

**Academic Advancement review for new
Department Chairs**

**Maureen Stanton
Vice Provost -- Academic Affairs**

April 5, 2017



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)**
 - **Is an agent for change in making personnel processes fairer and more efficient]\Ensures that department and university policies are followed in all personnel actions**
 - **Ensures that department and university policies are followed in all personnel actions**

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
 - *Revision of UCD 220 has lagged behind rapid changes, so refer to Advisories, Annual Calls, checklists and the Step Plus System link from the Academic Affairs website.*

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Academic Affairs

Fifth Floor
 Mrak Hall
 University of California, Davis
 One Shields Avenue
 Davis, CA 95616
[Map](#)

(530) 752-2072
 (530) 752-6250 fax



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](#)

Follow the APM links



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Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures are developed by Academic Affairs and issued by the Offices of the Chancellor and Provost and apply only to UCD, which includes all units under the jurisdiction of UC Davis, located in Davis, Sacramento, and all off-site locations.

Throughout these policies, the term "Chancellor" refers to the Chancellor and/or the Chancellor's designee. Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

IN THIS SECTION

[I, General University Policy Regarding Academic Appointees](#)

[II, Appointment and Promotion](#)

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I. General University Policy Regarding Academic Appointees

APM 005	Privileges and Duties of Members of the Faculty
APM 010	Academic Freedom
APM 015	The Faculty Code of Conduct
	UCD-015, Procedures for Faculty Misconduct Allegations
	Exhibit A, Examples of Unacceptable Faculty Conduct
	Exhibit B, Allegations of Misconduct Request for Review
APM 016	University Policy on Faculty Conduct and the Administration of Discipline
	UCD-016, Procedures for Faculty Discipline
APM 020	Special Services to Individuals and Organizations
APM 025	Conflict of Commitment and Outside Activities of Faculty Members

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MIV Information Testimonials

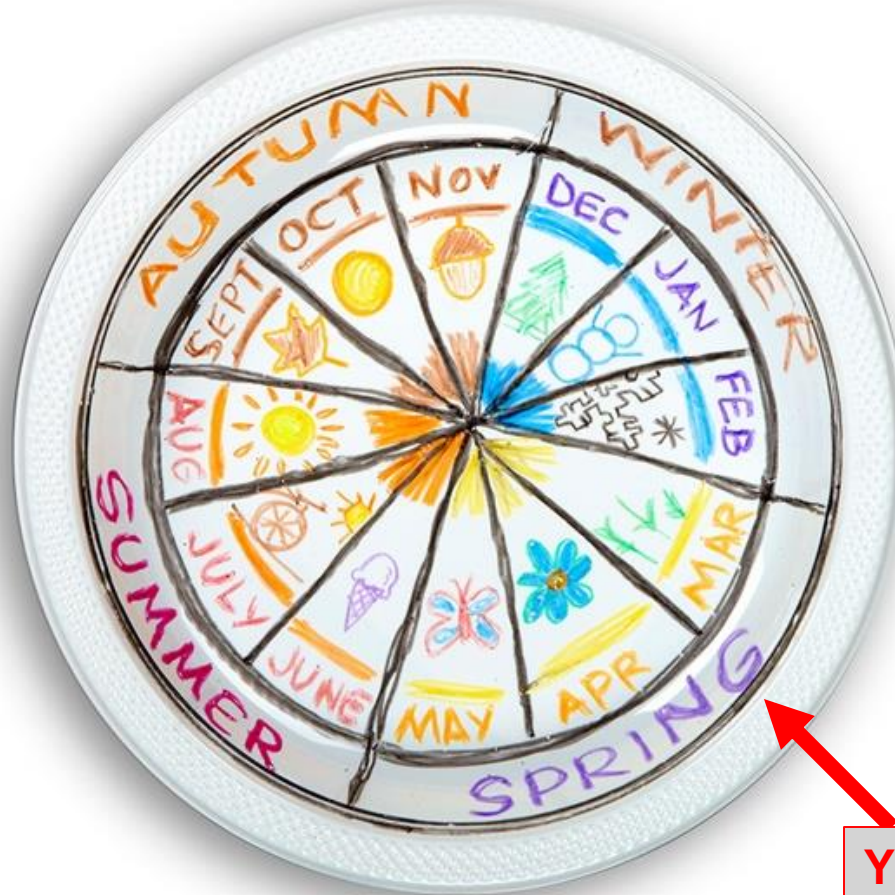
What's New

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- [2014-15 Annual Call for Unit 18 Members](#)
- [Position Planning Tool](#)
- [2014-15 Annual Call for Academic Personnel Advancement Actions](#)

