

**ACADEMIC
ADVANCEMENT
REVIEW
FOR NEW AND
CONTINUING
DEPARTMENT
CHAIRS**

MARCH 5, 2020

ADVANCEMENT UNDER STEP PLUS: WHO DECIDES WHAT?

- It is the candidate's right to pursue advancement, even if the department vote is negative. However, 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)
- Candidates don't decide what actions can be considered...the department does.
- All actions possible should be voted on for 1.0, 1.5, 2.0 steps, or no advancement.

THIS CAN GET TRICKY WITH ADVANCEMENT TO ASSOCIATE PROFESSOR/LSOE

- Some assistant professors (or lecturers with potential for security of employment) do not want to “go up” for tenure (or security of employment) because they don’t think they are ready ...
- Or they lose eligibility for certain disciplinary awards/fellowships that can only be given to assistant professors/LPSOEs, and don’t want to lose eligibility ...
- But it’s not their choice under Step Plus rules ...
- So the department needs to consider all possible options once someone is at Step 3 because it is possible to get a 2.0-step promotion from Assistant/LPSOE 3 to Associate/LSOE I.
- The department can first vote on whether someone should be promoted, and if the answer is yes the Chair can solicit outside letters, and the department can vote again.
- Considerations include time since terminal degree, establishment of a sufficiently good teaching record, etc ...
- This may change once the Academic Senate reviews Step Plus rules,.

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
--------------------	--------------------	---------------------

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	
----------------------------	-----------------------------	--------------------	-------------------------------	------------------------------	---

