

# **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

- *You* are the liaison between faculty member and dean
- Proactive *mentoring* in career advancement of faculty
  - Meet at least annually with each faculty member (and potentially more frequently with junior faculty)
  - Be an agent for change in making personnel processes fairer and more efficient under Step Plus
  - *Ensure* that department and university policies are followed in all personnel actions
  - Be a steward of all relevant policies. If something doesn't look right (including expenditures) - get help.

# Advancement policies and practices: Resources found on the Academic Affairs website

- **UC APM 210** describes the criteria reviewing bodies use in the merit and promotion processes for Academic Senate faculty
- **UC APM 220** describes system-wide policy for merits and promotions in the Professor series
- **UC APM 285** describes system-wide policy for the Lecturer SOE (Professor of Teaching \_\_\_\_ ) series
- **APM UCD 220** describes campus implementation of APM 220 plus our procedures, checklists, and sample letters
- **Annual Call**

# Academic Affairs

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## Coronavirus (COVID-19) Information

- > Learn the latest from **UC Davis News** regarding the novel coronavirus and updates on **current campus operating status**.
- > **Academic Senate:** Academic Policies and Guidelines for Changes in Campus Operating Status.
- > **Academic Affairs:** Coronavirus (COVID-19) Academic Personnel Information.



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## Academic Personnel Manual

Follow the APM links!

## Table of Contents

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.

Select a link to view the specific section:

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

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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 011](#) Academic Freedom, Protection of Professional Standards, and Responsibilities of Non-Faculty Academic Appointees

[Grievance Alleging Professional Standards Violation Form](#)

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[Academic Titles and Academic Freedom Related Protections](#)

[APM 015](#) The Faculty Code of Conduct

[UCD-015, Procedures for Faculty Misconduct Allegations](#)

[Exhibit A, Examples of Unacceptable Faculty Conduct](#)

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# Appendix A

Contains slides relevant to important timelines and deadlines of submission of materials to departments, “deans’ offices,” and Academic Affairs

# Reminder about STEAD

- **All** members of faculty recruitment committees **must** be STEAD-certified, or certified through participation in School of Medicine (SOM) recruitment workshops, **before the evaluation of applicants begins**. The STEAD workshop schedule can be found at <https://academicaffairs.ucdavis.edu/stead>. Registration for the School of Medicine workshops can be found at: <http://www.ucdmc.ucdavis.edu/facultydev/faculty-search-committee-training.html>.
- Tell faculty to NOT wait until the last minute to do this !!!
- STEAD certification expires after three academic years. A faculty member who participated in STEAD or SOM workshops during the 2019-20 academic year will retain certification until June 30, 2023.
- SOM/SON faculty may also participate in the STEAD program to become certified.
- Non-UCD members of a search committee must also be certified.



# 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 calendar-days to do so
  - This can cause delays, so please pre-screen letters for potential concerns

## Leading the dossier review

- “Deep disciplinary 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 unique glimpses into the quality of the candidate’s service and mentoring
  - The department letter should accurately reflect the “sense” of the department, and should not be used to 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

# What about controversial comments?

- I do not recommend redacting comments unless they truly cross a line of inappropriateness
- Examples: talking about other faculty, divulging confidential information, including prejudicial information that has nothing to do with being on the faculty, and quoting (by name) external reviewers (this happens every year)
- Shared governance allows a diversity of opinions, but both the faculty member and the chair can write letters rebutting specific comments (rejoinder letter and confidential chair's letter, respectively)
- For questions/guidance, please contact you dean's office about this sensitive issue. They may in turn confer with Academic Affairs.

# 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 (but independence is a key qualification for the Professional Research Series)

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 statements and department letters 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 (at same or higher rank) should do more than attend one class – encourage reviewing of exams, homework assignments, syllabus, class website, etc.

