

**New Chairs  
Two-day Workshop  
Academic Advancement**

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Vice Provost for Academic Affairs**

**September 11-12, 2024**

# Roadmap to Today's Presentation

1. Resources and tools for chairs
2. Important changes for 2024-2025 and beyond: the Annual Call
3. Step Plus updates
4. Review of the merit and promotion process



# Part 1: Resources and Tools



## Advancement Policies and Practices: Resources

- **APM 210** lists the review criteria for Academic Senate Series
- **APM 220** describes system-wide policy for merits and promotions in the Professor series
- **APM 285** describes system-wide policy for the Professor of Teaching series
- **APM UCD 220** describes campus implementation of APM 220 plus our procedures, checklists, and sample letters
- See the **Step Plus Toolkit** on the Academic Affairs website for information and guidance

**APM website –**

**<https://academicaffairs.ucdavis.edu/apm/apm-toc>**



# Academic Affairs

## Academic Personnel Manual

Academic Affairs > Policies > Academic Personnel Manual

### 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](#)
- [II. Appointment and Promotion](#)
- [III. Recruitment](#)
- [IV. Salary Administration](#)
- [V. Benefits and Privileges](#)

#### I. General University Policy Regarding Academic Appointees

- Policies
- Academic Enrichment Fund (AEF) Accounts
- Academic Advisories
- Academic Personnel Manual
- Access To Records
- Accommodations
- Ad Hoc Committees
- Annual Call +
- Appointment And Advancement

# Chair's Roles in the Academic Personnel Process:

See: APM 245, APM UCD 245A, Exhibit A: Duties of Clinical Department Chairpersons

- *Liaison* between faculty member & Dean/Administration
- Proactive *mentor* in career advancement of faculty
  - Meet at least annually with each faculty member (more frequently with junior faculty)
- Ensures department and university policies are followed in all personnel actions
- Agent for change in making personnel processes fairer and more efficient
- Sets the standard for department climate and modes of interaction



# *The Annual Call*

- Issued in summer (e.g., July 2024)
- Reminders about process steps and best practices
- Summarizes and links to recent Academic Affairs' advisories
- Due dates for academic personnel actions to department, Dean's office, and Vice Provost's office
- Identifies what has changed since last year, and offers reminders and clarifications about things to do or to avoid
- Make sure to read the Annual Call and discuss it with your academic personnel staff member!!!
- Discuss the important changes with your faculty, as well



# Academic Affairs

People > Resources > Policies > Programs > Tools > Workshops > Honors > Diversity >

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## Serving the professional academic community at UC Davis



- [Academic Employment Opportunities \(RECRUIT\)](#)
- [Academic Personnel Manual](#)
- [Annual Call](#)
- [Attributes Chart](#)
- [Deans, Directors & Department Chairs List](#)
- [Delegations of Authority](#)
- [Extramural Letter Requirements Chart](#)
- [Frequently Asked Questions](#)
- [MOUs](#)
- [Salary Scales](#)
- [Step Plus System](#)
- [UCD Policy & Procedures Manual \(PPM\)](#)

# Academic Affairs

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Quick Li



## Annual Call

Academic Affairs > Policies > Annual Call

Download 2024-25 Annual Call for Academic Personnel Advancement Actions [\(PDF\)](#)

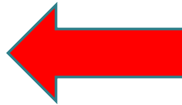
Download 2024-25 Annual Call Appendix A only [\(PDF\)](#)

July 31, 2024

RE: **2024-2025 Annual Call for Academic Personnel Advancement for Academic Senate and Academic Federation Actions**

Dear Colleagues:

With this Annual Call for the 2024-2025 academic year, I am pleased to remind you of changes in policies, procedures, and interpretations that have taken place over the past year.



### Policies

[Academic Enrichment Fund \(AEF\) Accounts](#)

[Academic Advisories](#)

[Academic Personnel Manual](#)

[Access To Records](#)

# ANNUAL CALL: Deadlines

## New 2024-2025 deadlines for academic personnel actions

- Academics who do not submit their materials to their departments by the due dates in Appendix A must request in writing an extension from the Dean with a just cause (e.g., illness) provided. No more than two (two-week) extensions will be granted to the academic, and if the dossier is not submitted at the end of the second approved extension, then the action will become an administrative deferral. Eligibility will be updated to the next review cycle unless an exception with strong justification is approved by the Vice Provost.