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

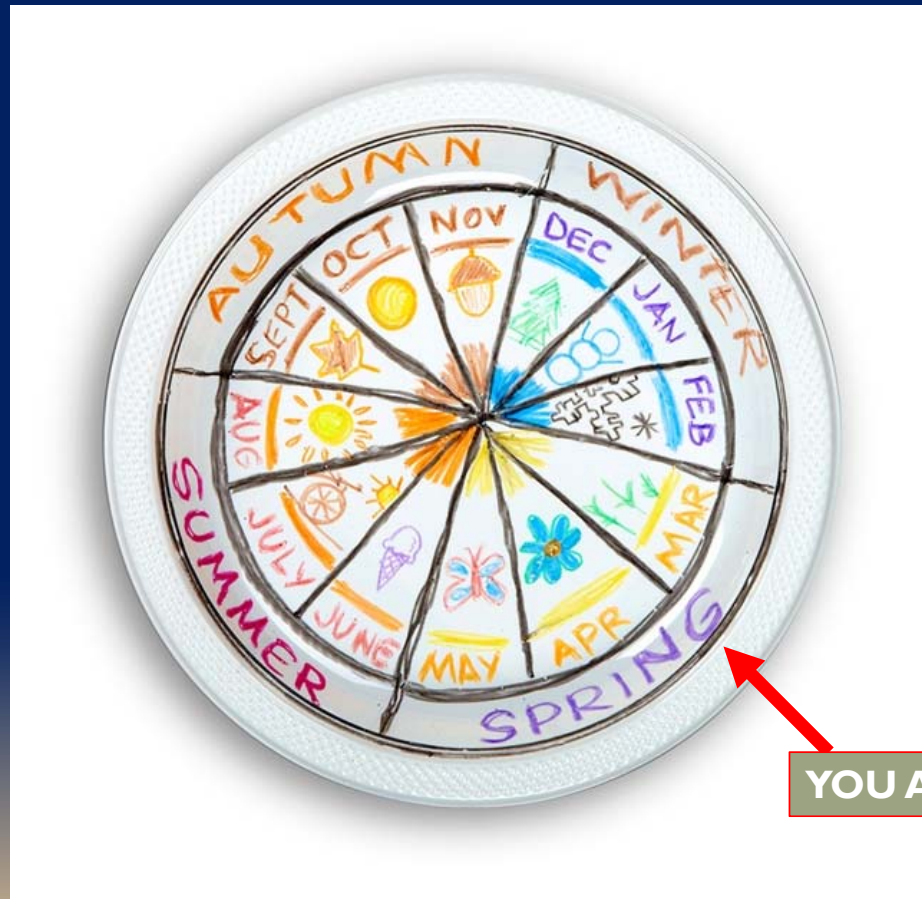
Appeals

- 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

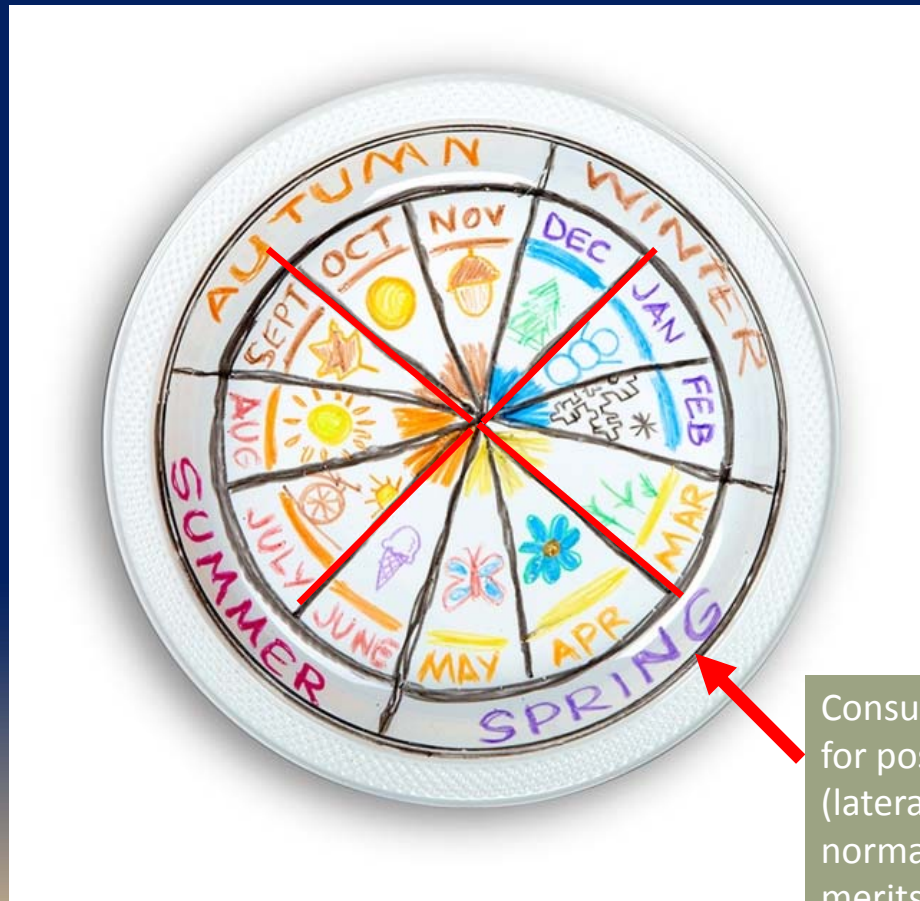
Five-year review

- All faculty are required to be reviewed at least once every five years.
- Consider the implications for someone below Professor/Senior Lecturer with Security of Employment, Step 5
- 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)