Faculty may now request peer evaluation of teaching with each merit. This requires planning ahead to reflect the proper review period. This can be facilitated by watching Zoom presentations of lectures

Efforts by the candidate to improve teaching (e.g. by consulting with the CEE) should be 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 as they impact:
  - Teaching
  - Service
  - Research
- Discuss these contributions in faculty meetings
- Consider use of department rubrics
- Mention key contributions in the department letter
- SEE: APM 210-1-d



# New Statements are Coming!

- Strike Impact Statement
- Statement of Impact on Public and Global Good (tentative name, subject to change)

***Absolutely essential reading for 2022-2023 and beyond***

Mitigating COVID-19  
Impacts on Faculty  
Working Group  
Preliminary Report

First of Two Phases, Summer 2021

## Highlights of the Report, & Questions and Answers

Invitees:

Department Chairs and Vice Chairs

Faculty Personnel Committees

Committee on Academic Personnel

Deans, Executive Associate Deans, Associate Deans

Available at:

<https://aadocs.ucdavis.edu/attachment-mcif-wg-preliminary-report-10-25-21.pdf>

<https://aadocs.ucdavis.edu/Presentation-by-PEVC-Croughan-&-VP-Kass-on-applying-ARO-principles-on-Academic-Advancement-Fall-2021.pdf>



# Achievement Relative to Opportunities (ARO) Principles

“Adjust expectations for promotions & merit advances to conform to Achievement Relative to Opportunities (ARO) principles. ARO principles enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate’s normal ability to achieve expected outcomes.”

University Committee on Faculty Welfare (UCFW) and the University  
Committee on Affirmative Action, Diversity, and Equity (UCAADE),  
December 21, 2020

# What is Achievement Relative to Opportunity? (adapted from Monash University)

**Achievement(s) relative to opportunity** is the framework that supports a fair and equitable assessment of career progression and achievements over a period of time given the opportunities available to faculty.\*

This framework assists to ensure that the **overall quality and impact of achievements** is given more weight than the quantity, rate or breadth of particular achievements relative to their personal, professional and other circumstances. More specifically, this provides for the appropriate evaluation of achievements in relation to:

- the quantum or rate of productivity,
- the opportunity to participate in certain types of activities, and
- the consistency of activities or output over the period of consideration.
- Achievement relative to opportunity is a positive acknowledgement of what a staff member can and has achieved given the opportunities available to them and results in a more calibrated assessment of their performance. **It is not about providing “special consideration” or expecting lesser standards of performance.**

\* Original language from Monash University referred more broadly to “staff.”

From the University Committee on Faculty Welfare (UCFW) and the University Committee on Affirmative Action, Diversity, and Equity (UCAADE): January 26, 2021

“If “COVID impact statements” are to be encouraged and used during merit and promotion review, then **faculty should not feel pressured to divulge personal details or circumstances** in their files. It is strongly preferred that “COVID impact statements” provide merely a detailed accounting of **lost opportunities in the professional domain** (e.g., weeks of lost productivity due to campus closures, grants not submitted, manuscript submissions delayed; students not graduated; performances cancelled, etc.), rather than a description of personal impacts. **In other words, faculty should not be required to describe personal details and circumstances, such as family or personal illnesses or demands of dependent care duties, etc., in their files).** Excluding such personal details could help mitigate concerns over implicit bias, but may not eliminate them completely.”



# Departmental vote

- **Before your first action of the 2023-24 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 are expected to 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)
- Candidates don't decide what actions can be considered ...
- If the candidate is four years or less at rank or clearly does not meet the criteria for promotion (e.g., absence of an in-press or published book in the book disciplines), the candidate has the option to have promotion removed from the Step Plus ballot. In all other circumstances, departments are required to evaluate all candidates for 0, 1.0, 1.5, and 2.0-step advancements

## Under Step Plus, delegation can change!

- The MIV dossier default proposed action is 1.0-step advancement (note: this does *not* mean that this should be the minimum outcome if the dossier does not support 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 of the candidate’s departments
- 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**:

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

<b>Does not meet expectations</b>	<b>Somewhat below expectations</b>	<b>Meets expectations</b>	<b>Somewhat exceeds expectations</b>	<b>Greatly exceeds expectations</b>
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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

<b>Vote</b>	<b>No.</b>
<b>Support 1.0 (normal advancement)</b>	5
<b>Support 1.5 step</b>	6
<b>Support 2.0 step</b>	3
<b>Do not support advancement</b>	0
<b>Abstain</b>	0
<b>Ineligible to vote (review/comment extended)</b>	5
<b>Ineligible (reviewer at different level)</b>	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.
<b>(1) Do you support the proposed 1-step action?</b>	Yes No Abstain	24 0 1
<b>(2) Would you support any of the following actions?</b>	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
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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 are expected to provide explanation
  - Encourage comments on positive ballots, as well

# Faculty have the right to see their completed actions

- Faculty are guaranteed the right to review the contents of their dossier, including redacted extramural letters, a confidential chair's letter (if there is one), and the comments from all reviewing bodies. These rights are enshrined in APM 158 and APM 160.
- Therefore, share this information with your faculty when their advancement decisions are final, so they do not have to search for it in MIV.

# 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). Note: special COVID 3<sup>rd</sup> year is possible with approval from UC Provost.

## ○ 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 may be 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 the Delegations of Authority and Checklists

- After a positive advancement or satisfactory five-year review:
  - Dean approves 1<sup>st</sup> & 2<sup>nd</sup> year deferrals (FPC review is optional)
  - FPC reviews and Dean approves 3<sup>rd</sup> & 4<sup>th</sup> year deferrals, including Plan(s) for Progress
- After a denied advancement or unsatisfactory five-year review:
  - FPC reviews and Dean approves 1<sup>st</sup> & 2<sup>nd</sup> year deferrals, including a current Plan for Progress
  - CAP reviews and VP-AA approves 3<sup>rd</sup> & 4<sup>th</sup> year deferrals, including Plan(s) for Progress

# Fast-breaking Items

- For promotions and barrier step advancements that cover multiple periods of review, chairs need to separate out the most recent review period from the full review period if they are advocating for an additional half-step when the faculty member has already gotten additional half-steps in the past.
- Always indicate what area additional half-steps are for. Please do not write “for an overall excellent record” or vague phrases.
- We would like chairs to inform faculty about what areas faculty have received half-steps for in the past, until we have a formal system to do this.
- Pre-prints are not equivalent to peer-reviewed publications, so please do not use them to justify additional half-steps.

# Discussion

# Appendix 1:

## Timelines and Deadlines



# 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.

# 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

Be sure to review the appropriate checklist for additional requirements (<https://academicaffairs.ucdavis.edu/forms-and-checklists>).

Series	Appointment Asst/LPSOE rank, Steps I-III	Appointment Asst/LPSOE rank, Steps IV-VI	Appointment Associate/LSOE rank	Appointment Full/ Sr. LSOE rank	Merit to barrier steps (Full level VI)*	Merit to Above Scale*	Promotion Associate rank	Promotion Full rank
Professor	E	E (4-6)	A (6-8)	A (6-8)	O (M, if used)	A (6-8)	A (6-8)	A (6-8)
Professor in Residence	E	E (4-6)	A (6-8)	A (6-8)	O (M, if used)	A (6-8)	A (6-8)	A (6-8)
Professor of Clinical	E	E (4-6)	A (6-8)	A (6-8)	O (M, if used)	A (6-8)	A (6-8)	A (6-8)
Lecturer (P)SOE/Sr. Lecturer SOE	E	E (3-5)**	L (4-6)	A (6-8)	O (M, if used)	A (6-8)	A (6-8)	A (6-8)
Health Sciences Clinical Professor	E	E (4-6)	L	L	O (L, if used)	L	L	L
Adjunct Professor	E	E (4-6)	A (6-8)	A (6-8)	O (M, if used)	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)	O (M, if used)	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)
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	Merit	Promotion
Continuing Educator	E	NA	***NA
Academic Coordinator I, II & III	E	O (L, 5-8 if used)	***N/A
Academic Administrator I - VII	E	O (L, 5-8 if used)	L/C (5-8)
Librarians	E	O (L/C, 5-8 if used)	O (L/C, 5-8 if used)
Assistant/Associate University Librarian	E	O (L/C, 5-8 if used)	O (L/C, 5-8 if used)