Annual call: A few highlights for 2016-17

- **Recruitments:**
 - All Senate candidates must provide “Contributions to Diversity” statements. (Statements are optional for Academic Federation titles.)
 - Junior Specialists must be hired through UC Recruit
- **Merit/ Promotion Process**
 - The campus is beginning a transition to firm deadlines for dossier submission. (Initially set to 2017-18, now transitioning to 2018-19.) Once fully implemented, actions not submitted by the deadline or granted an extension will be subject to Administrative Deferral.
 - The deadline for inclusion of dossier materials has changed from December 31st to September 30
 - Candidates requesting early promotion (prior to waiting normative time at the current step) are considered only for 1-step advancement, rather than full Step Plus consideration

Merits and Promotions: Calendar outline of the Chair's role



Merits and Promotions: Calendar outline of the Chair's role



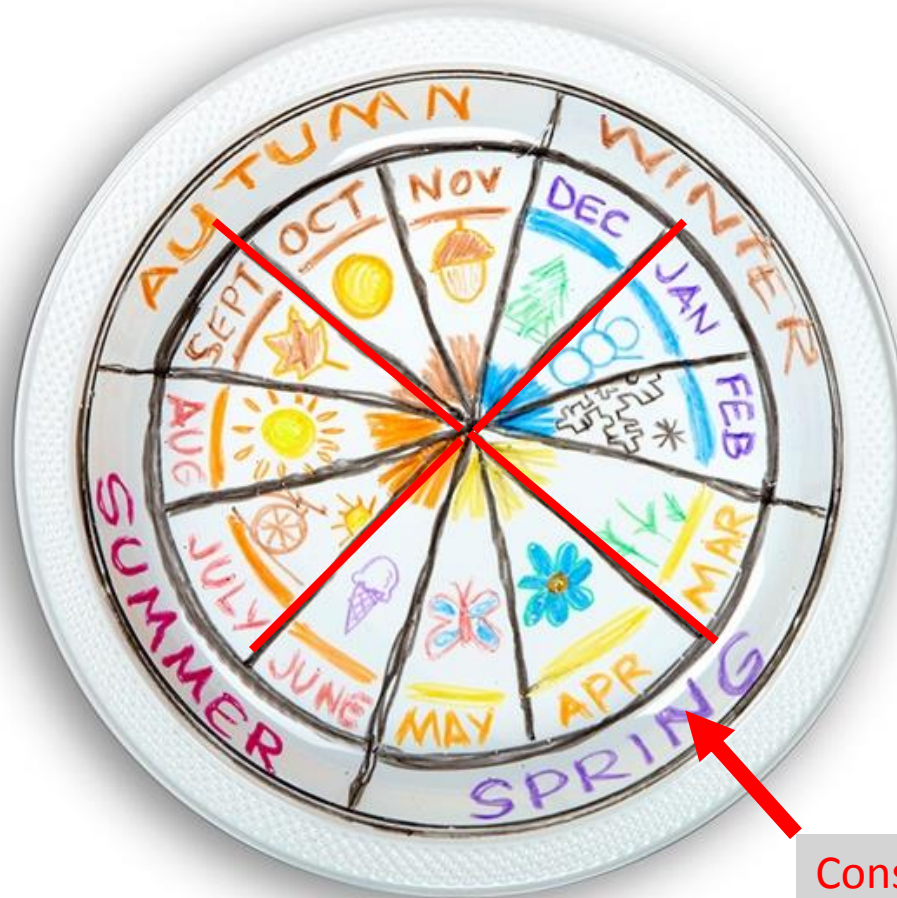
Consult with candidates for possible promotions and barrier-step merits

Merits and Promotions: Calendar outline of the Chair's role



Identify actions likely to require external letters

Merits and Promotions: Calendar outline of the Chair's role



Construct two *independent* lists of external referees

Merits and Promotions: Calendar outline of the Chair's role



Send requests to referees with a sample of publications and the candidate's draft statement

