

Academic Advancement review for new Department Chairs

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Vice Provost -- Academic Affairs**

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Advancement policies and practices: Resources

- **UC APM 220** describes system-wide policy for merits/promotions in the Professor series
- **UC APM 285** describes system-wide policy for Lecturer SOE series (significant revision is in planning stage)
- **APM UCD 220 and 285** describe campus implementation of APM 220 plus our procedures, checklists, and sample letters
- See the **Step Plus Toolkit** on the Academic Affairs website for information and guidance

APM – <http://manuals.ucdavis.edu/apm/apm-toc.htm>

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Awards - national and international awards and honors for our academic community



Upcoming Events

[2015-16 New Faculty Brown Bag Schedule](#)

[2015-16 Department Chairs Brown Bag Schedule](#)

Recent Academic Advisories sent to the Deans

AA2015-06 - Academic Enrichment Accounts

What's New

- [2015-16 Annual Call for Academic Personnel Advancement Actions](#)
- [Step Plus PPS Data Entry Guidelines](#)
- [VP Stanton's Step Plus Presentation regarding voting and ballots \(PDF\)](#)
- [Ebola Advisory](#)
- [New Extramural Letter Requirements](#)
- [2014-15 Annual Call for Unit 18 Members](#)
- [Position Planning Tool](#)
- [Step Plus System](#)
- [Capital Resource Network](#)
- [Step Plus Orientation Presentation \(PDF\) March 5, 2014](#)
- [2014-15 Call for Chancellor's Postdoctoral Fellow Applications](#)
- [2015-16 New Faculty Brown Bag Schedule](#)
- [2015-16 Department Chairs Brown Bag Schedule](#)
- [2015-16 Associate Professor Brown Bag Schedule](#)

CHAIR'S ROLES IN THE ACADEMIC PERSONNEL PROCESS

- Liaison between faculty member & Dean/Administration
- Proactive *mentor and advocate* in career advancement of faculty
 - Meets at least annually with each faculty member (perhaps more frequently with junior faculty)
 - Ensures that department and university policies are followed in all personnel actions
 - Is an agent for change in making personnel processes fairer and more efficient

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MIV Information Testimonials

What's New

- [Step Plus PPS Data Entry Guidelines](#)
- [VP Stanton's Step Plus Presentation regarding voting and ballots \(PDF\)](#)
- [Ebola Advisory](#)
- [New Extramural Letter Requirements](#)
- [2014-15 Annual Call for Unit 18 Members](#)
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- [2014-15 Annual Call for Academic Personnel Advancement Actions](#)