Endowed Chair Reviews	
Appointment (external)	A (6-8)
Appointment (internal)	O (M, if used)
Reappointment (internal)	O (M, if used)

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.

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).

O = Optional

M = Minimum of three arm's length letters, all letters received must be included in the review

\*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.

\*\*\*Series not eligible for promotion. A change in level may require a recruitment or approved search waiver or search exemption, if allowable. Consult with Academic Affairs.

See UCD 220 V. B. 4 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 V. B. 4 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: 23 January 2023

## **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 preferably)
  - 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 Professor of Teaching advancements)**

## Letters for merit to Professor, 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



# The Candidate's Statement

- Maximum 5 pages + 1 additional page strictly for COVID-related impacts on productivity during period of review
- 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 210-1-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.**





## Faculty Equity and Inclusion

### Resources:

[Why Does UC Davis Seek Statements of Contributions to Diversity From Applicants?](#)

[Guidelines for Writing a Statements of Contributions to Diversity](#)

[Advertising Suggestions](#)

[How and Why We Built a Majority-Minority Faculty by Kevin R. Johnson, Dean, UC Davis School of Law](#)

#### > ADVANCE

> Advancing Faculty Diversity Hiring Grant

> Faculty Equity and Inclusion

Guidelines for Writing a Statements of Contributions to Diversity

Why Does UC Davis Seek Diversity

## 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 calendar-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 only 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?

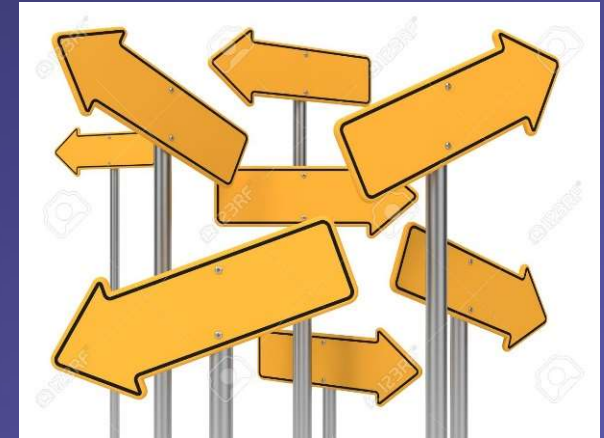
## Redelegated vs. non-redelegated merits

- 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  $\geq 2.0$  steps
  - Merit actions for faculty members who have not advanced for ~6 years or more

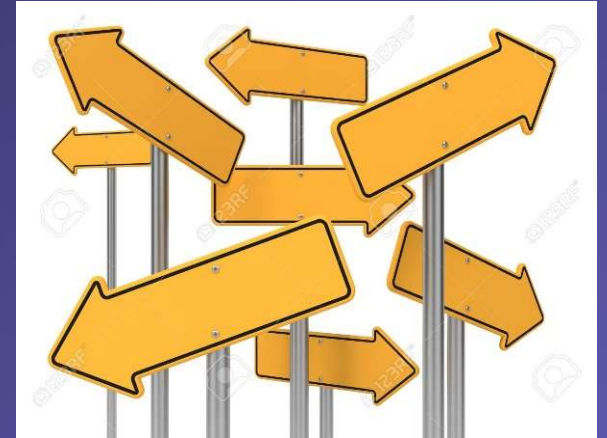


# Pathway for redelegated actions

- 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 1<sup>st</sup> 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)