Merits and Promotions: Calendar outline of the Chair's role



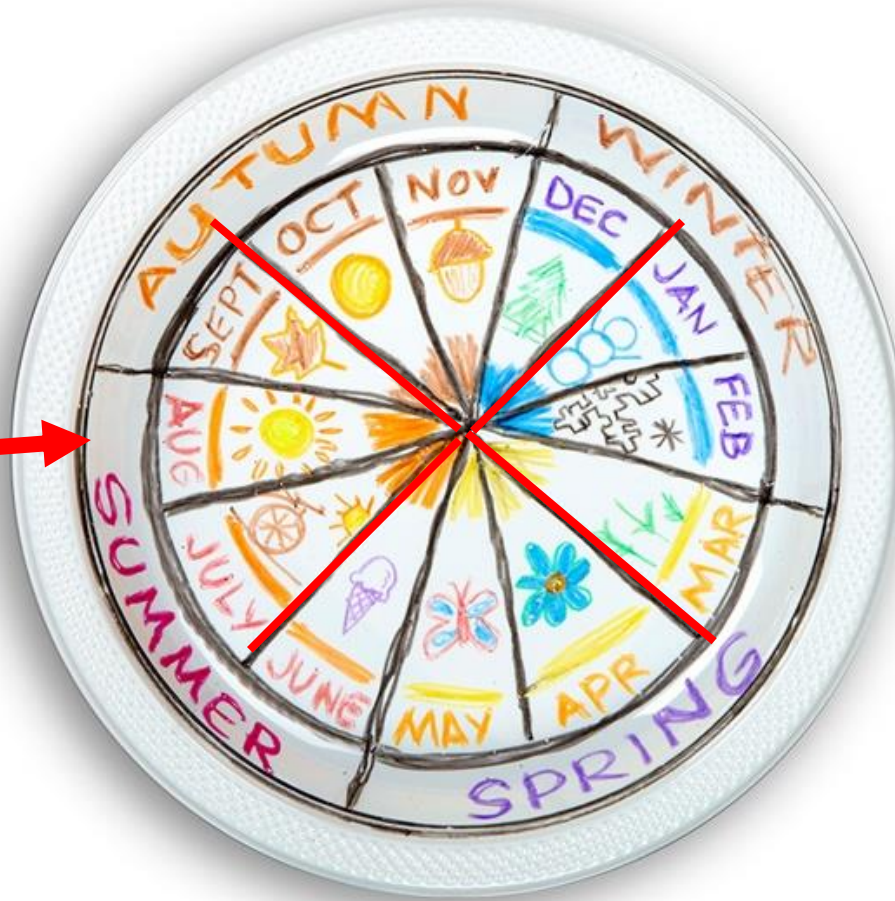
Start reminding referees from whom letters have not been received

Merits and Promotions: Calendar outline of the Chair's role



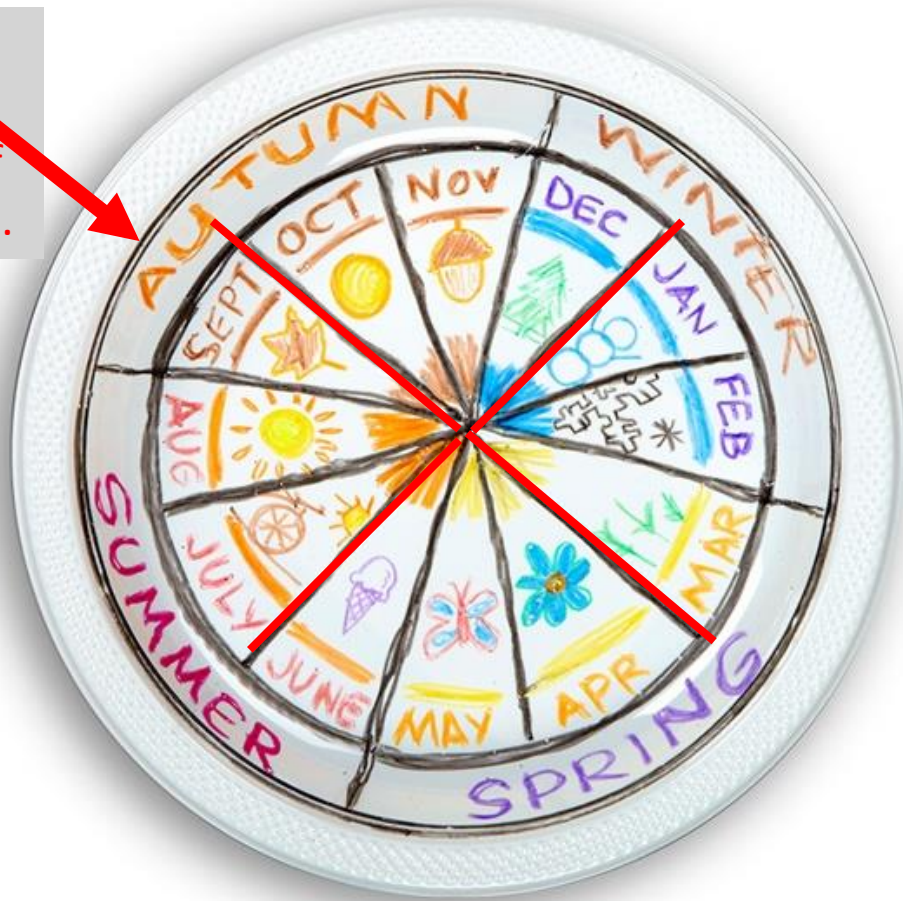
Establish Fall dept meeting schedule. Identify resource(s) to assist with department letter