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

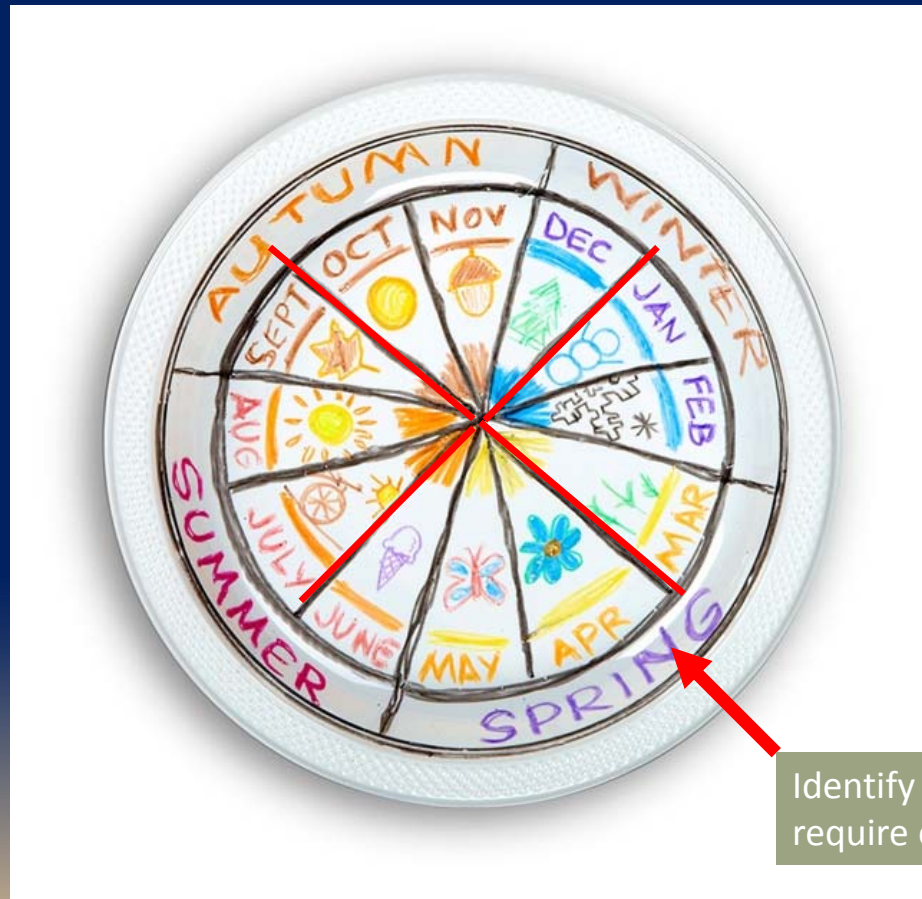


Merits and Promotions: Calendar outline of the Chair's role



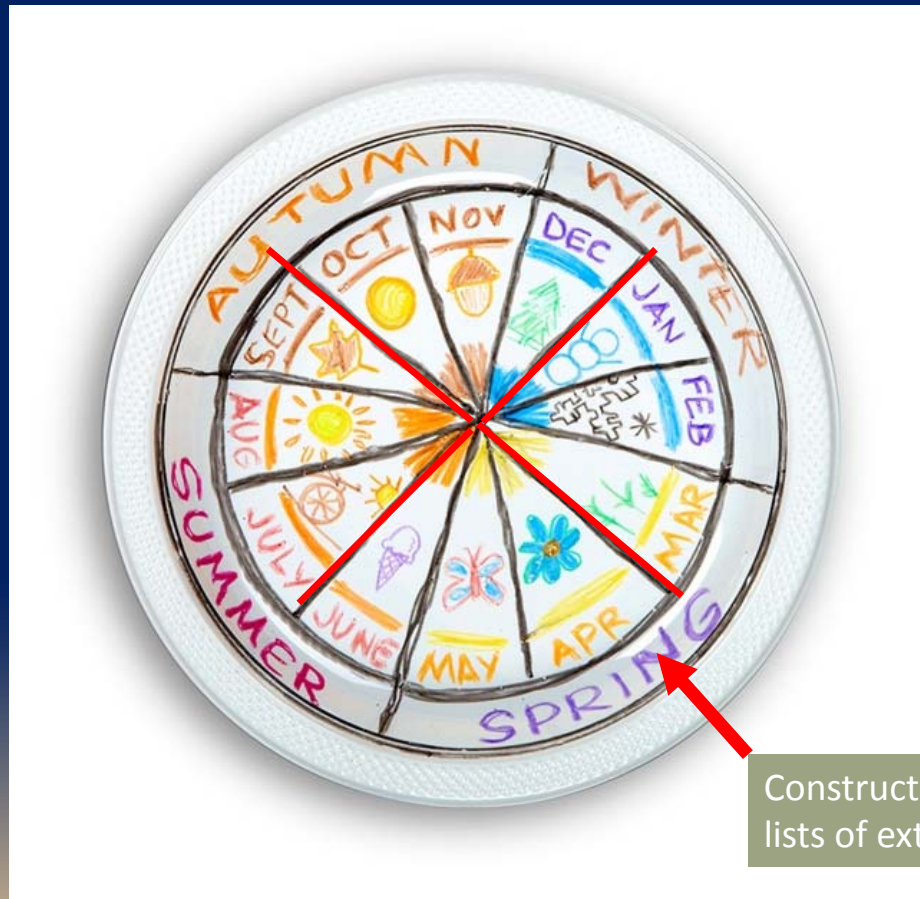
Consult with candidates for possible promotions (lateral, accelerated, normative), barrier-step merits, and change in title (Law)