# ANNUAL CALL: Deadlines

- Deans should work with their chairs to ensure that departments meet their deadlines for submitting actions to deans' offices. This may require departments to hold additional meetings in the fall to discuss advancement actions prior to voting. Extension requests and administrative deferrals must be submitted for all reasons at all levels of review.
- When delays are due to department or dean's office staffing concerns, no more than a total of two (two-week) extensions will be granted, and if the dossier is not submitted at the end of the second approved extension, then the action will become an administrative deferral. Eligibility will be updated to the next review cycle unless an exception with strong justification is approved by the Vice Provost.



# ANNUAL CALL: Deadlines

- Any non-redelegated action received after May 31, 2025 may be subject to administrative deferral and can be submitted in the next review cycle.
- Every year the Annual Call includes advancement deadlines published in Appendix A. The published deadlines exist to ensure that peer and administrative review proceeds in a timely manner and to allow for prioritization of workload for the Academic Senate and Academic Federation review committees. Please remember that extensions must be requested prior to the due date of the action.
- No extensions for the submission of late merits or promotions will be granted without strong justification. Authority to grant extensions to the published deadlines and/or issue administrative deferrals will depend on the delegation of the eligible action.

# ANNUAL CALL: Deadlines

## Late Submission of Actions

Academics should be strongly encouraged to write their optional candidate statements as early as possible, including over the summer for actions due to their department in fall quarter. Please ask faculty to have their dossiers completed by September 1, 2024 for fall actions, even if they are academic year faculty.

Academics who do not submit their materials to their departments by the due dates in Appendix A must request an extension from the Dean for just cause (e.g., illness). No more than two (two-week) extensions will be granted, and if the dossier is not submitted, then the action will become an administrative deferral. Eligibility will be updated to the next review cycle unless an exception with strong justification is approved by the Vice Provost.

# ANNUAL CALL

## Late Submission of Actions

- Accelerated promotion actions are voluntary and not eligible for extensions.
- Departments should identify and receive acceptances from extramural reviewers as early as February or March of the year preceding the advancement action, even if the extramural letters are not due until fall. Many extramural letter writers will only agree to writing a certain number of letters in an academic year, so the earlier the departments can obtain commitments, the better.
- Departments are encouraged to conduct preliminary votes well in advance of the deadline for actions that could trigger the need for extramural letters (e.g., promotion or advancement to Step VI or Above Scale). Earlier voting should minimize delays.

# ANNUAL CALL

**Student Evaluations for Fall 2022:** Because the strike had a manifest impact on instructors and courses in Fall 2022, faculty may voluntarily remove their student evaluations from this specific quarter in future dossiers. It is entirely up to the individual faculty member if they want to do this or not, but the option will now be afforded to them.

**Breaches of Confidentiality:** The list of reviewers is considered confidential. All extramural letters received are redacted so as not to breach confidentiality of the references. If the identity of the reviewers has been revealed, the department must write to each of the named reviewers and explain that there has been a breach of confidentiality and that the candidate not only knows that they served as a reviewer, but also has a sense of their letter. The reviewer should be informed that they have the option of declining any future request from UC Davis with the explanation that their confidentiality had previously been compromised. It is a violation of the system-wide Faculty Code of Conduct (APM 015 Part II D. 5.) to breach established rules governing confidentiality in personnel procedures.



# ANNUAL CALL

**New last year – Strike Impact Statement**

**New last year – Statement of Contributions to Public and Global Impact**

**Reminder – Peer Evaluation of Teaching for Any Action:** Faculty can request a peer evaluation of teaching for any action to provide a more balanced perspective on their teaching record beyond student evaluations.

## Part 3: Step Plus Update and Reminders



# Reminder: Step Plus Advancement Dossiers

Step Plus is rewarding outstanding teaching and service more than we did previously, so accuracy and detail in dossiers is essential!

- Provide complete description of teaching responsibilities (% responsibility, average loads), etc.
- Conduct substantive peer review of teaching for promotions and marginal cases
- Assess impact of candidate's contributions to diversity
- Update all activities (candidate signs off on dossier for accuracy!)
  - Include mentees only from review period
  - Include post-degree positions of PhD mentees
  - Include only service activities during the current review period
  - Add web links documenting editorial board service

**Reminder:** Although a candidate can state a preferred action in the Candidate's Statement, routing of subsequent review and decision is determined by the majority department, FPC, or dean recommendation.

- If any of these reviewing bodies supports a non-redelegated action (e.g., 2.0 steps), it becomes non-redelegated and is reviewed by CAP and the VP-AA.