Merits and Promotions: Calendar outline of the Chair's role

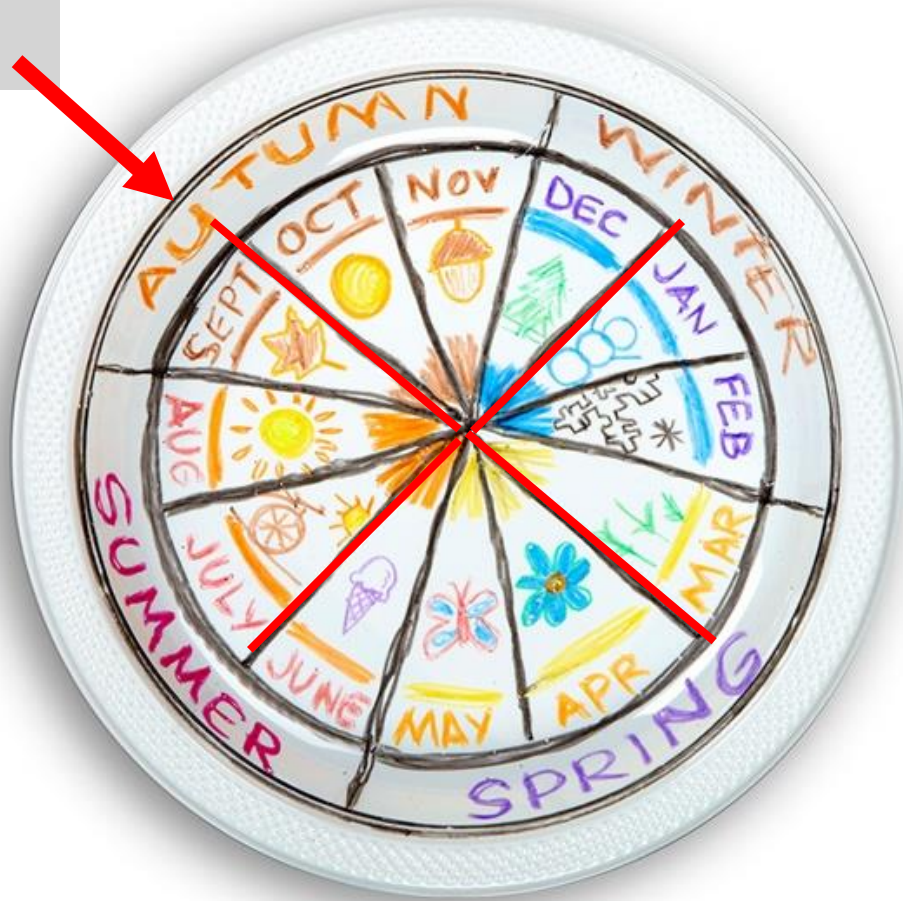


Plead with
recalcitrant
referees. Seek
more external
letters, if needed

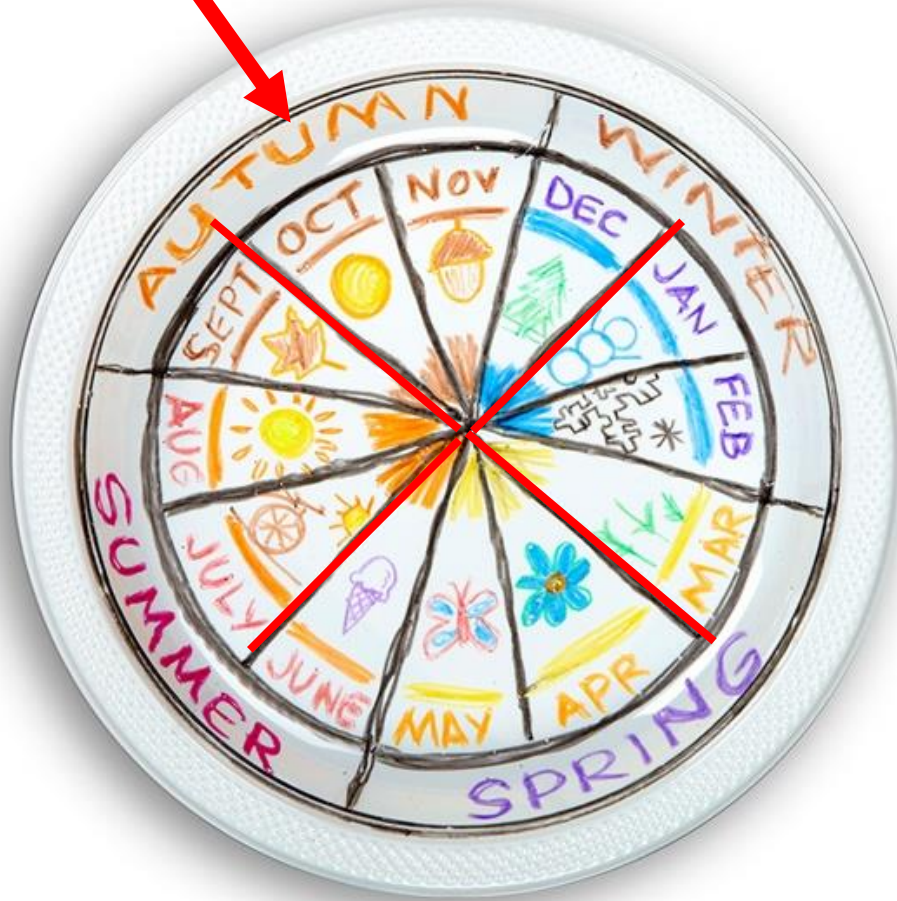
Set schedule for dept dossier discussions.
Remind candidates of submission due dates.



