

Academic Advancement Review for New and Continuing Department Chairs

Phil Kass
Vice Provost -- Academic Affairs

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The 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 (and potentially 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

Advancement policies and practices: Resources

- **UC APM 210** describes the criteria reviewing bodies use in the merit and promotion processes
- **UC APM 220** describes system-wide policy for merits and promotions in the Professor series
- **UC APM 285** describes system-wide policy for Lecturer SOE series (significant revisions are under consideration)
- **APM UCD 220 and 285** describe campus implementation of APM 220 plus our procedures, checklists, and sample letters
 - *Revision of APM UCD 220 is underway. The current APM 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

uals.ucdavis.edu/apm/apm-toc.htm

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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.

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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

- [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: Previewing a few highlights for 2018-2019

- Recruitments:
 - Junior Specialists must be recruited through UC Recruit and appointed through MyInfoVault (MIV).
- Merit/ Promotion Process
 - The campus is transitioning to firm deadlines for dossier submission. Once fully implemented, *actions not submitted by the deadline or not granted by prior approval an extension* will be subject to Administrative Deferral.
 - The deadline for inclusion of dossier materials has changed from December 31st to September 30 – this is a hard deadline.
 - Candidates requesting early promotion (prior to waiting normative time at the current step) are considered only for 1.0-step advancement, rather than full Step Plus consideration.

Annual call: Previewing a few highlights for 2018-2019

- **Service:**
 - Use actual dates – do not use words (e.g., “current”)
 - Not necessary to list each year separately – can use begin and end years for each service activity
 - Provide websites to editorial board memberships
 - Clean-up MIV: membership itself in graduate groups/programs and professional societies is not service
 - Dossier should only show service for period of review unless evaluated for promotion or high-level merit

Appendix 1

- Contains slides relevant to timelines and deadlines of submission of materials to departments, "deans' offices," and Academic Affairs

Appendix 2

- Guidelines to some of the contents of the dossier

First dossier review by candidate

- Before department faculty review, candidate must fact-check and proofread dossier, *including redacted extramural letters*
- Chair can also correct 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 department 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. The department letter should not contain the Chair’s individual recommendation, but rather the department’s overall recommendation.
- 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 graduate 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 2018-19 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**

Advancement Under Step Plus: Who Decides What?

- 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**
- Candidates can *only* choose the following:
 1. Whether to defer or seek advancement
 2. To accelerate in time for a 1.0 step promotion, or wait for a promotion under Step Plus (potentially > 1.0 step)
 3. Candidates don't decide what actions can be considered ...
 4. All actions should be voted on for 1.0, 1.5, 2.0 steps, or no advancement.

Under Step Plus, delegation can change!

- The MIV dossier default proposed action is 1.0-step advancement
- If any of the reviewing bodies* recommends an action (e.g., 2.0 steps, crossing a barrier step, promotion) that is non-redelegated, the action becomes non-redelegated
 - *home department, joint department, FPC, or dean
- “Proposed action” will be updated through MIV to reflect the highest advancement recommended by any reviewing body
- If a proposed action is within 2.0 steps of a promotion or barrier step, make the maximum review period accessible in MIV so it is visible in the dossier.
- Letters are not required until action becomes non-redelegated, then once letters are obtained voting starts over.



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 and **not recommended**:

Below expectations	Meets expectations	Exceeds expectation
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A 5-point rating system can be an even better match for Step Plus guidelines:

Does not meet expectations	Somewhat below expectations	Meets expectations	Somewhat exceeds expectations	Greatly exceeds expectations	
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Rating performance under Step Plus: Example

	Does not meet expectations	Somewhat less than expectations	Meets expectations for a 1.0 step merit	Outstanding and exceeds expectations	Exceptional and significantly exceeds expectations
Research	0	0	4	9	3
Teaching	0	0	6	8	2
Service	0	0	0	3	13

Examples of Clear Ballots/Reporting

Vote	No.
Support 1.0 (normal advancement)	5
Support 1.5 step	6
Support 2.0 step	3
Do not support advancement	0
Abstain	0
Ineligible to vote (review/comment extended)	5
Ineligible (reviewer at different level)	2