# 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 and is outstanding for regular advancement**
- Report the full vote and all the rating scores (if these were done)
- Address potential weaknesses in the record, as well as strengths
- Recommended: append all ballot comments to the letter.
  - “NO” voters are expected to provide explanation (but votes still count even if they decline to)
  - Encourage comments on positive ballots, as well!
- Indicate rationale for recommendation within Step Plus framework— which, if any, areas are deemed “outstanding”, and why?
- Provide a clear description of the department vote



# Please report Step Plus votes unambiguously!



Example: “Of the 25 faculty eligible to vote on this action, 20 voted and 1 abstained. 20 voters supported at least 1.0-step advancement. Of these, 8 supported at least 1.5-step advancement based on outstanding research, and 3 of those also supported 2.0-step advancement for outstanding teaching.”



# Examples of clear voting ballots

## A.

Vote	Check box
Support 1.0 (normal advancement)	
Support 1.5 step	
Support 2.0 step	
Do not support advancement	
Abstain	

**C.** Which of the following options do you feel is most appropriate for merit advancement? *Please vote for only one option.*

(Note: a vote for a higher step implies support for all lower steps.)

- I vote in favor of a 2.0 step increase
- I vote in favor of a 1.5 step increase
- I vote in favor of a 1.0 step increase
- I do not support merit advancement
- Abstain

**D.** For appraisals:

Voting action			
Positive	Guarded	Negative	Abstain

# Example of clear ballot reporting

**B.**

Unit	Voting action				
	Do not support	1.0 step	1.5 steps	2.0 steps	Abstain
Division/section					
Department					
Total					

**Step Plus:** *always* justify what academic area the department is recommending extra half-steps for, and why an area(s) is outstanding.

## The Role of the Candidate's Preferred Action

It is the candidate's right to pursue advancement, even if the department vote is negative or the dean is not supportive.

However, at the urging of the Senate, we do not recommend that the candidate make a specific advancement request.

It is our hope that this change will:

- encourage more thorough analysis of the dossier by department peers
- reduce the need for peers to vote “against” a specific candidate request
- allow the candidate to present their case and simply rely on department evaluation.



## The Role of the Candidate's Preferred Action

**Who decides who goes up for promotion? If a candidate is at a step that is eligible for promotion (not a seventh year case), can the candidate choose not to be considered for promotion and limit the department vote to only step plus options for merit?**

An academic appointee can come up for promotion when they are ready or when the department finds the record supports the action. Assistant professors must promote no later than their seventh year, per APM 133 and APM 220, unless they previously received approval for an extension on the clock. **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, the promotion options under Step Plus must be included on the ballot.

## Step Plus Expectations Need to be Managed

**Actions to Above Scale have become very contentious:**

Many faculty want to go from Step 8 or Step 8.5 to Above Scale, thereby skipping the four-year expectation at Step 9.

**WARNING: Most of these advancements are denied.**

**This is rarely allowed under APM 220**, as noted by CAP:

“CAP notes that **except in rare and compelling cases, advancement to Above-Scale status will not occur after less than four (4) years at Step 9.0.** Advancement to Above-Scale involves an overall career review and is reserved only for the most highly distinguished faculty: (1) whose work of sustained and continuing excellence has attained at least national recognition and broad acclaim reflective of its significant impact; (2) whose university teaching performance is excellent; (3) whose service is highly meritorious.”

# Step Plus Expectations Must be Managed, and Faculty Warned that These are Rarely Approved

## Advancement from Step 8/8.5 to Above Scale

Faculty merits that are proposed to go from step 8.0/8.5 to above scale should be based on “rare and compelling” reasons (APM 220-18). When invoked, these reasons must be clearly articulated by the reviewing body (department letter, FPC, Dean, and/or CAP) as to why they are “rare and compelling.” It is insufficient to state that the criteria of evaluation are “outstanding” for Step Plus purposes because outstanding efforts are recognized numerous times each year under Step Plus, hence are not “rare,” and outside letter writers will also likely be unaware of the “rare and compelling” requirement under the APM.

## Step Plus Expectations Need to be Managed

**An academic record during the period of review must be balanced!**

Outstanding achievement in one area may not qualify the candidate for 1.5-step or 2.0-step advancement if performance in another area does not meet UC Davis standards.

Deficiency in one or more areas **can preclude any advancement, or eligibility for Step Plus advancements** even if a 1.0-merit increase is approved.