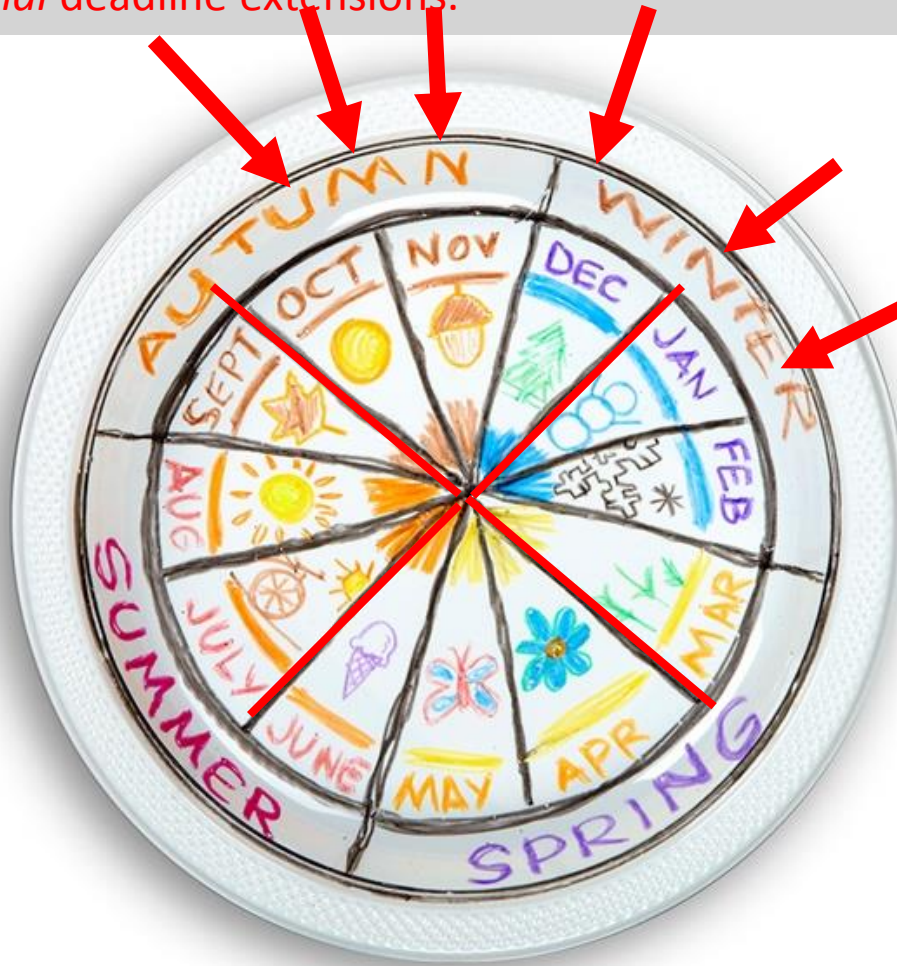
SEPTEMBER 30: final date for inclusion of dossier materials



Tenure dossiers, with
faculty vote and dept
letter are due



More dossier due dates. Finalize letters with votes. Manage rebuttals, review of dept letters by faculty and candidates, rejoinders, etc. Request *essential* deadline extensions.



Merits and Promotions: Outline of the Chair's role

- Year-round: provide mentorship, especially of new and junior faculty members
- Late Winter: consult with candidates for possible promotions and barrier-step merits
- Early Spring: identify actions likely to require letters and construct independent lists of external referees;
- Early-mid Spring: Request external letters
- Late Spring – Summer: track and remind referees
- Summer: Establish Fall department meeting schedule for discussions; identify department resource(s) to assist with department letter
- Late summer: establish dates for specific case discussions and inform candidates
- Fall – Winter quarters: Manage Senate and Academic Federation actions, overseeing votes and reviews of letters, finalizing department letters, checking dossiers for completeness, submitting to dean by deadline or requesting an extension for good cause.

Review of the merit and promotion process





YOU ARE HERE!

.....

Extramural letters: promotions, barrier-step merits

- 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 (early-mid Spring)
 - at least half should be from the department list
 - at least half should be arm's-length
- 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, and for all LSOE-series advancements)

Letters for merit to Prof 6 are not required: what are the implications?