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 (see: Quick Links: Extramural Letter Requirements Chart)

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	L (3)	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 P5OE ranks	Appointment Lecturer SOE rank	Appointment Sr. Lecturer SOE rank	Merit to Above Scale (Sr. L5OE)	Promotion LPSOE to L5OE	Promotion L5OE to Sr. L5OE OR LPSOE to Sr. L5OE
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.

Updated: 29 September 2015

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

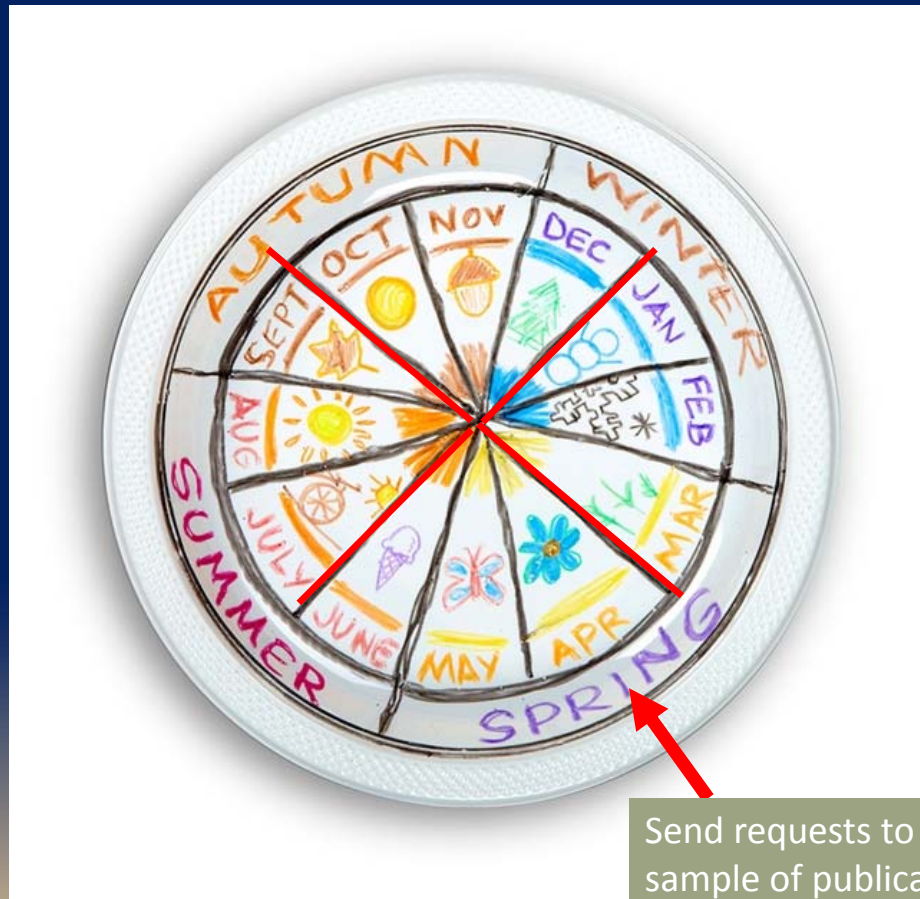
- Contact potential reviewers early (early-mid Spring)
 - at least half should be from the department list
 - at least half should be arm's-length
- Provide reviewers a time frame for response & information about campus work-life policies
- Send CV, draft of candidate's statement, publications; book 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 PROFESSOR/SLSOE, STEP 6
ARE NOT REQUIRED:
WHAT ARE THE IMPLICATIONS?**