**Beware** of department overreaching – a 2.0-step recommendation automatically makes an action non-redelegated.



# Part 4: Updates on the Senate Professor of Teaching title (formerly called LSOE)



# SOE faculty vs. Unit 18 Lecturers: Why hire into these two series?

## **Professor of Teaching faculty – these are Academic Senate members**

- Need for excellence and innovation in classroom teaching
- Curriculum, course development
- Transform and update teaching approaches in the discipline based on research, learning assessment, etc.
- Research in the underlying discipline and/or in pedagogy counts for advancement

## **Unit 18 Lecturers – these are not Academic Senate members, but are members of the Academic Federation and are union-represented**

- Manage teaching loads too high for available Senate faculty
- Requirement for consistent, excellent classroom teaching
- Temporary teaching needs, e.g. replacing retirees or those on leave
- Fill teaching needs in specialty “gaps”
- Must show evidence of no less than excellent teaching for advancement to Continuing Lecturer

# Professor of Teaching Advancement

Materials submitted in support of an appointment or advancement action should provide a comprehensive assessment of the candidate's qualifications and performance in the areas specified below:

- A. Teaching Excellence and Learning**
- B. Professional Achievement and Activities**
- C. University and Public Service**

Although Professors of Teaching are expected to build significant expertise in the scholarship of teaching and learning, our campus does not require peer-reviewed publications in pedagogy for promotion from Assistant to Associate Professor of Teaching.

*Policy References – APM 210, APM 285*



- **Teaching excellence**

- Assigned classroom teaching should allow sufficient time to participate in pedagogical innovation and professional development as educators



- **Professional and/or scholarly achievement and activity, including creative activity**

- Includes scholarly professional activities and research in both the underlying discipline and in pedagogy



- **University and public service**

- As for Assistant Professors, Department Chairs should avoid assigning heavy service responsibilities to Professor of Teaching faculty members