- Merit to P6 requires evidence of national impact and recognition. APM 220-18b (4) describes merit advancement to P6 as follows:
- *“evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship and creative achievement, (2) University teaching, and (3) service. Above and beyond that, great academic distinction, recognized nationally, will be required in scholarly or creative achievement or teaching.”*
- **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 (somewhat 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*
 - **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

Contributions to diversity as criteria for advancement

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.

➔ **Strongly encourage candidates to include statements in MIV on their contributions to diversity in teaching, service and/or research in MIV**





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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1st dossier review by candidate

- Before department faculty review, candidate checks dossier, *including redacted extramural letters*
- Chair corrects factual errors
- Candidate may write a **rebuttal letter** to voting faculty about issues raised in redacted letters
 - Candidate has 10 days to do so
 - This can cause delays, so pre-screen letters for potential concerns

Leading the dossier review

- “Deep expertise” is mostly at the department level, so make the department’s opinion count
- An obviously informed vote and a balanced, analytical letter lends more weight to the department’s view for subsequent reviewers
 - Thoughtful ballot comments can provide rare glimpses into the quality of the candidate’s service and mentoring... or worse
 - The department letter can be supportive, but should not over-advocate for the candidate
- ALL elements of performance count significantly in Step Plus review, so accuracy of all information is important

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.

Evaluation of teaching and mentoring

Voters should be made aware of limitations and biases associated with student evaluation scores and comments

- Women and faculty of color are typically downgraded
- Students may (initially) dislike innovative, student-centered teaching methods

Peer reviewers of teaching should do more than attend one class—encourage reviewing of exams, homework assignments, syllabus, class website, etc.

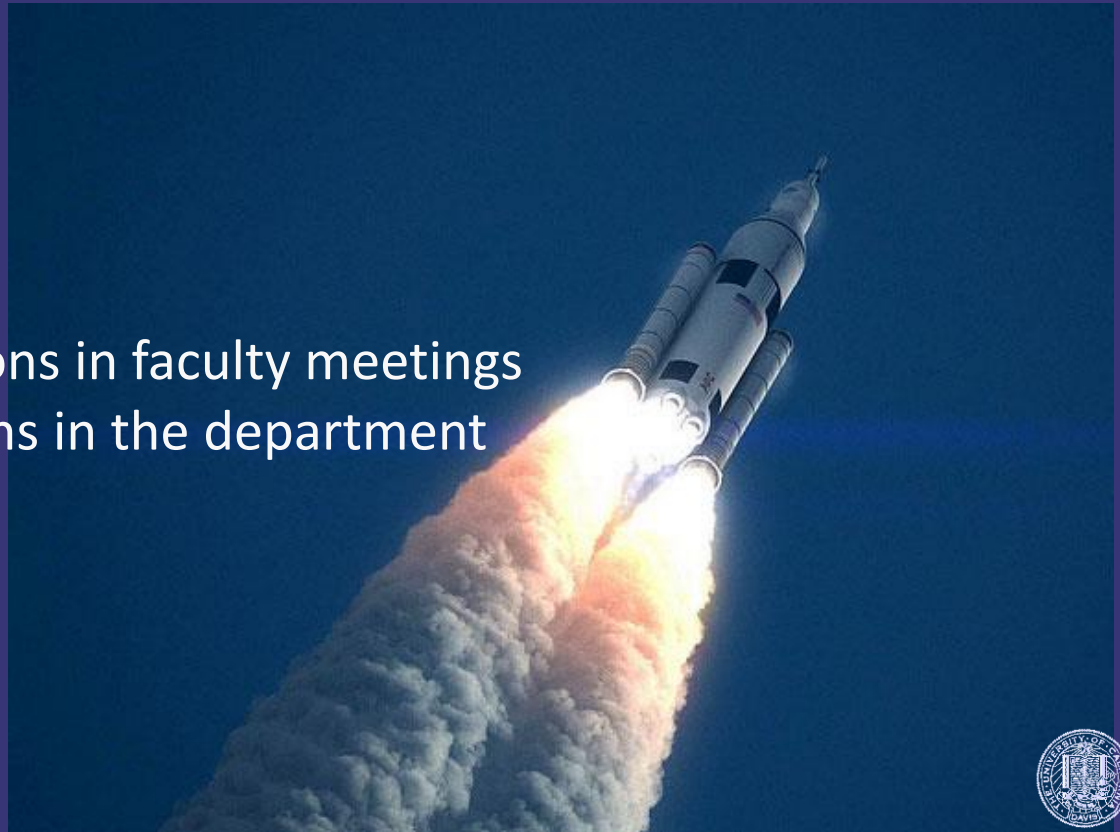
Efforts by the candidate to improve teaching (e.g. by consulting with the CEE) are viewed favorably by reviewers