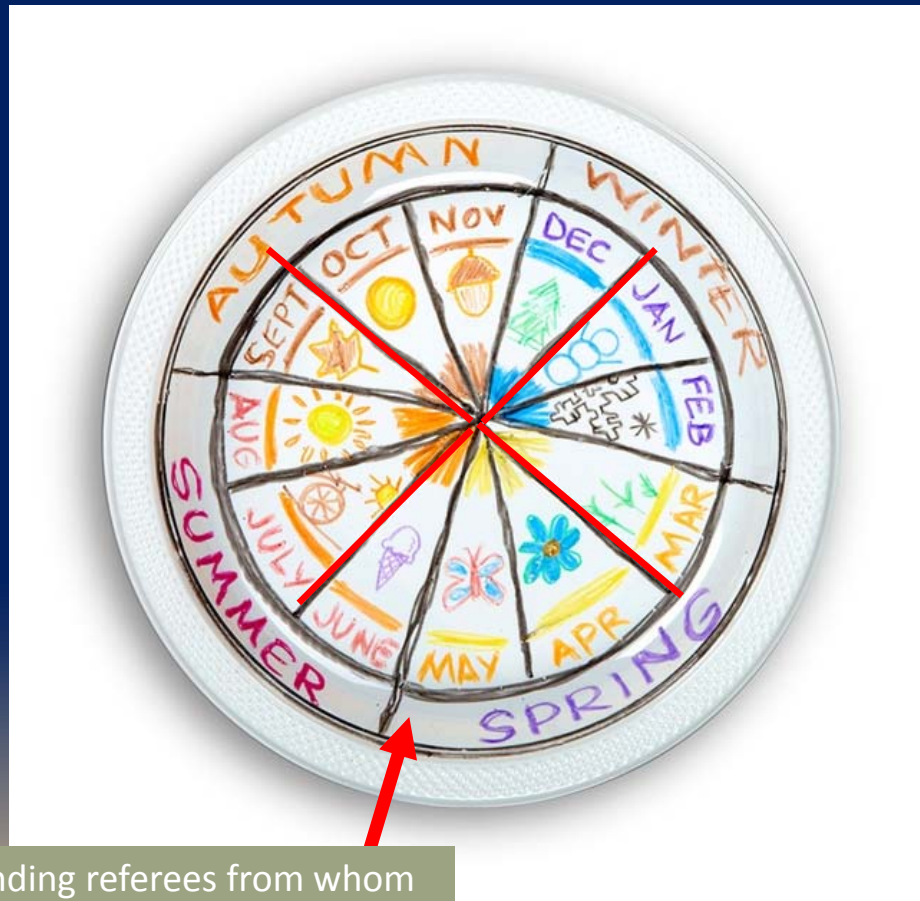
- Merit to P6 requires evidence of national impact and recognition. APM 220-18b (4) describes merit advancement to P6 as follows: *“evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship and creative achievement, (2) University teaching, and (3) service. 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 Step Plus 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

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



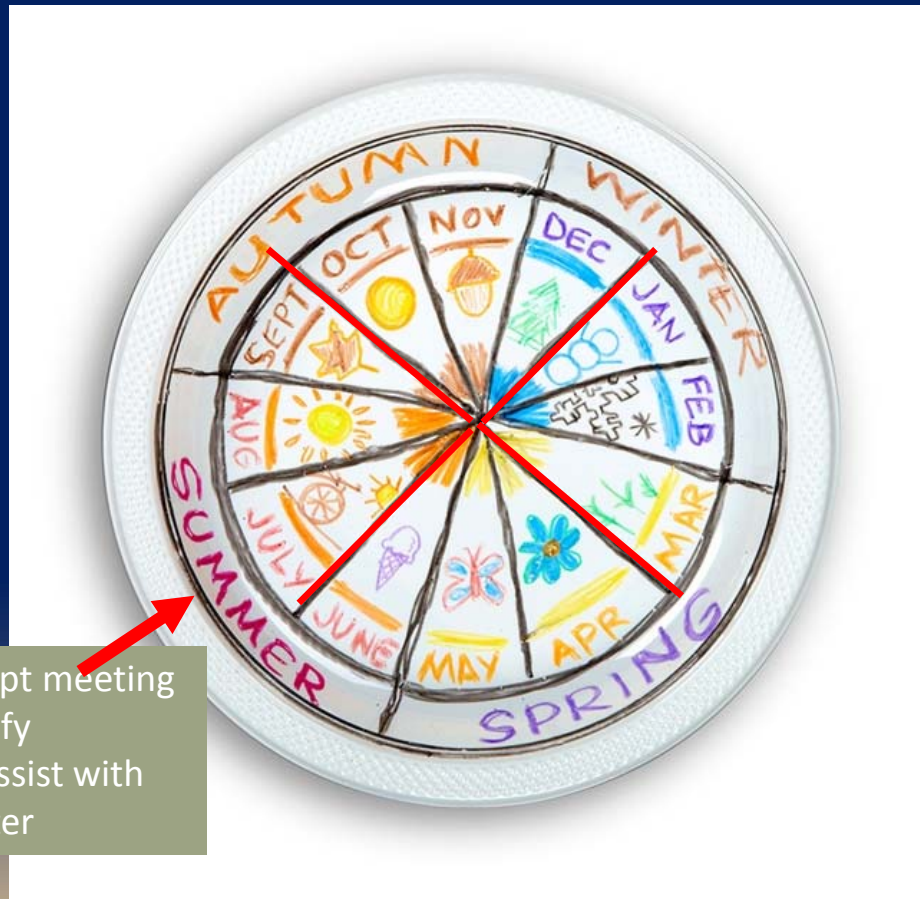
Send requests to referees with a sample of publications and the candidate's draft statement