# The “new” SOE series: Advice for Chairs

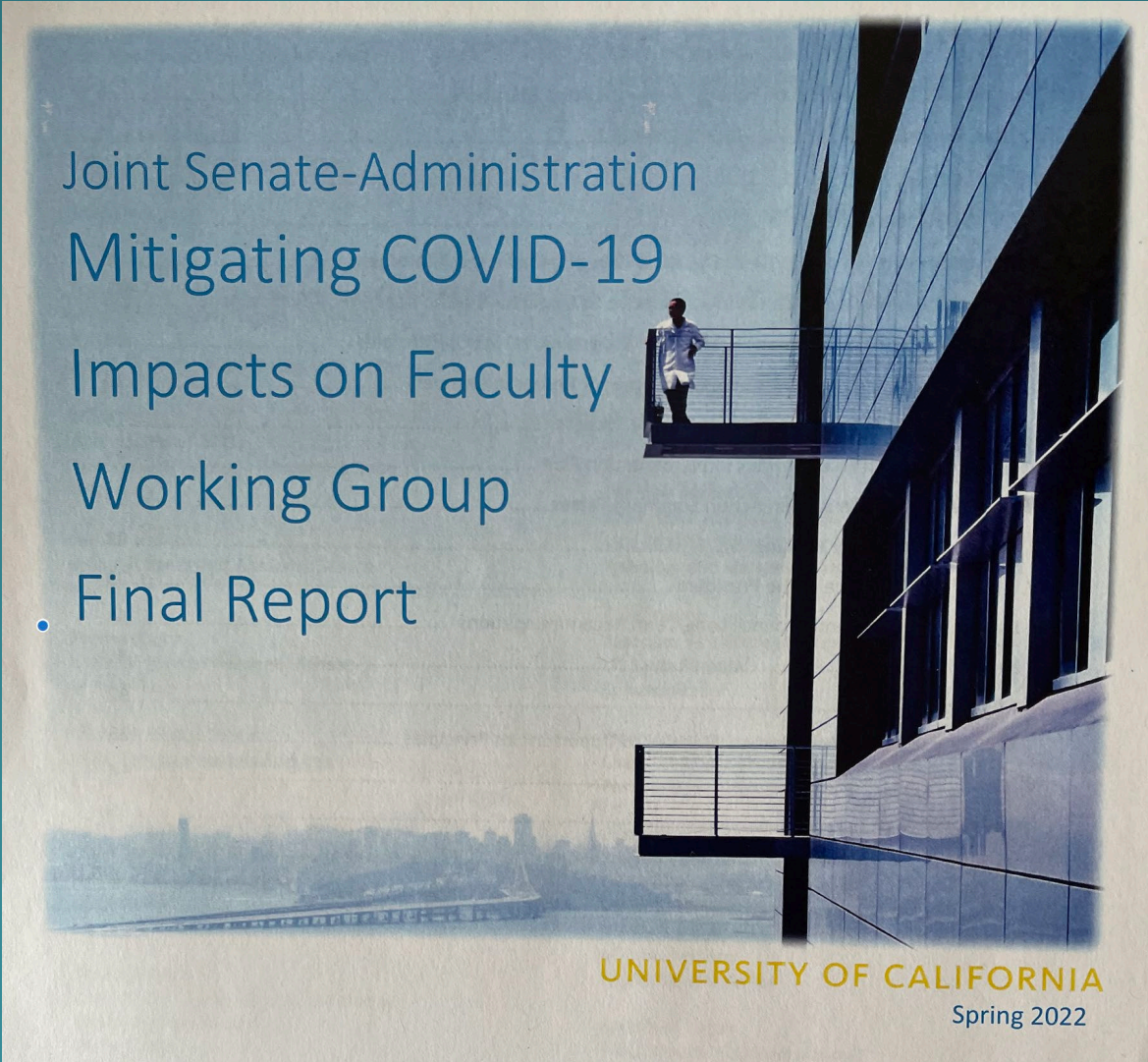


- Review your department voting rules (refer to Senate Bylaw 55)
- SOE faculty are members of the Academic Senate, and should have considerable latitude in choosing their own activities for professional growth and scholarship
- Duties or assignments negotiated with the Chair, especially if demanding, should have a strong creative and scholarly element with a focus on teaching and learning
- Consider developing a Plan for Progress with new SOE faculty members
- Consider consulting with the Center for Excellence in Education on peer review

# Part 5: Review of the merit and promotion process







Joint Senate-Administration  
Mitigating COVID-19

Impacts on Faculty

Working Group

Final Report

UNIVERSITY OF CALIFORNIA

Spring 2022

See in particular “Application of ‘Achievement Relative to Opportunities’ (ARO) Principles” on pages 11 – 14. Report can be found on the Academic Affairs website: <https://academicaffairs.ucdavis.edu/coronavirus-covid-19-academic-personnel-information>

# Achievement Relative to Opportunities (ARO) in Academic Advancement

- 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.”
- “Disruptive circumstances could have been professional or personal, though faculty should not be required to divulge the latter. Many faculty, for example, had to take on an increased level of dependent care responsibilities as schools and other child-care services closed during the pandemic.”



# Achievement Relative to Opportunities (ARO) in Academic Advancement

- “Another aspect of applying ARO principles in the file review is factoring in how the traditional balance between research, teaching, and service was disrupted and adopting a more flexible approach in evaluating performance areas, adjusting the weight given to each area based on individual circumstances which is compatible with APM 210.”
- “ARO principles encourage placing more emphasis than would traditionally be done on professional growth and progression within that individual’s unique set of circumstances.”

# Achievement Relative to Opportunities (ARO) in Academic Advancement

- From Monash University: “Achievement relative to opportunity is a positive acknowledgement of what a [faculty] 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.”

# Achievement Relative to Opportunities (ARO) in Academic Advancement

- “Along with how much a faculty member has done relative to the “pandemic” standard, ARO principles also give weight to the quality of one’s work and its impact. This does not have to be limited to research, scholarship, and creative activities, but should also consider contributions in teaching and to the campus community. Faculty can help reviewers by highlighting exceptional quality, describing steps taken to arrive at that level of quality, and describing the work’s broader impact.”

