

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

**Philip Kass
Vice Provost -- Academic Affairs**

September 9-10, 2021



Roadmap

1. Resources and tools for chairs
2. Important changes for 2021-2022 and beyond: the Annual Call
3. Step Plus updates
4. Review of the merit and promotion process



Slide 2

KD10

Is the academic-year on #2 supposed to be 2020-2021? Or 2021-2022?

Kimberly DeLaughder, 9/8/2021

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/promotions in the Professor series
- **APM 285** describes system-wide policy for the Lecturer SOE series
- **APM UCD 220 and APM UCD 285** describe campus implementation of APM 220 and APM 285 plus our procedures, checklists, and sample letters
- See the **Step Plus Toolkit** on the Academic Affairs website for information and guidance

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

Academic Affairs

Serving the Professional Academic Community at UC Davis

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Academic Employment Opportunities (RECRUIT)

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Attributes Chart

Deans, Directors & Department Chairs List

Delegations of Authority

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Frequently Asked Questions

MOUs

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Step Plus System

UCD Policy & Procedures Manual (PPM)

Serving the professional academic community at UC Davis



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](#)

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I. General University Policy Regarding Academic Appointees

[APM](#)

- > Academic Enrichment Fund (AEF) Accounts
- > Academic Advisories
- > Academic Personnel Manual
- > Access to Records
- > Ad Hoc Committees
- > Annual Call
 - Annual Call for Unit 18 Members
 - Historical Annual Calls
- > 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 2021)
- 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 >



Annual Call

Academic Affairs • Policies • **Annual Call**

Download 2021-22 Annual Call for Academic Personnel Advancement Actions ([PDF](#))

Download 2021-22 Annual Call Appendix A only ([PDF](#))

July 30, 2021

DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, ASSISTANT DEANS, VICE

**Academic Enrichment Fund (AEF)
Accounts**

Academic Advisories

ANNUAL CALL

- New 2021-2022 deadlines for academic personnel actions
 - **Administrative Deferrals will again be optional in 2021-2022.** Deadlines for actions due to the Vice Provost's Office are published in the Annual Call and Deans' Offices set additional deadlines to allow for timely review at their level.
 - **Deans have discretion to impose administrative deferrals for redelegated actions.**
 - **If any non-redelegated 2021-2021 action is late without obtaining prior approval of an extension from Academic Affairs, the action will automatically be designated as an "Administrative Deferral", and the candidate will be eligible in 2022-2023.** The advancement will not be made retroactive to the previous year. Note: Five-year reviews and 7th-year tenure cases cannot be designated as Administrative Deferrals.

ANNUAL CALL

- Exception to 2021-2022 deadlines for academic personnel actions

New – Exception to September 30 Material Submission Deadline for Academic Year 2021-2022 only: If an advancement action is not recommended or approved (i.e., a 0-step increase) by any reviewer (department or equivalent, FPC, Dean, or CAP), academic members may request an extension due to COVID-19-related reasons to include any new activities and achievements between October 1, 2021 through December 31, 2021. The dossier will then be returned to the department for a new vote. If advancement is achieved based on the extended deadline, then the line demarcating periods of review in MIV will be drawn below the materials used in the 2021-2022 action. The material submission deadline for all other actions remains September 30, as stated in the “Reminder – Deadline for Submitting Materials to Review Files” section below.

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 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 good voting templates

A.

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

B.

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

Examples of good voting templates

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

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 are no longer requiring, or even recommending, 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.

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 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 “new” Senate LSOE series: LPSOE/LSOE/SLSOE



Working title change is:
“Professor of Teaching _____”

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

L(P)SOE series 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

LSOE Series 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 LPSOEs 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 LPSOE to LSOE.

Policy References – APM 210, APM 285 and APM UCD 285

LPSOE → LSOE Promotion

★ Teaching excellence

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

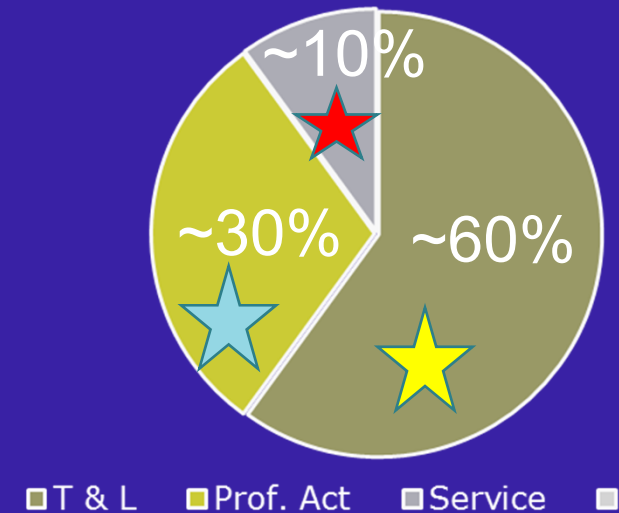
★ Professional and/or scholarly achievement and activity, including creative activity