The candidate should provide career information in MIV on grad students who finished their degrees in the review period

Faculty peers may have important information on graduate mentorship

The department should consider the candidate's contributions to diversity

- Step Plus gives the campus a clear way to reward significant contributions to diversity and equal opportunity in
 - teaching
 - service
 - research
- Discuss these contributions in faculty meetings
- Mention key contributions in the department letter



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
 - SOE-series 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; do not report by rank!
- **Negative votes *must* indicate reasons on ballot**
- **Under Step Plus, positive comments are also extremely important, so encourage your faculty to provide them**

Rating performance under Step Plus

In Step Plus, additional half-steps are awarded for truly outstanding performance in research, teaching or service.


But what is meant by “**outstanding**” performance?... Briefly, contributions well beyond expectations for regular advancement

A 3-point rating system is a suboptimal match:

Below expectations	Meets expectations	Exceeds expectation
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A 5-point rating system can be a closer match:

Does not meet expectations	Somewhat below expectations	Meets expectations	Somewhat exceeds expectations	Greatly exceeds expectations
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Reporting the Step Plus department vote

Option 1: Each faculty member casts one vote for the most appropriate advancement option (explain in dep't letter!)

0	1.0	1.5	2.0
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E.g. # 0 12 7 1 N = 20 voters

Option 2: Each voter supports all advancement steps up to the highest advancement reported

0	1.0	1.5	2.0
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E.g. # 0 20 8 1 N = 20 voters

Language in the department letter must clearly distinguish these options. Make sure to provide the total number of those voting!

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 presented to voters in “final form” prior to the department vote
 - Each voter should review the MIV dossier
 - Discussion and/or ballot comments should be used to finalize the letter
- 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

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.
- Do *not* reveal names of extramural letter writers (or describe them by name or institution in the letter)
- Appended ballot comments:
 - “NO” voters must provide explanation
 - Encourage comments on positive ballots, as well
- Provide a clear, unambiguous description of the department vote