ANNUAL CALL

A few highlights for 2015-16

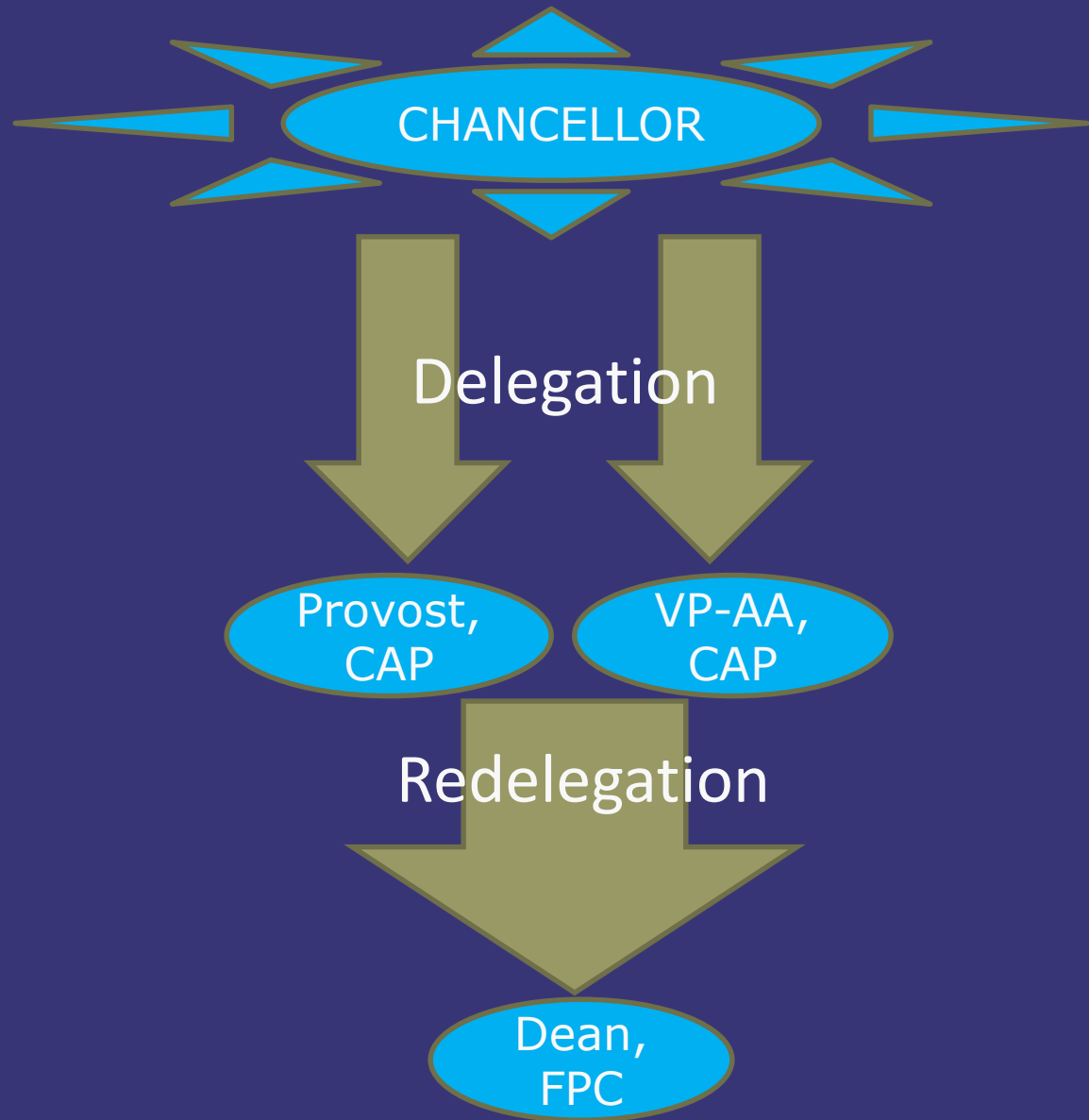


- Recruitments:
 - All candidates are now given the option to submit “Contributions to Diversity” statements
 - 2-stage interviews require submission of 2 shortlist reports via UC Recruit
 - Recruitment committee chairs must submit a COI form
- Streamlining for appointment dossiers:
 - Department can upload c.v. instead of entering data into MIV
 - Reminder: ≥ 4 application letters suffice at all Assistant ranks
- Academic Federation research titles, including Adjuncts, HSCP faculty and CE Specialists, are now on the Step Plus system

Writing effective department letters for Step Plus actions

- If >1.0 step advancement is being recommended by the majority of the department:
 - Clearly identify which areas of performance are outstanding
 - Explain ways in which performance greatly exceeds expectations for regular advancement
- Report the full vote and all the rating scores (if these were done).
- Address potential weaknesses in the record, as well as strengths.
- **Recommended: append all ballot comments to the letter.**
 - “NO” voters must provide explanation
 - **Encourage comments on positive ballots, as well!**
- Indicate rationale for recommendation within Step Plus framework—which, if any, areas are deemed “outstanding”, and why?
- **Provide a clear, unambiguous description of the department vote**

Delegation of authority: a primer for the confused



NEW: Step Plus– is an action redelegated or not?

It is the candidate's right to pursue advancement, even if the department vote is negative.