- 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 LPSOE faculty members

Example LPSOE Effort



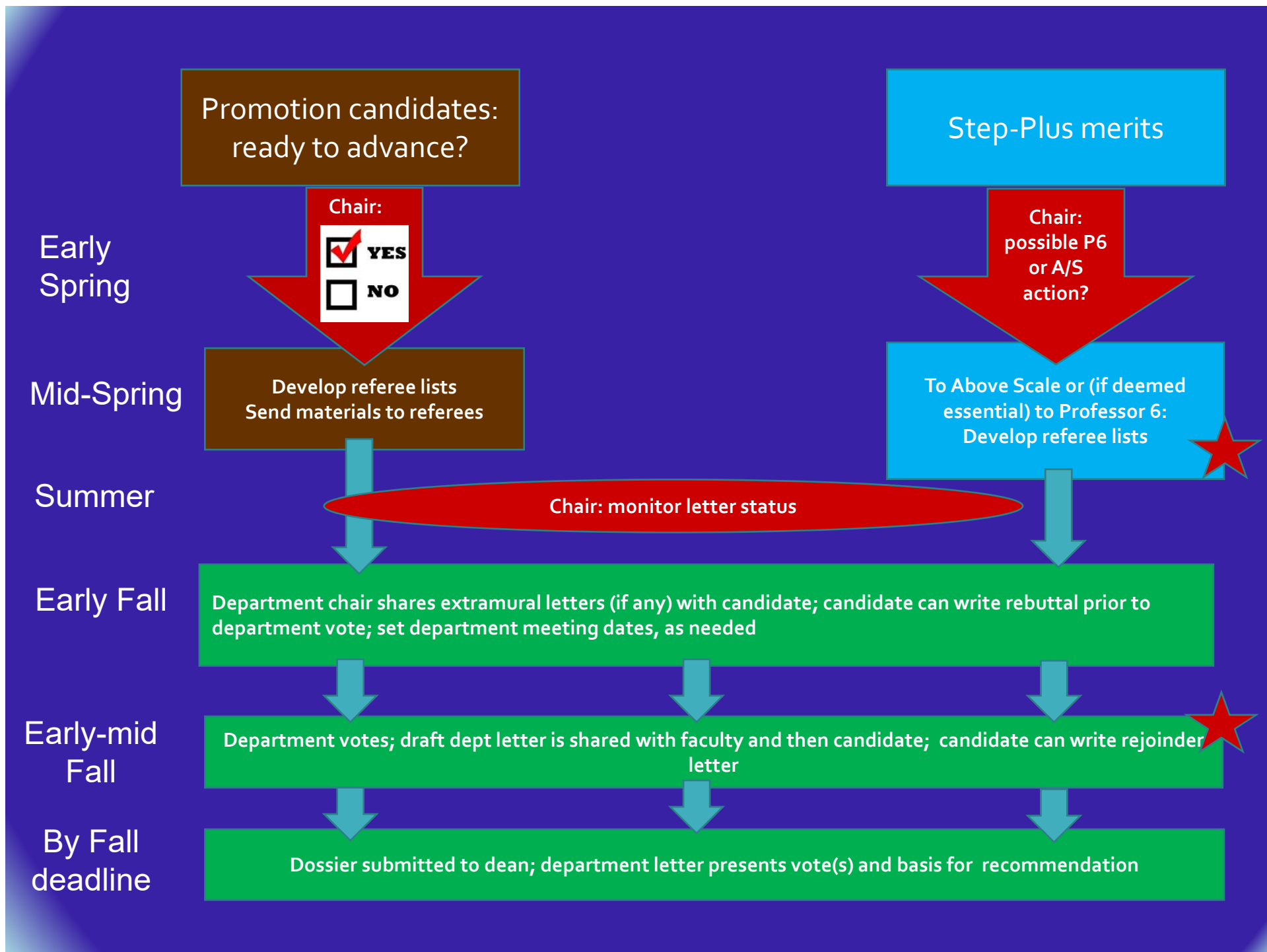
The “new” SOE series: Advice for Chairs



- 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





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

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 LSOEs
 - Send publications ***only from the period under review***
 - For merits to Above Scale, even though the whole career provides context, encourage referees to discuss recent work
 - Keep sending reminders, as needed!!!!

