review and Advancement Actions

A. Merit increases (UCD-220,IV.C)

1. The period covered by the review for merit is as follows:

- Up to Full title, Step V (Step III for Specialist,* Step IV for Supervisor of Physical Education): the period since last advancement.
- For Full title, Step VI (Step IV for Specialist,* Step V for Supervisor of Physical Education): the period since advancement to Full title.
- For Full title, Step VII, VIII or IX (Step V for Specialist,* Step VI for Supervisor of Physical Education): the period since advancement to current step.
- To Above Scale: the period since advancement to full rank.
- Academic Administrator, Academic Coordinator, and Continuing Education Specialist to higher level: the period since last advancement.

*Specialist title series includes Specialists, Specialists in the AES, and Education Extension Specialists.

2. Advancement to upper levels (UCD-220, IV.C.4)

See the procedure and checklist for merit increases.

B. Promotions (UCD-220, IV.D)

The period of service covered by a review for promotion is as follows:

- To Associate level: appointment to date.
- To Full title: period since promotion to Associate.
- Academic Administrator, Academic Coordinator, Continuing Education Specialist, to higher level: period since last promotion.

See the procedure and checklist for promotions.

C. Evaluating academic performance (Exhibit A, Criteria for Evaluating Performance and for Soliciting Extramural Evaluations)

VII. Conducting Academic Reviews

- A. Initial consultation with candidate (UCD-220, IV.F.1, Chair's Sequential Checklist for Personnel Actions)
- B. Optional candidate's statement (UCD-220, IV.F.2)
- C. Extramural letters and letters of evaluation (UCD-220, IV.F.3)
 1. Extramural letters from distinguished extramural informants are required for:
 - a. All promotions.
 - b. Specialist series: merit advancement to Step IV.
 - c. Adjunct Professor, Agronomist (___ in the AES), Specialist in Cooperative Extension, Professional Research series, Project Scientist series: merit advancement to Step VI.
 - d. Supervisor of Physical Education: merit advancement to Step V.
 2. Clientele letters may be solicited (but are not required) for merit actions other than Full Title, Step VI (Step IV for Education Extension Specialist) and above-scale for candidates in the following title series:
 - Specialist in Cooperative Extension
 - Education Extension SpecialistClientele letters may be solicited in promotion actions for the following title series:
 - Academic Administrator
 - Academic Coordinator
 - Continuing Education Specialist
 3. Intramural letters (UCD-220, IV.F.3.f)
- D. Candidate's access to file prior to peer group review and voting group vote (UCD-220, IV.F.7)

Before the department's recommendation is determined, the department chair shall provide the candidate the opportunity to inspect all non-confidential documents in the personnel review file (as defined in APM-160-20-b(2)) and shall provide to the candidate a redacted copy of the confidential records in the file. This is to allow the candidate the opportunity to correct any errors of fact.
- E. Peer group review, voting requirements, and consultation with department faculty
 1. Peer review and voting group requirements

The department's recommendation is made in accordance with the procedural regulations of the Academic Federation and established governance practices for Academic Federation members of the department.

The department's consultation process must include input from a designated peer group and a vote of the designated voting group for the candidate. The composition of both the peer group and the voting group for a candidate must be identified within a written plan approved in advance by the Vice Provost--Academic Personnel in consultation with input from the appropriate Academic Federation personnel committee. The plan must also include details of the consultation process to be used. Refer to UCD Directive 01-110 for guidelines on peer and voting group procedures.

2. Department letter (UCD-220, IV.F.4.b)
 3. Reporting on the department vote (UCD-220, IV.F.4.c)
- F. Department letter of evaluation (UCD-220, IV.F.5)
- For Academic Federation titles, this letter should address only those areas applicable to the title series. In addition to teaching, research, and University and public service, certain Academic Federation titles should be reviewed for performance in administration (Exhibit A). For evaluating performance in administration, the department letter should summarize the candidate's administrative responsibilities during the review period. The letter should remark on the intellectual leadership and scholarship in:
1. Quality of the planning, developing, and evaluation of programs.
 2. Direction and supervision of staff.
 3. Management of program resources.
 4. Administration of a program/department in relation to its mission including complexity of department and level of independence.
- G. Assembly and submission of the dossier
- The order of assembly should adhere strictly to the order of the checklist.
- H. Late submission of material and departmental responsibility for review (UCD-220, IV.F.9.b and c)
- Peer review and voting groups shall be invited to comment on any new material added to the review file.

VIII. Appeals

After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor or other designated administrative officer a written statement of the reasons for that decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records (as defined in APM-160-20-b(1)) in the personnel review file.

Appointees have the right to appeal a negative decision. An appeal must be initiated within 30 calendar days of notification of said decision.

IX. Approval Authority

The authority to approve merits and promotions is outlined in the UC Davis delegations of authority <http://academicpersonnel.ucdavis.edu/delegations/index.cfm>.

X. Procedures, Checklists, Exhibits, and Forms

A. Procedure:

- 1, General Procedure for Merit and Promotion

B. Checklists:

- 1, Chair's Sequential List for Personnel Actions

Checklists for specific titles are available at:
(<http://academicpersonnel.ucdavis.edu/forms/forms.cfm#checklists>)

Academic Administrator/Academic Coordinator

Assistant Librarian/Associate Librarian/Librarian

Assistant University Librarian/Associate University Librarian

Agronomist (___ in the Agricultural Experiment Station)

Continuing Education Specialist (University Extension only)

Professional Research

Project (e.g., Scientist)

Specialist

Specialist in Cooperative Extension

Supervisor of Physical Education

C. Exhibits:

A, Criteria Used for Evaluating Performance when Soliciting Extramural Evaluations

B, Model Format for Soliciting Extramural Evaluations for Academic Federation Promotions

C, Sample Departmental Letters

D. Forms (<http://academicpersonnel.ucdavis.edu/forms/forms.cfm>):

- Candidate's Certificate of Reviewers' Comments
- Candidate's Disclosure Certificate for Academic Federation Series
- Inventory Control Receipt