However, at the urging of the Senate, the candidate's preference no longer determines delegation of authority for a merit action

- If any of the reviewing bodies* recommends an action that is non-redelegated, the action becomes non-redelegated
 - Reviewing bodies: home department, other departments, FPC, or dean
- The MIV dossier will indicate a default proposed action of 1.0-step advancement at the time of the department vote
- “Proposed action” will be updated through process to reflect the highest advancement recommended by any reviewing body

==> If an action is within 2 steps of a promotion or barrier step, consider making maximum review period accessible in MIV



Review of the merit and promotion process



Extramural referees

- Which referees are NOT arm's-length?
 - Former mentors, mentees; collaborators; close friends or professional associates; relatives
 - Encourage referees to describe their relationship to / knowledge of the candidate below the signature block
- Developing lists of extramural referees
 - Ask candidate to generate a list of colleagues/experts who can evaluate the work (this list may include arm's-length referees)
 - Chair generates ***a completely independent*** department list ***of arm's-length referees only***
 - *Any referee on both lists can legitimately be "claimed" for the department list*
- The Chair identifies each extramural letter as "arm's-length" or "not arm's-length" and as being from department's or candidate's list

Communication with extramural referees

- Contact potential reviewers early (late Spring, early summer)
 - at least half should be from the department list
- Provide reviewers a time frame for response & information about campus work-life policies
- Send CV, draft of candidate's statement, publications; book chapters or manuscript (only if book is very near acceptance)
 - **Send publications *only from the period under review***
 - For merits to Above Scale, even though the whole career provides context, **encourage referees to discuss recent work**
 - Keep sending reminders, as needed!!!!

NOTE: **Solicit intramural letters** from Grad Dean (if candidate is a grad group chair), Center Directors, Clinic Directors, peer reviewers of teaching (for promotion)

No more letters for merit to Prof 6: what are the implications?

- Merit to P6 requires evidence of national impact and recognition. APM 220-18b (4) describes merit advancement P6 as follows
- *Without letters from national authorities, such impact may be harder to demonstrate*
- Our new process is placing more emphasis on documentation of :
 - Scholarly impact of publications (citations, etc.)
 - Invitations to speak/exhibit/perform, especially plenary addresses
 - national/international service based on scholarly/creative work

The candidate's statement

- 1-5 pages (longer statements may be appropriate for P6 and Above Scale)
- Should present candidate's perspective in all areas under review in language accessible to non-specialists
 - CAP Chair: consider CAP to be like a grant review panel
- Should include impact of work, stressing intellectual leadership, creativity and uniqueness of work, and identifying technical contributions
- Should focus on the period under review

1st dossier review by candidate

- Before department faculty review, candidate checks dossier, *including redacted letters*
- Chair corrects factual errors
- Candidate may write rebuttal letter to voting faculty about issues raised in redacted letters

Departmental vote

- Before your first action of the 2015-16 merit cycle:
 - Evaluate your Step Plus voting process and ballot
 - Review your current voting procedures and Senate Bylaw 55
 - Many departments have recently hired SOE Senate faculty
 - Consider the role that more junior faculty can play in the process— many do not fully understand the benchmarks ahead of them
- Votes are totally confidential
- Negative votes *must* indicate reasons on ballot
- Under Step Plus, positive comments are also extremely important, and encourage your faculty to provide them
- Consider an online voting system, e.g. ASIS from the Senate

Evaluation of scholarly and creative work



Scholarly independence is no longer a key criterion for Senate faculty, given that many research areas are highly collaborative

Evidence for *intellectual/conceptual leadership, uniqueness and creativity* should be stressed for the Professor series

- Candidate: Care should be taken in describing Contributions to Jointly Authored Works
- Reviewers: Leadership should not be assumed just from authorship position.

Candidate and department letter should *describe* how contributions originated or changed the course of the project.

Department letter

- 2 pages maximum for merits
- Up to 5 pages for promotions, merits to barrier step
 - Appended comments from department voters do not count towards the page limit
- Reflects department view (not Chair's view)
- Don't duplicate candidate's statement
- Discuss *impact* of scholarly activities, innovative teaching, outreach, contributions to diversity & any extenuating circumstances
- Include language for Work-Life (WL) Program participation if appropriate.