Examples of Clear Ballots/Reporting

Unit	Voting action				
	Do not support	1.0	1.5	2.0	Abstain
Division/ section	0	14	8	3	2
Department	1	6	4	1	3
Total	1	20	12	4	5

Example of An Unclear Ballot/Reporting

Query	Voting options	No.
(1) Do you support the proposed 1-step action?	Yes No Abstain	24 0 1
(2) Would you support any of the following actions?	Professor, Step 6.5 Professor, Step 7.0 Do not support either Abstain	5 14 4 2

Reporting the Step Plus department vote

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

no	1.0	1.5	2.0
----	-----	-----	-----

e.g. # 0 12 7 1 N = 20 voters

Make sure to provide the total number of those voting!

The Department recommendation is the highest option that receives $\geq 50\%$ of the total votes cast (excluding abstentions). A vote for a higher step that does not become the department recommendation is automatically counted towards the next highest step until $\geq 50\%$ of the total votes cast are reached.

Examples of how to count department votes:

consider a department with 30 voters
(abstentions and ineligible don't count!)

No advancement	1.0 step	1.5 steps	2.0 steps	Total votes	Dept. recommendation
0	7	8	15	30	2.0
0	7	9	14	30	1.5
0	15	15	0	30	1.5
0	16	14	0	30	1.0
0	15	2	13	30	1.5
0	16	0	14	30	1.0
15	15	0	0	30	1.0
16	14	0	0	30	No advancement

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
- Again, 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. Be analytic, not recitative.
- Include language for Work-Life (WL) Program participation if appropriate (see Academic Affairs website).

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 (e.g., scholarly activity, teaching/mentoring, service) – be sure the department has a mechanism for identifying these (e.g., five-point scale shown earlier)*
 - *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

Appendix 3

- Routing of the merit actions

Appeals

- If a candidate disagrees with the advancement outcome, they have 30 calendar days to appeal
 - The department does not vote on an appeal, but the chair and dean usually provide a recommendation
- Appeals occur when the candidate provides explanatory/clarifying information pertinent to the original dossier
 - No additional scholarly activities, awards, teaching evaluations, etc. may be provided
 - Procedural errors / oversights may be addressed
 - Incorrect application of standards may be addressed
- Basic concept: CAP - Appellate does not review a dossier that differs substantively from the dossier that CAP - Oversight reviewed.
- Final decision on appeal is based on the delegation of authority

Postponement

○ Pre-tenure

- Allows postponing a merit and extending the tenure clock for no more than two additional years (one year per birth/adoption event).

○ Post-tenure

- Faculty in the affected titles may apply for postponement* of post-tenure merits and promotions to accommodate childbearing, adoption or placement, without prejudice or penalty. The length of postponement may not exceed one year per event for a total of two years.

The postponement option allows for a non-prejudicial review, no penalty for the time allowed. A postponed action entails that upon the next eligible advancement, the academic record will be considered in standard time rather than decelerated.

Five-year review

- All faculty are required to be reviewed at least once every five 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 (e.g., two consecutive NAPU reviews) should lead to a shift in duties (e.g. additional teaching) or title, 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)
- Third-year deferrals go to CAP

Rules for deferral are complex!

Refer to Advisory AA2016-07

- After a positive advancement or unsatisfactory five-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 five-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



Appendix 1:

Timelines and Deadlines

Merits and Promotions:

Calendar outline of the Chair's role



Merits and Promotions:

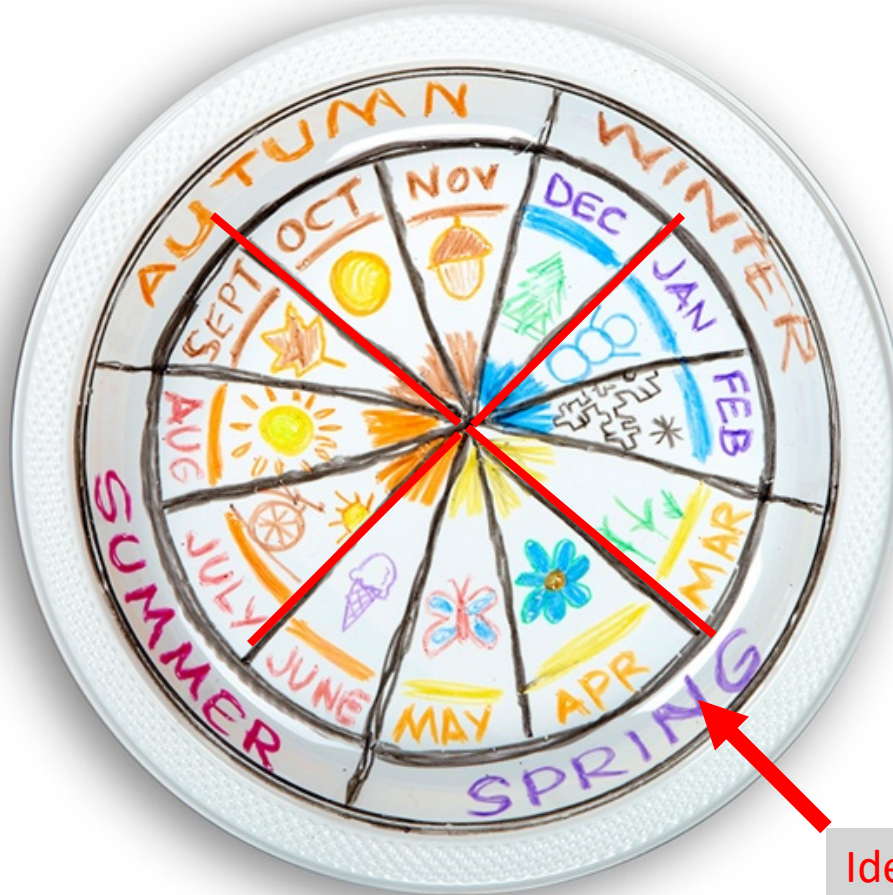
Calendar outline of the Chair's role



Consult with candidates for possible promotions (lateral, accelerated, normative), barrier-step merits, and change in title (Law)

Merits and Promotions:

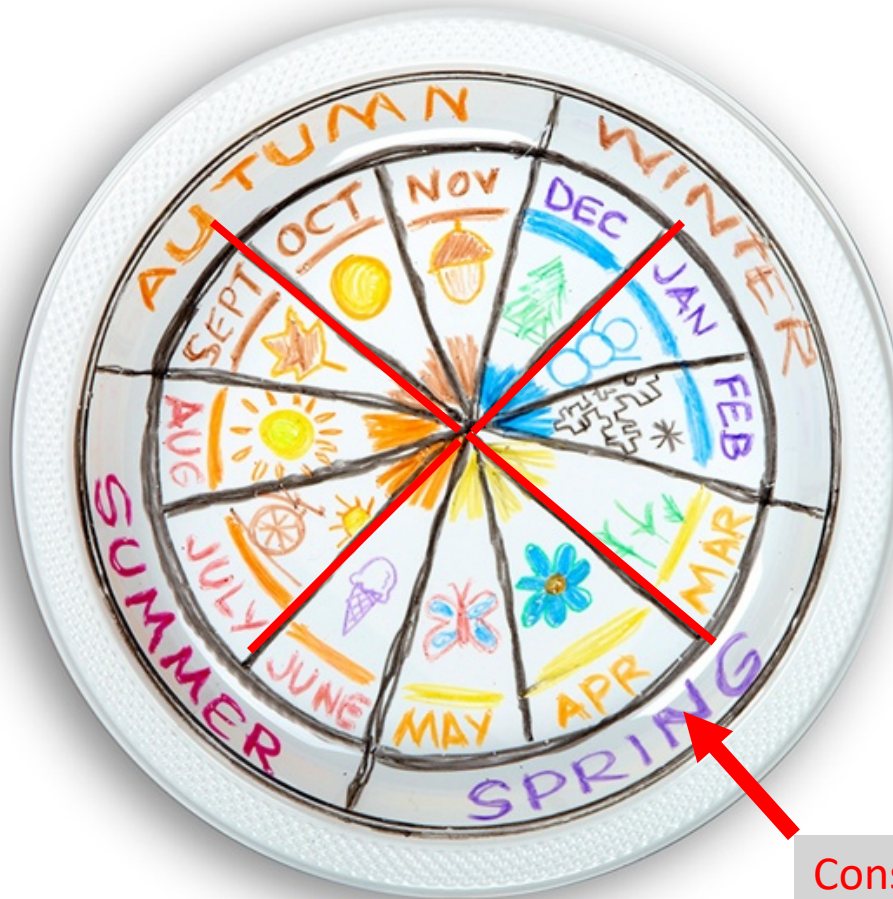
Calendar outline of the Chair's role



Identify actions likely to require external letters

Merits and Promotions:

Calendar outline of the Chair's role



Construct two *independent* lists of external referees

The Academic Affairs website provides guidance as to external letter requirements

EXTRAMURAL LETTERS AND "ARM'S LENGTH" REQUIREMENTS FOR APPOINTMENT, MERIT AND PROMOTION REVIEWS

Series	Appointment Asst rank, Steps I-III	Appointment Asst rank, Steps IV-VI	Appointment Associate rank	Appointment Full rank	Merit to barrier steps (Full level VII)*	Merit to Above Scale*	Promotion Associate rank	Promotion Full rank
Professor	E	E (4-6)	A (6-8)	A (6-8)	N/A	A (6-8)	A (6-8)	A (6-8)
Professor in Residence	E	E (4-6)	A (6-8)	A (6-8)	N/A	A (6-8)	A (6-8)	A (6-8)
Professor of Clinical	E	E (4-6)	A (6-8)	A (6-8)	N/A	A (6-8)	A (6-8)	A (6-8)
Health Sciences Clinical Professor	E	E (4-6)	L	L	L	L	L	L
Adjunct Professor	E	E (4-6)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)
Acting Assistant Professor	E	E (4-6)	N/A	N/A	N/A	N/A	A (6-8)	N/A
Acting Associate/Full Professor	N/A	N/A	A (6-8)	A (6-8)	N/A	A (6-8)	A (6-8)	A (6-8)
Acting Professor of Law	E	E (4-6)	N/A	N/A	N/A	N/A	N/A	A (6-8)
Professor of Law	N/A	N/A	N/A	A (6-8)	N/A	A (6-8)	N/A	N/A
in the AES	E	E (4-6)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)
Supervisor of Physical Education	N/A	N/A	N/A	N/A	A (6-8)	A (6-8)	A (6-8)	A (6-8)
Specialist in Cooperative Extension	E	E (4-6)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)
Specialist series	N/A	N/A	L (3)	L (3)	n/a	A (5-8)	L (3)	L (3)
Professional Research series	E	E (4-6)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)	A (6-8)
Project Scientist	N/A	N/A	L (3)	L (4)	L (4)	A (5-8)	L (3)	L (4)
Visiting Professor	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Series	Appointment PSEO ranks	Appointment Lecturer SOE rank	Appointment Sr. Lecturer SOE rank	Merit to Above Scale (Sr. LSOE)	Promotion LPSOE to LSOE	Promotion LSOE to Sr. LSOE OR LPSOE to Sr. LSOE
Lecturer SOE/Sr. Lecturer SOE	E (3-5)**	L (4-6)	A (6-8)	A (6-8)	L (4-6)	A (6-8)

Series	Appointment	Merit	Promotion
Continuing Educator	L/C	L/C (5-8)	L/C (5-8)
Academic Coordinator I, II & III	L (5-8)	N/A	N/A
Academic Administrator I - VII	L (5-8)	N/A	L/C (5-8)
Librarians	L	L	L
Assistant/Associate University Librarian	L	L	L

Series	Appointment	Initial Continuing Appointment	Merit for Continuing Appointees
Unit 18 Lecturer	See College/School Guidelines	Extramural letters are optional	Extramural letters are optional
Unit 18 Supervisor of Teacher Ed	See College/School Guidelines	Extramural letters are optional	Extramural letters are optional
Child Develop. Demo. Lecturer	See College/School Guidelines	Extramural letters are optional	Extramural letters are optional

A = Actions that include arm's length letters (see UCD-220 for additional information). At least half of the letters must be arm's-length.