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

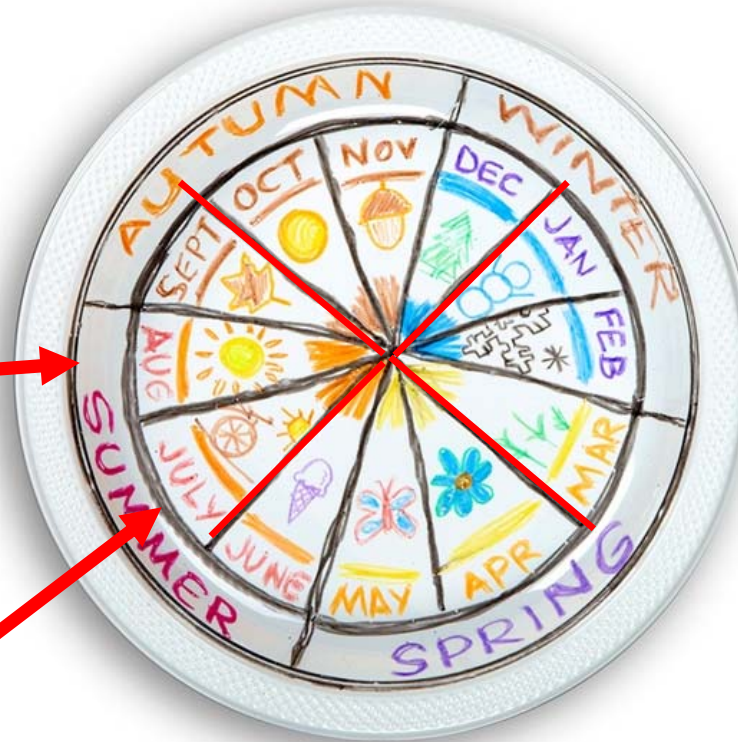


Establish Fall dept meeting schedule. Identify resource(s) to assist with department letter

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

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

Warn faculty: scholarship must be accepted no later than September 30 to count in action