# Achievement Relative to Opportunities (ARO) in Academic Advancement

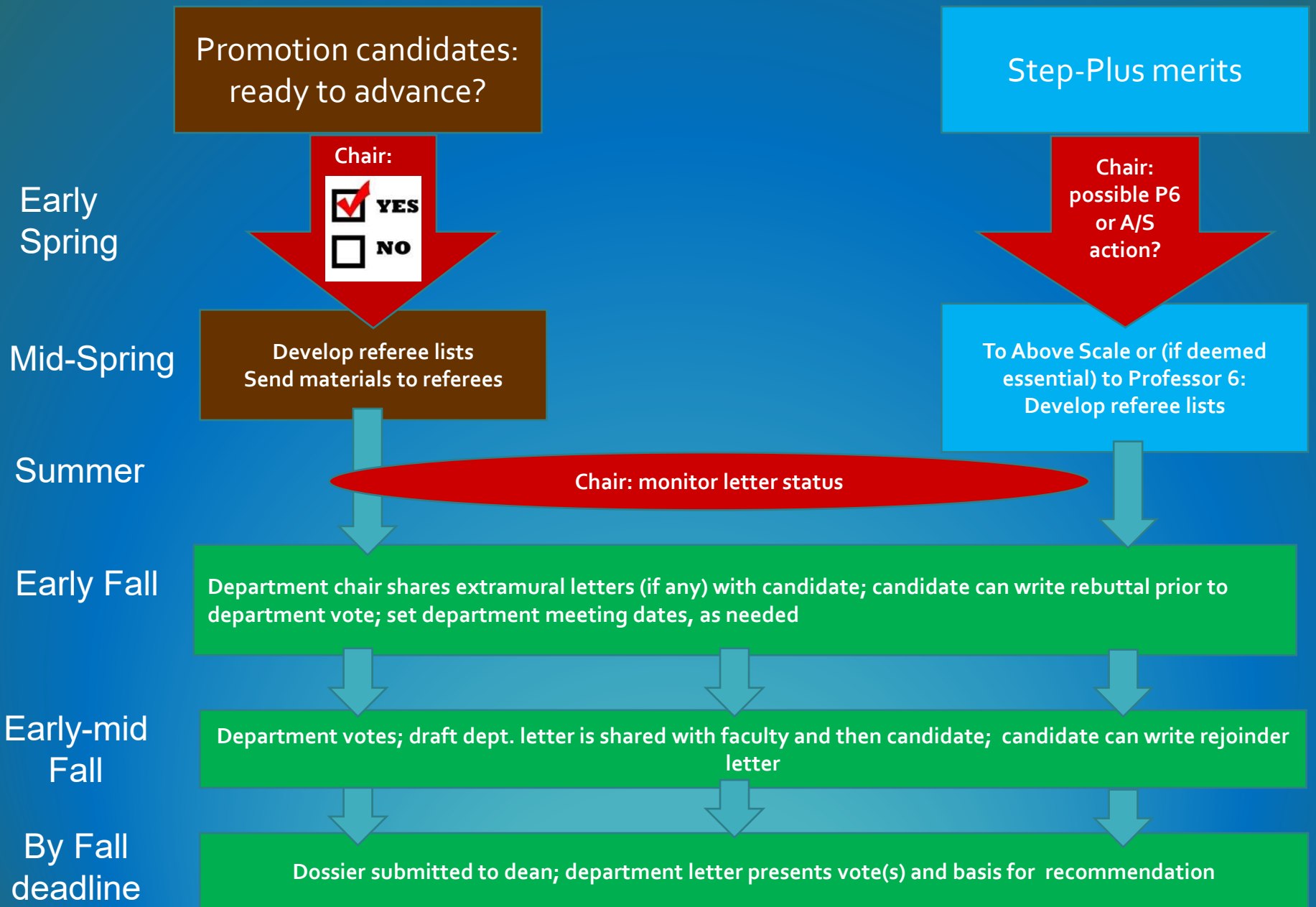
- “Individual COVID-19 Opportunities and Challenges Statements [Note: this is available in MIV] are an essential ingredient in this type of review, no matter how this language is submitted (whether embedded [in the Candidate’s Statement] or submitted as a separate document [in MIV]. Accounting for the use of these statements will be easier if this information is easily discernable in the file.”



# Achievement Relative to Opportunities (ARO) in Academic Advancement

“Context matters in coming to decisions on file reviewed in accordance with ARO principles. This context is determined by inputs:

1. Department’s introductory COVID-19 “Opportunities and Challenges Statement” (Department files should be reviewed as a group and introduced with a required “Department COVID-19 Opportunities and Challenges Statement” which can help to serve as a benchmark in understanding to what extent impacts were widespread and where they may have been more individualized.)
2. Achievements and contributions in UC evaluation areas relative to an approximate “pandemic” standard
3. Professional challenges/extenuating circumstances (derived from the COVID-19 Opportunities and Challenges Statement)
4. Personal challenges/circumstances
5. External evaluation



# Extramural Referees

- Which referees are NOT arm's-length?
  - Former mentors, mentees; collaborators; close friends or professional associates; relatives
  - Encourage referees to describe their relationship to / knowledge of the candidate below the signature block
- Developing lists of extramural referees
  - Ask candidate to generate a list of colleagues/experts who can evaluate the work (this list may include arm's-length referees). *These cannot be from UC Davis.*
  - 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