E = The extramural letters deemed sufficient for recruitment may suffice for these proposed appointments. Letters do not need to be arm's length. See advisory #AA2014-01.

L = Actions that require extramural letters but do not need arm's length letters.

C = Some Federation title series include clientele letters for certain advancement actions (see UCD 220AF).

*Title series dictates which step is the barrier step which requires letters; see UCD 220AF.

**Combination of external and internal, depending on teaching and professional experience.

See UCD 220 IV. F. 3 and UCD 220 Exhibit B for additional information on solicitation of extramural letters and when intramural letters are acceptable for those title series reviewed by Senate committees.

See UCD 220AF VII. C. and UCD 220AF Exhibit A and B. for additional information on solicitation of extramural letters and when intramural letters are acceptable for those title series reviewed by Federation committees.

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:

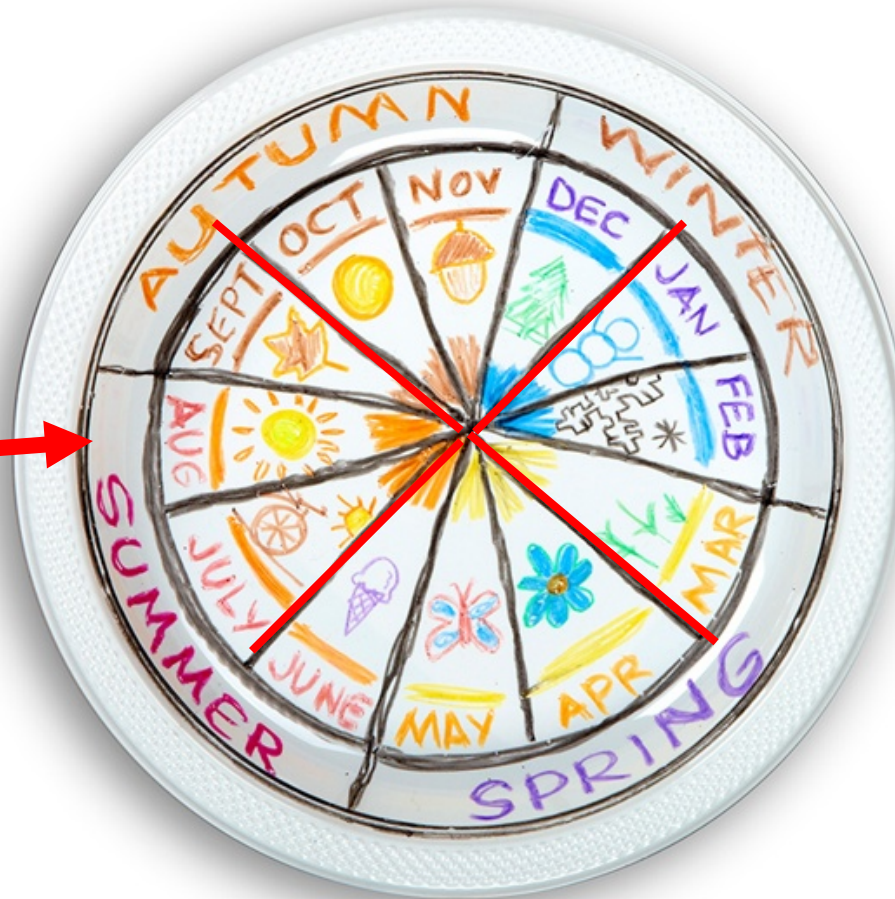
Calendar outline of the Chair's role



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

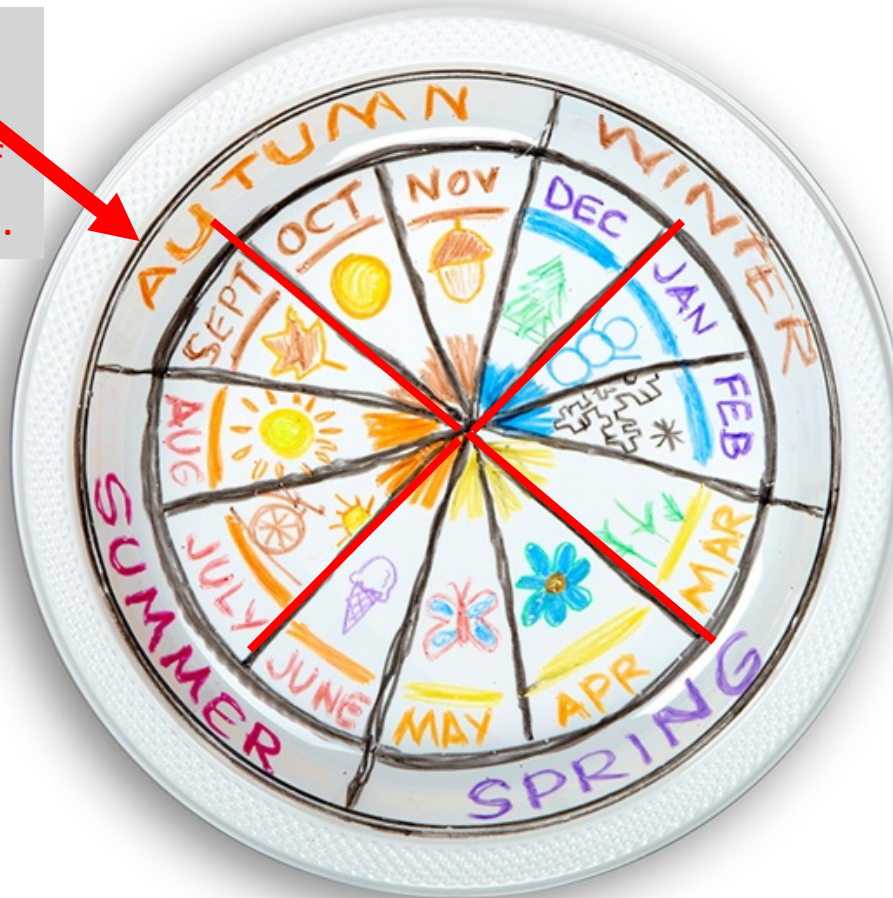
Merits and Promotions:

Calendar outline of the Chair's role



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

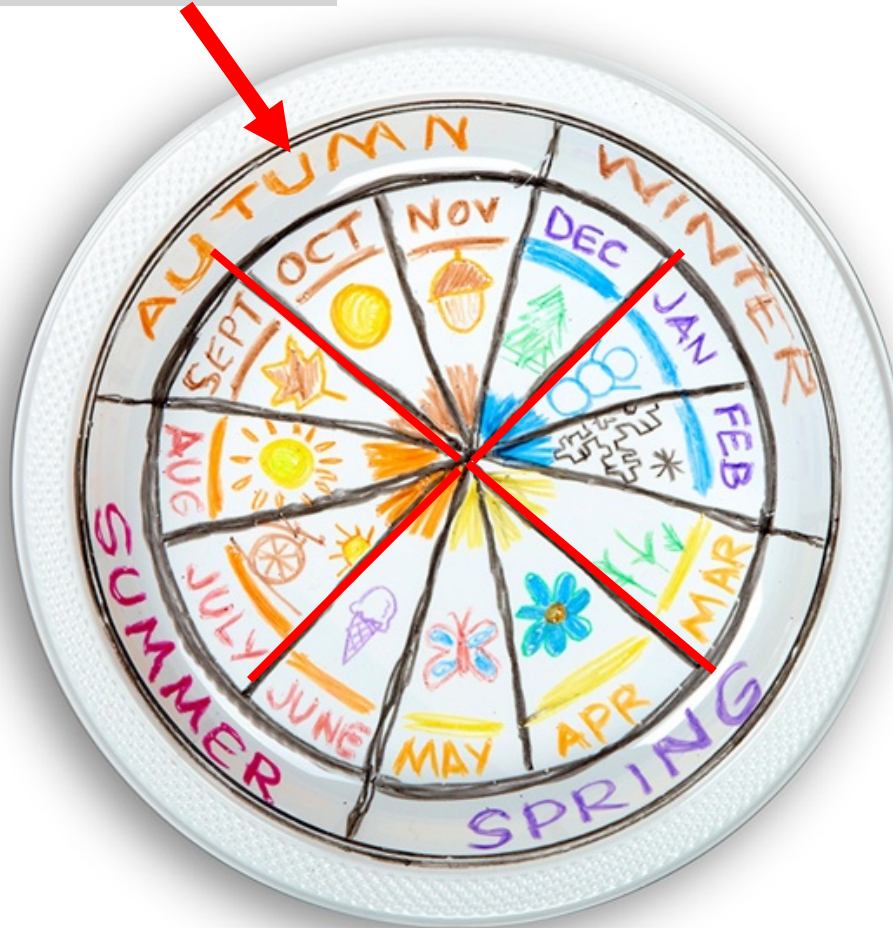
Set schedule for dept
dossier discussions.
Remind candidates of
submission due dates.