NOTE: Solicit **intramural letters** from Grad Dean (if candidate is a grad group chair), Center Directors, Clinic Directors, peer reviewers of teaching (for promotions and all merits for LSOE series faculty)

Letters are Not Required for Merit to Prof 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, or significant alterations in appointment.

Please note that under this policy the overall record of productivity and scholarly attainment forms the basis of your evaluation. Time since [appointment/promotion] is not a factor in this review.”

The Candidate's Statement

- Restrict to 1-5 pages (slightly longer statements may be appropriate for P6 and Above Scale) – 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
- Consider an online voting system, e.g. ASIS from the Senate

Before your first action of the 2021-2022 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 LSOE series 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 no longer a key criterion for Senate faculty, given that many research areas are highly collaborative

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

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

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

Department Letter

- Two pages maximum for merits
- Up to five pages for promotions, merits to barrier step
 - Appended comments from department ballots do not count towards the page limit
 - Exception: one additional page for COVID-related impacts
- Reflects department view (not 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 or near-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. 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. (1/1/06)

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

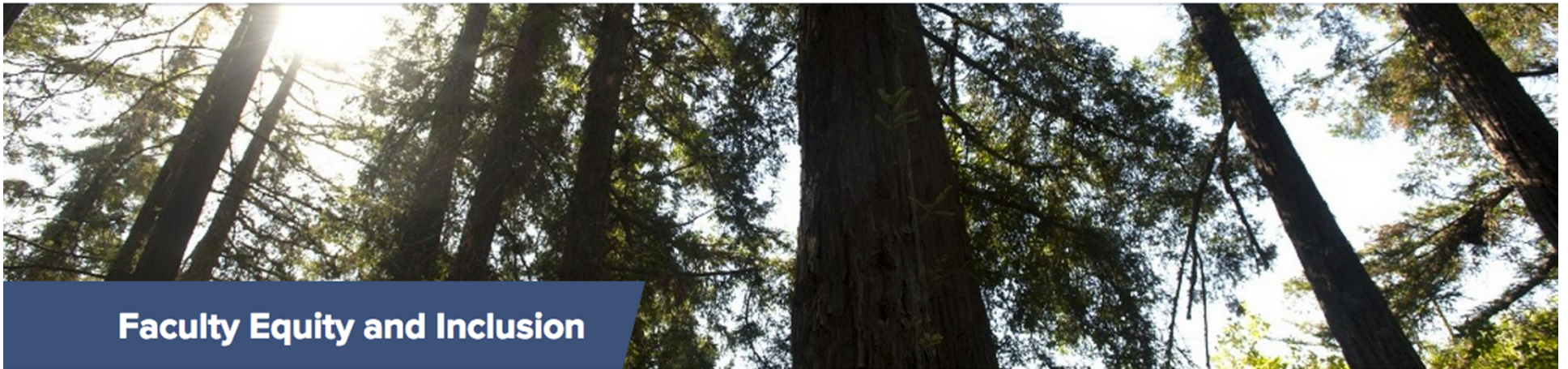


Academic Affairs

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
- Do *not* reveal names of extramural letter writers (or describe them in the letter)
- Candidate can request advancement even if faculty vote is negative
- Final step: Candidate signs disclosure statement verifying that packet is complete & factually accurate

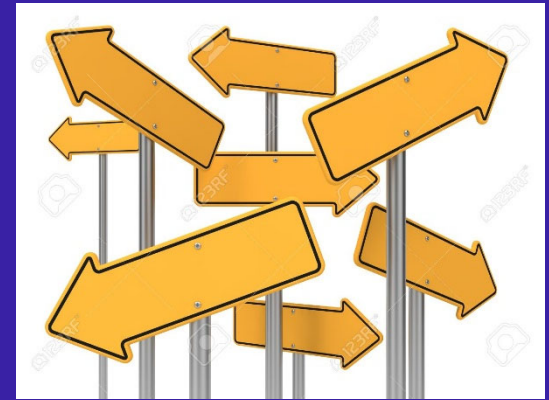
Confidential Chair's Letter (CCL) (optional)

- 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
- Why include a Chair's letter?

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 ≥ 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 4th 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