# Extramural Referees

- 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
- Arm’s length letters carry more weight and credibility than non-arm’s length letters
- Also consider the quality of the academic institution where the letters writers are. It is preferable to have letter writers from institutions that are considered our “peers,” particularly with respect to research and scholarship
- Pick referees who are at a higher rank than candidate, or more senior if at the professor rank



# Communication with Extramural Referees

- Contact potential reviewers by early Spring Quarter
  - At least half should be from the department list
  - When the department vote favors a Step Plus action that requires letters, request extension from VP-AA and expedite letter requests in fall!
- Provide reviewers a time frame for response & information about campus work-life policies (see links to template letters on AA website)
- Send CV, draft of candidate's statement, publications; book chapters or manuscript (only if book is very near acceptance), and other teaching-related material for Professors of Teaching
  - 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 promotions and all merits for Professor of Teaching faculty)

# Communication with Extramural Referees

Annual Call 2024-2025: Reminder – Items to Include with Extramural Letter Requests:

While UC Davis has recently encouraged departments to utilize a more holistic evaluation process for advancements due to the deleterious impact of the pandemic on academic careers, extramural letter writers may not be aware of this. Therefore, when seeking extramural letters, we recommend that Department Chairs also consider including with the request the candidate's statement, statement of contributions to diversity, equity, and inclusion, and, if available, the COVID opportunities and challenges statement. Any of these items provided to extramural letter writers should first be approved by the candidate, as some faculty may not wish these documents to be shared outside the university.

# Letters are Not Required for Merit to Professor, Step 6: Implications

- APM 220-18b: Merit to P6 requires evidence of “great academic distinction, recognized nationally, ... in scholarly or creative achievement or teaching”
- Letters may be especially helpful if > 1.0 step is anticipated for faculty at Step 4.0 or 4.5
- *Without letters from national authorities, such impact may be harder to demonstrate for some candidates. Use your judgement!*
- The dossier should thoroughly document:
  - National scholarly impact of publications (citations, etc.)
  - Invitations to speak/exhibit/perform, especially plenary addresses
  - National/international service based on scholarly/creative work
- At their discretion, the Dean, CAP or VPAA may request extramural letters in some cases

# Extramural Letters for Merit to Above Scale

- Explain criteria for advancement in solicitation letter.
- APM 220-18b 4) describes the criteria for advancement to Above Scale:

“Advancement ... involves an overall career review and is reserved only for the most highly distinguished faculty: (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious...”
- Ensure that some letters are from international authorities
- Include letters, if possible, from high-level faculty in the UC system
  - Note: Not all UC campuses use the title “Distinguished Professor” for the Above-Scale rank



# Work-life Language

Language that should be used in ALL requests for extramural review of UC Davis faculty:

*“UC Davis encourages its faculty members to consider extensions of the (pre-tenure/review) period under circumstances that could interfere significantly with development of the qualifications necessary for (tenure/advancement). Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment, and impacts of COVID-19. Please note that under UC Davis policies and guidelines the overall record of productivity and scholarly attainment forms the basis of your evaluation. Time since appointment is not a factor in this review -- the materials in the file should be evaluated as if they were completed during the usual normative time and not according to the actual elapsed time.”*

# The Candidate's Statement

- Restrict to 1-5 pages – please send back longer letters for shortening
- Should present candidate's perspective in all areas under review in language accessible to non-specialists
- Should include an analysis of impact of work, stressing intellectual leadership, creativity and uniqueness of work, and identifying technical contributions
- Do not recapitulate what is already in the dossier
- Should focus only on the period under review!
- Can discuss challenges encountered, future plans

# First Dossier Review by Candidate

- Before department faculty review, candidate checks dossier, *including redacted extramural letters*
- Candidate must correct errors in his or her MIV entries
  - It is the candidate's responsibility to check for accuracy of MIV information (e.g. service periods on editorial boards, committees or review committees, dates of grants)
- Candidate may write **rebuttal letter** within 10 calendar days to respond to issues raised in redacted extramural letters. This letter will be included for voting faculty review.