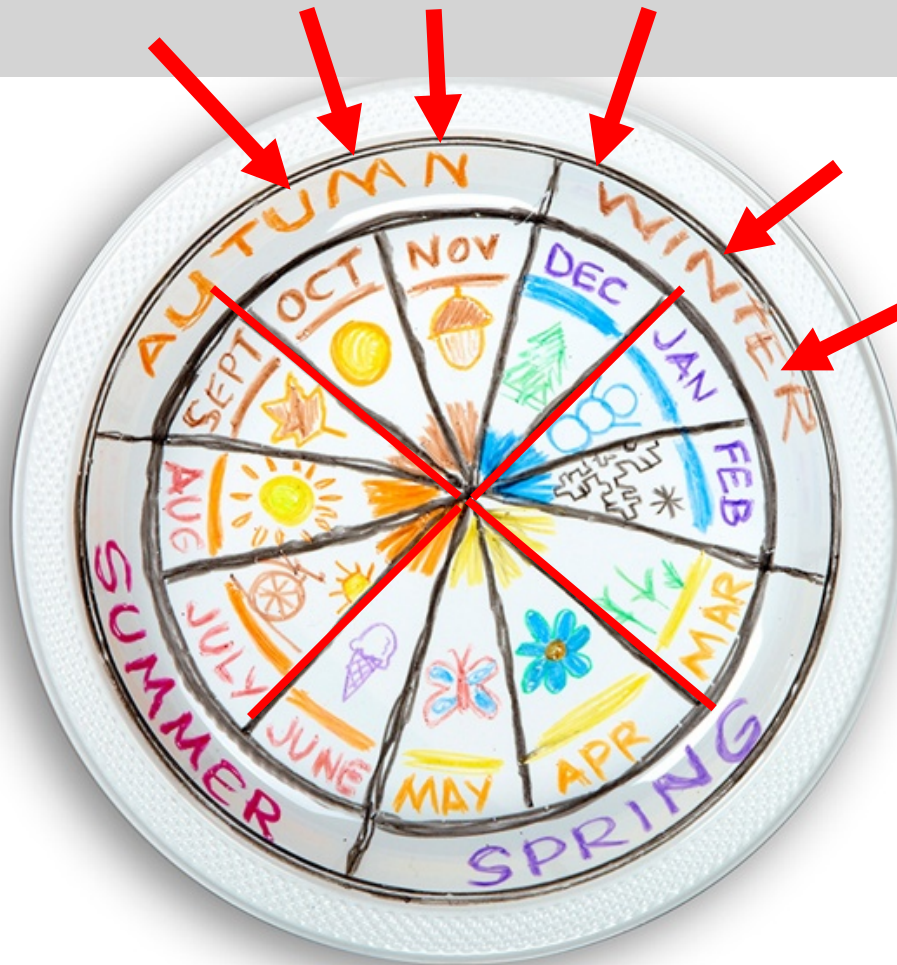
SEPTEMBER 30: final
date for inclusion of
dossier materials



Tenure dossiers, with
faculty vote and dept
letter are due



More dossier due dates. Finalize letters with votes. Manage rebuttals, review of department letters by faculty and candidates, rejoinders, etc. Request *essential* deadline extensions. Consider if “Chair’s confidential letter is needed.”