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



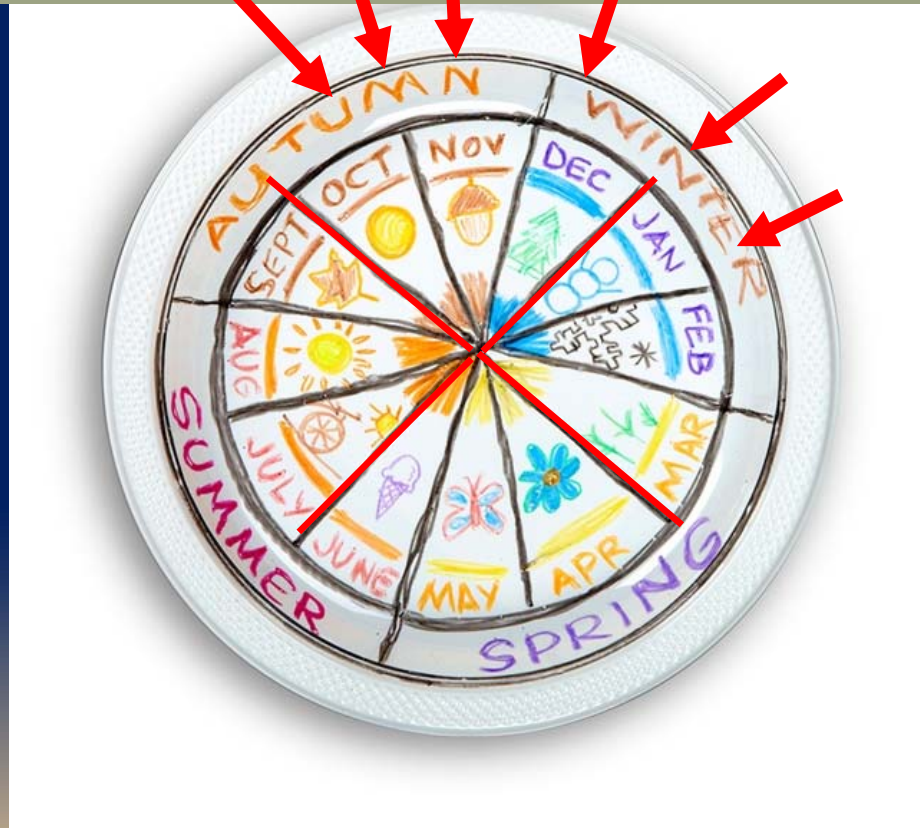
SEPTEMBER 30: final date for inclusion of dossier materials. No exceptions.



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.

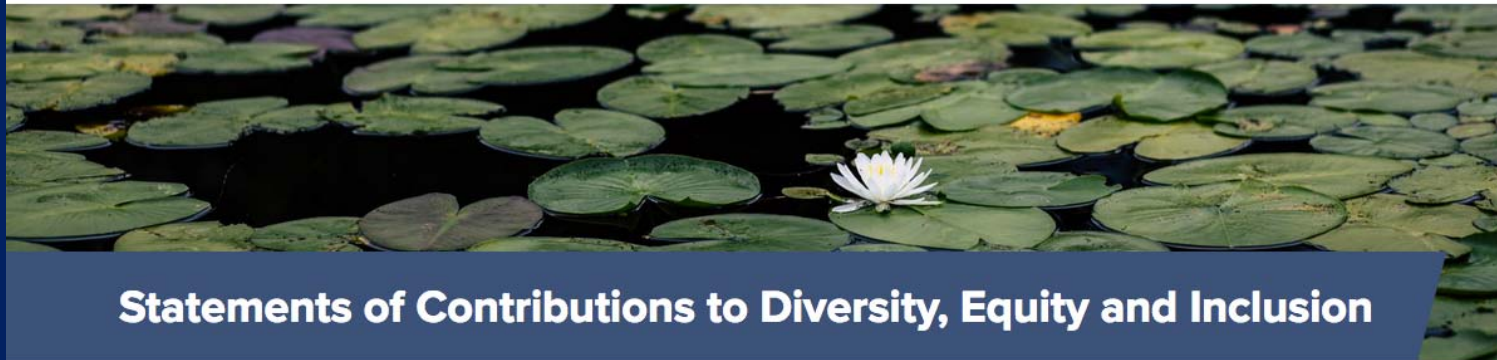
Contributions to diversity as criteria for advancement

UC APM 210-1-d:

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.





Statements of Contributions to Diversity, Equity and Inclusion

Resources regarding Statements of Contributions to Diversity, Equity and Inclusion

January 17, 2020

Letter from Ralph Hexter, Provost and Executive Vice Chancellor, and Philip Kass, Vice Provost for Academic Affairs, [on the use of Statements of Contributions to Diversity, Equity and Inclusion in faculty recruitment.](#)

February 25, 2019

> Statements of Contributions to Diversity, Equity and Inclusion

Guidelines for Writing Statements of Contributions to Diversity, Equity, and Inclusion

Why Does UC Davis Seek Statements on Contributions to Diversity, Equity and Inclusion?

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

Time for questions.

Thank you very much for attending!