Department letter (continued)

- Department letter should not be in final or near-final form prior to the department vote
- Don't include comments about off-scales or retentions (salary should not be discussed as part of the department evaluation)
- CAP and I strongly recommend appending all written faculty comments to the department letter; however the chair may have to exercise discretion
- Voting faculty should have opportunity to review draft letter, including faculty votes, and suggest changes to Chair

Contributions to diversity as criteria for advancement

PROMOTING DIVERSITY EFFORTS RECOGNIZED IN MERITS AND PROMOTIONS, PER **UC APM 210**:

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

(1/1/06)



The department letter should address the candidate's contributions to diversity

- Strongly encourage your faculty members to provide information in the “Contributions to diversity” sections in MIV
 - Teaching
 - Service
 - Research
- Discuss these contributions in faculty meetings
- Consider rating these contributions (e.g. 1-5), along with other critical areas of faculty performance



Faculty Equity and Inclusion

Faculty Equity & Inclusion

[Why Does UC Davis Seek Diversity Statements From Applicants](#)

[Guidelines for Writing a Diversity Statement](#)

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Examples of diversity-promoting efforts

Teaching

- Modules/exercises to help under-represented students become more engaged with the topic, e.g. units that include contributions from different ethnicities/genders
- Methods/practices to foster an inclusive classroom environment
- Writing grants targeting at teaching/mentoring of diverse groups
- Use of methods that enhance learning outcomes for a diverse student body
- Mentoring students from under-represented or under-served groups

Examples of diversity-promoting efforts

Service

- Calling/encouraging admitted students from diverse backgrounds to attend UC Davis, go on to higher degrees
- Participating in outreach programs focused on under-served or under-represented groups
- Developing grant proposals to enhance diversity-building efforts



Examples of diversity-promoting efforts

Research

- Studies of gender/ethnic differences in _____ (e.g., learning methodology effectiveness, healthcare disparities, access to higher education,...) with dissemination of useful findings
- Making an extra effort to conduct research/creative activities in settings that will more fully engage and benefit under-served communities

Candidate reviews the department letter and dossier before it leaves the department

- Department letter content is not negotiable, but candidate can ask that inaccuracies be corrected
- If candidate disagrees with statements in final version of department letter, he/she may write rejoinder letter to Dean or VP-AA (by-passing Chair); has 10 days to do so
- Do *not* reveal names of extramural letter writers (or describe them in the letter)
- Final step: Candidate signs disclosure statement verifying that packet is complete & factually accurate

Confidential Chair's letter (optional)

- Letter is confidential from faculty
- Letter is confidential from candidate until after the action is completed
- Candidate can request a redacted copy after administrative decision (i.e., before an appeal)
- Letter still remains confidential with respect to department faculty
- Collegiality is a legitimate factor for evaluation to the extent that it demonstrably affects research, teaching or service
- Why include a Chair's letter?

What happens to the dossier next?

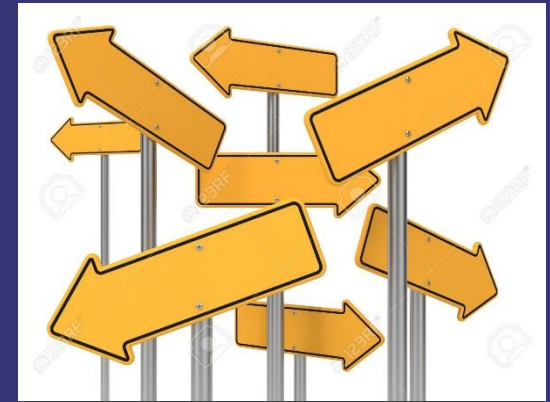
Redelegated vs. non-redelegated merits

- If **redelegated**, your Dean makes the final decision (advised by the FPC)
 - Step Plus, 1.0- and 1.5-step merits, except those to or beyond a merit step
 - Old system: merit accelerations that don't skip a step
- If **not redelegated**, the Vice Provost – Academic Affairs makes final decision (except for tenure decisions), advised by CAP
 - Promotions, merit to Prof 6, merit to Prof Above Scale, merits to Further Above Scale
 - Step Plus: proposed actions ≥ 2.0 steps
 - Old system: skip-step accelerations;
 - URL for professorial series:
<http://academicaffairs.ucdavis.edu/delegations/delegations.cfm?page=1>