Merits and Promotions:

Outline of the Chair's role

- Year-round: provide mentorship, especially of new and junior faculty members. Strongly consider mentoring committees for asst./assoc. profs.
- 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, writing Chair's confidential letter (if needed), submitting to dean by deadline or requesting an extension for good cause.



...

YOU ARE HERE!



Appendix 2:

Important guidance about the
contents of the dossier



Appendix 2:

Important guidance about the
contents of the dossier

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 Graduate Studies 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. Typically there is only one representative from your college/school on CAP.
- Should include impact of work, stressing intellectual leadership, creativity and uniqueness of work, and identifying technical contributions
- Should focus on the period under review
- Should not be a recitation of what is in the dossier!

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 separate statements in MIV on their contributions to diversity in teaching, service, and/or research in MIV.**





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Faculty Equity and Inclusion

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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 when inappropriate information is included in a comment.

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 the final version of department letter, he/she may write a 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 and factually accurate**

Chair's confidential letter (optional)

- A Chair's confidential letter may reflect the Chair's personal perspective, as opposed to the departmental letter that reflects the faculty's perspective.
- Letter is confidential from department faculty
- Letter is confidential from candidate until after the action is completed
- Candidate will be provided 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



Appendix 3:

Guidelines on how merit dossiers are routed after department votes

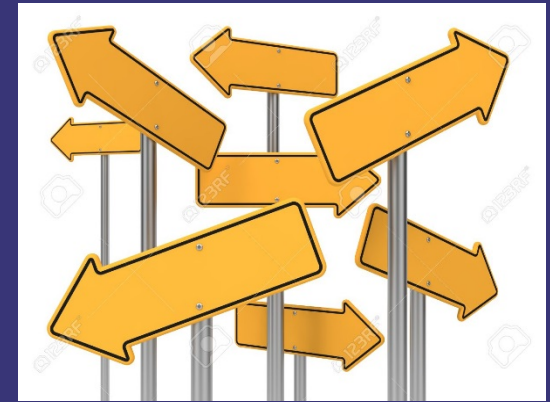
What happens to the dossier next?

Redelegated vs. non-redelegated merits

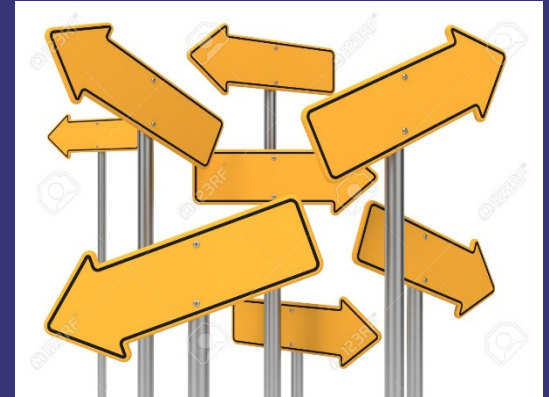
- If **redelegated**, your Dean or Associate Dean makes the final decision (advised by the FPC)
 - Step Plus, 1.0- and 1.5-step merits, except those to or beyond a barrier step (Professor 6 and Professor Above Scale)
- If **not redelegated**, the Vice Provost – Academic Affairs makes final decision (*except* for tenure decisions), advised by CAP
 - Provost approves tenure, Chancellor denies tenure
 - Promotions, merit to Professor 6, merit to Professor Above Scale, merit to Further Above Scale
 - Recommended Step Plus advancements of ≥ 2.0 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 sub-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 – Oversight sub-committee (which may (rarely) recommend *ad hoc* review)
- CAP sends recommendations to Vice Provost for final action (except for tenure)
- If a tenure case, Chancellor/Provost decide after consultation with VP-AA
- Appeals go to CAP – Appellate subcommittee; then to Vice Provost for final decision/recommendation (tenure cases go to the Chancellor/Provost)