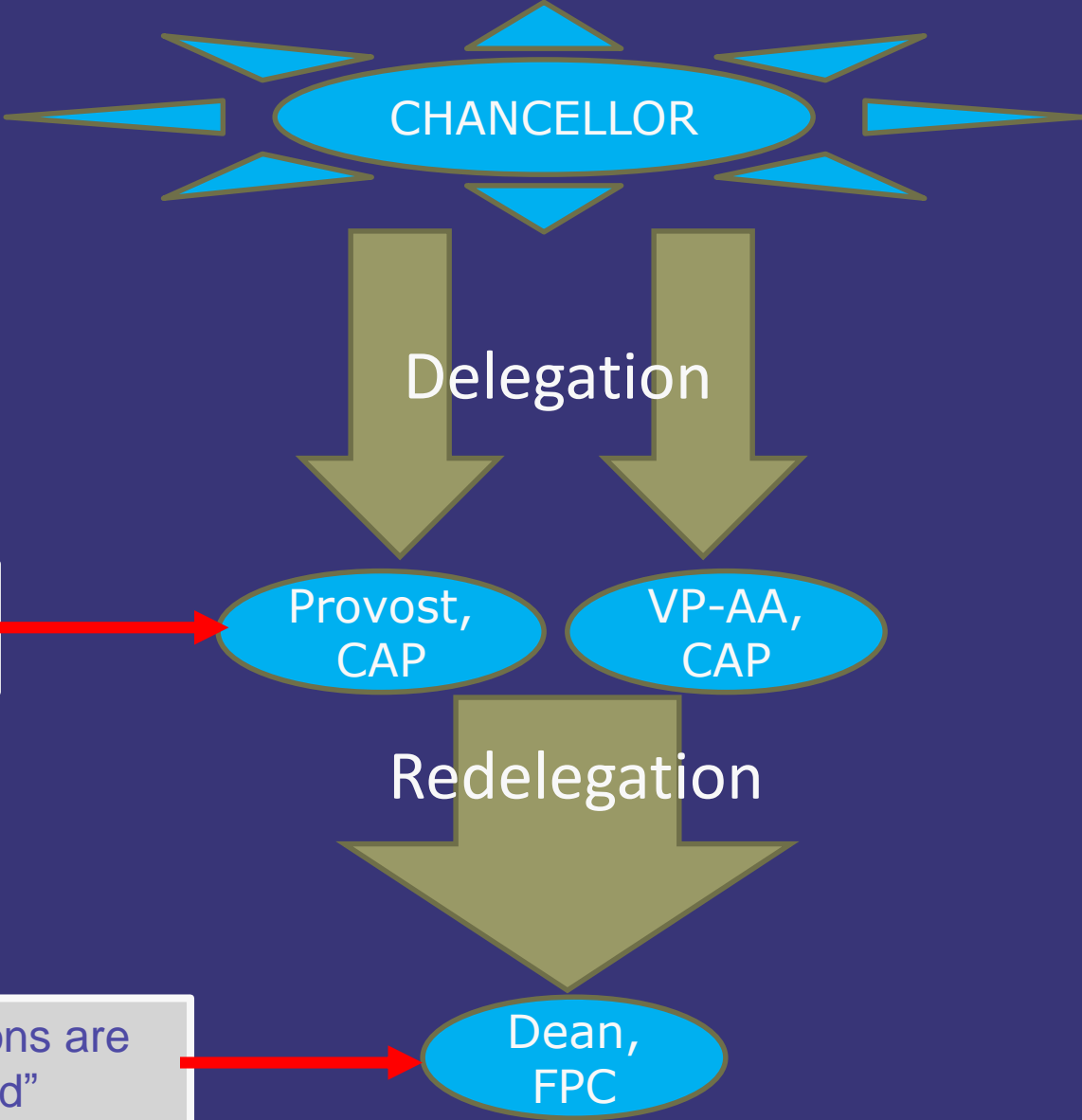
Finalizing the department letter

- Voting faculty have an opportunity to review the draft letter, including faculty votes, and suggest changes to Chair
- Next, the letter, including votes and appended comments, is shared with the candidate
- 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
- **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?

Delegation of authority: a primer for the confused



And these are “non-redelegated”

These actions are “redelegated”

What happens to the dossier next?

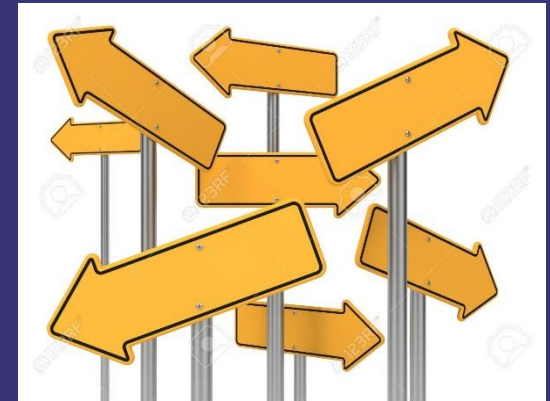
Redelegated vs. non-redelegated merits

- 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 barrier step (Prof 6 and Prof Above Scale)
- 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
 - Recommended Step Plus advancements of >1.5 steps
 - Merit actions for faculty members who have not advanced for ~6 years or more



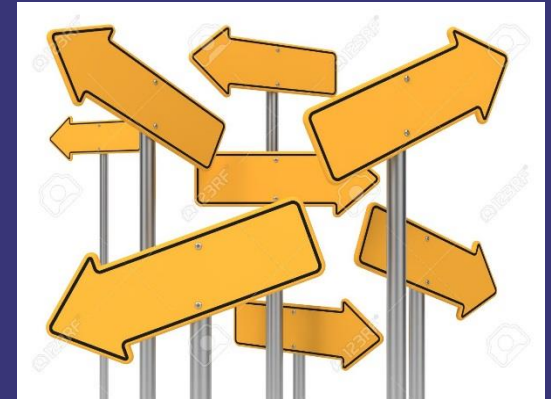
Pathway for redelegated actions

- 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)



Under Step Plus, delegation can change

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
 - *home department, joint department, 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



Appeals

- If a candidate disagrees with the advancement outcome, they have 30 days to appeal
 - The department does not vote on an appeal, but the chair and dean usually weigh in
- 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 substantively 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.

However, except for 7th-year tenure cases, academic activities dating after September 30th cannot be added to the dossier!

If absolutely essential, updates to the dossier may also be provided *before* CAP-OC review, but this is not encouraged. Candidate will need to sign a new disclosure statement

5-year review

- All faculty are required to be reviewed at least once every 5 years
- 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)

Deferral

- Is required whenever a candidate who is eligible for advancement chooses not to go up, except for those at Professor 5 and above
- Deferral requests are due at the same time that the corresponding merit or promotion action is due
- After deferral, candidate is eligible to go up the next year
- If a deferral is denied, the candidate may be required to undergo full non-redelegated review the next year (see Advisory AA2016-07)

Rules for deferral are complex!

Refer to Advisory AA2016-07

- **After a positive advancement or unsatisfactory 5-year review:**
 - Dean approves 1st & 2nd year deferrals (FPC review is optional)
 - FPC reviews and Dean approves 3rd & 4th year deferrals, including Plan(s) for Progress

- **After a denied advancement or unsatisfactory 5-year review:**
 - FPC reviews and Dean approves 1st & 2nd year deferrals, including a current Plan for Progress
 - CAP reviews and VP-AA approves 3rd & 4th year deferrals, including Plan(s) for Progress

Discussion