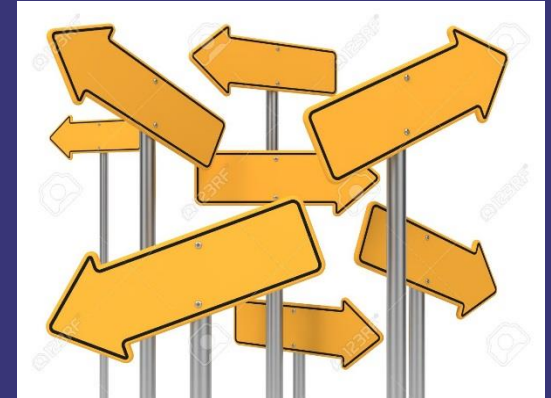


Pathway for redelegated actions

- Dossier goes from department to Dean's Office
- Dean's Office to Faculty Personnel Committee (FPC – a subcommittee of CAP – Oversight Committee)
 - This step is optional for 1st merit after appointment or promotion (except at Above Scale)
- From FPC to Dean for final action
- Appeals go to CAP-Appellate Committee, and back to Dean for final action



Pathway for non-redelegated actions



- Department to Dean's Office
- Dean makes recommendation to VP-AA
- Vice Provost sends to CAP-OC (which may recommend ad Hoc review)
- CAP recommendations to Vice Provost for final action (except for tenure)
- If tenure case, Chancellor/Provost decide after consultation with VP-AA
- Appeals go to CAP-AC; then to Vice Provost for final decision/recommendation (tenure cases go to the Chancellor/Provost)

Appeal

- Appeals occur when the candidate provides explanatory/clarifying information pertinent to the original dossier
 - No additional scholarly activities, awards, teaching evaluations, etc. are provided
 - Procedural errors / oversights may be addressed
 - Incorrect application of standards may be addressed
- Basic concept: CAP-AC does not review a dossier that differs from the dossier that CAP-OC reviewed.
- Final decision on appeal is based on the delegation of authority

Reconsideration

- Reconsideration occurs when the candidate provides substantive, additional materials to the dossier after CAP-OC review
 - This often happens in response to a preliminary negative assessment during a 7th-year tenure review.
 - During an appeal, CAP-AC may return a revised dossier to CAP-OC for reconsideration if CAP-AC feels that added materials are substantial.
- Additional materials include scholarly activities (e.g., ms accepted in final form; art shows; invited talks, etc.); newly arrived external letters solicited earlier by Chair; Fall quarter teaching evaluations; ...
- Activities must have occurred within review period (i.e., no later than 12/31 of the academic year, except for 7th year tenure review)
- Note: updates to the dossier may also be provided *before* CAP-OC review; candidate will need to sign a new disclosure statement

Deferral

- Required if candidate chooses not to go forward for advancement when eligible, except for Professor 5 and above
- Deferral requests are due at the same time that the corresponding merit or promotion action is due
- First & 2nd year deferrals go from Chair to Dean for approval
- Third year deferrals (i.e., 3rd consecutive deferral):
 - If no review has occurred in 5 years, a 5-year review must be submitted (reviewed by Dean, CAP and the VP-AA)
 - If reviewed within 5 years, request for 3rd year deferral must include a plan for progress; goes to Dean, to CAP, & then to Vice Provost for approval
- After deferral, candidate can go up the next year

5-year review

- All faculty are required to be reviewed at least once every 5 years (starts during their 4th year)
- Department letter reviews activities in teaching, research, service and contributions to diversity.
- **Department vote is optional.** Voting options:
 - NAPS– “No advancement, performance satisfactory”
 - NAPU– “No advancement, performance unsatisfactory”
 - Recommend “Advancement
- CAP can recommend advancement, which will require a full review, starting with a new department vote.
- Unsatisfactory performance requires a plan for progress
- Continued under-performance should lead to a shift in duties (e.g. additional teaching), and can lead to a termination process (APM 075)

Discussion