# Departmental Vote

- Votes are totally confidential
- Negative votes *must* indicate reasons on ballot
- Under Step Plus, positive comments are also extremely important, and encourage your faculty to provide them

## **Before your first action of the 2024-2025 merit cycle:**

- Review your current voting procedures and Senate Bylaw 55, if you have not done so in the past 1-2 years
  - Many departments have recently hired Professor of Teaching faculty
  - Consider the role that more junior faculty can play in the process—many do not fully understand the benchmarks ahead of them



# Evaluation of Scholarly and Creative Work

*Scholarly independence* is not a key criterion for Senate faculty, given that many research areas are highly collaborative

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

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

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

# Department Letter

- Two-pages recommended maximum for merits
- Up to five pages recommended for promotions, merits to barrier step
  - Appended comments from department ballots do not count towards the page limit
- Reflects department view (**not** the Chair's view)
- Should not duplicate candidate's statement
- Discusses *impact* of scholarly activities, innovative teaching, outreach, contributions to diversity & any extenuating circumstances
- Includes language for Work-Life Program participation if appropriate.

## Department Letter (continued)

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

# Contributions to Diversity as Criteria for Advancement

## PROMOTING DIVERSITY EFFORTS RECOGNIZED IN MERITS AND PROMOTIONS, PER **APM 210-1(d)**:

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. 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 and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.



# The Department Letter Should Address the Candidate's Contributions to Diversity

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



# Academic Affairs

Serving the Professional Academic Community at UC Davis

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## Faculty Equity and Inclusion

### Resources:

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

[Guidelines for Writing Statements of Contributions to Diversity, Equity, and Inclusion](#)

[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 Statements of Contributions to Diversity, Equity, and Inclusion

# Candidate Reviews the Department Letter and Dossier Before it Leaves the Department

- Department letter content is not negotiable, but candidate can ask that inaccuracies be corrected
- If candidate disagrees with statements in final version of department letter, he/she may write **rejoinder** letter; has 10 calendar days to do so
- **Never** reveal names of extramural letter writers (or describe them in the letter) – make sure faculty know this too when making comments
- Candidate can request advancement even if faculty vote is negative
- **Final step: Candidate signs disclosure statement verifying that packet is complete & factually accurate**

# Confidential Chair's Letter (CCL) (optional)

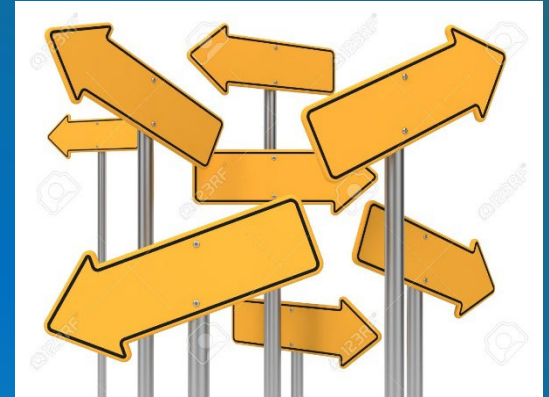
- Letter is kept confidential from department faculty and can now be loaded into MIV, as MIV has been updated and includes a section for the CCL.
- Letter is kept confidential from candidate **until after the action is completed**
- Candidate will see a redacted copy of the Chair's Confidential Letter when the merit decision is finalized and shared with the dean's office to then share with the department
- Letter continues to remain confidential with respect to department faculty
- Collegiality is a legitimate factor for evaluation, but only to the extent that it demonstrably affects research, teaching or service



# 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
- If **not redelegated**, the Vice Provost – Academic Affairs makes final decision (except for tenure decisions, which may be decided by the Provost or Chancellor), advised by CAP
  - Promotions, merit to Prof 6, merit to Professor Above Scale, merits to Further Above Scale
  - Recommendation from department, FPC or dean for  $\geq 2.0$  steps
- See “Delegations of Authority” link on Academic Affairs’ website quick links

# 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)
- From FPC to Dean for final action
- Appeals go to CAP-Appellate Committee, and back to Dean for final action

# Appeals

- Appeals occur when the candidate provides explanatory/clarifying information pertinent to the original dossier, after the final decision is made.
  - 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-Appellate does *not* review a dossier that differs substantially from the dossier that CAP-OC reviewed.
- Final decision on appeal is based on the delegation of authority

# Deferrals

- Below Professor Step 5, deferral is required if a candidate chooses not to go forward for advancement when eligible.
  - A candidate is eligible after normative time at the current step, or in the year following a denial, prior deferral, or five-year review
- Deferral requests are due at the same time that the corresponding merit or promotion action is due.
- ALL academics must be reviewed at intervals no longer than five years. Accordingly, five-year reviews cannot be deferred.
- For further information, work with your college's academic personnel analyst.



# Five-year Reviews

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

# Discussion

