

August 4, 2009

**DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, VICE PROVOSTS, VICE CHANCELLORS**

**RE: 2009-10 Call for Academic Personnel Advancement Actions, Including Academic Senate, and Academic Federation**

Dear Colleagues:

With this Annual Call for the 2009-10 academic year, I write to remind you of changes in policies, procedures, and interpretations that have taken place over the past year. All of these changes have been incorporated into the relevant UCD policy sections to ensure that our policies are up-to-date and are summarized below.

I also want to remind you of our intent to adhere to the deadlines given in this document. Any request for extension of a deadline will require strong justification, and if granted, will not extend the deadline beyond a few days to a couple of weeks at most. Late actions for which an extension is not requested and granted in advance will not be accepted. All actions that are normally delegated to the dean for approval that are not finalized by July 31, 2010 will need to come forward to this office for review and decision.

**GENERAL ISSUES**

**New – My Info Vault (MIV)** We encourage those units that are not yet using MIV to prepare merit and promotion dossiers to do so. Although a new release (version 3.0) is scheduled for October 26, 2009, this new version will not affect the preparation of the dossier, which means that entry can be completed in current version of MIV. Version 3.0 will affect the routing of the dossier not the content. Requests for extensions to the due date because of entry into MIV will be reviewed on a case-by-case basis.

**Reminder – Deadline for Submitting Appointments to the Vice Provost.** All proposed appointments effective July 1, 2010, that require the Vice Provost's approval, must be submitted to the Vice Provost office by May 15, 2010 to ensure they will be approved by the effective date. Any appointment dossier received after this date may not be approved by July 1<sup>st</sup>.

**Reminder – “Arms-length” Letters for Promotion Actions.** Extramural letters are to be obtained from reviewers recommended by the candidate and from reviewers selected independently by the chair, with the advice of other colleagues (“arms-length” evaluations). The department chair should select reviewers that are not on the candidate's list. . At least half of the extramural letters should be from the department's list rather than the candidate's list. “Arms-length” evaluations are letters from sources without personal connections to the candidate. Letters from mentors, thesis supervisors and collaborators are NOT “arms-length.” Attached is a draft table developed to assist you in determining when “arms-length” letters are required.

**Reminder -- Consideration of Academic Collegiality\* in the merit and promotion process.** The Academic Senate Committee on Privilege and Tenure (P&T) examined the question of whether an individual's collegiality, or lack thereof, may be considered in merit and promotion actions. If collegiality becomes an issue in a personnel action, P&T asserted that the record forwarded should be particularly clear and factually well-supported. To that end, P&T recommended the following:

- “If non-collegiality is raised as an issue at the department level, the Chair's letter to the Dean must be specific about the nature of the allegations and should document examples of non-collegiality so that the individual under review can understand the allegations and respond accordingly. Specificity and substantiation in the Chair's letter will help [reviewers] judge the merits of the allegation.
- If the departmental letter raises the issue of non-collegiality, the Dean should fully explore and comment upon the allegations in [his/her] letter.”

\*Academic collegiality (or academic “citizenship” as it is sometimes called) is not a separate or additional area of performance for which the individual is to be evaluated but rather within the context of the individual’s record of teaching, research, professional competence and activity, and University and public service [see the AAUP Statement on Professional Ethics (Appendix A in APM 210)].

**Reminder- - Advancement Proposals and Faculty Retention Issues.** The Committee on Academic Personnel (CAP) has requested that no reference to retention be included in departmental and dean recommendation letters for merits and promotions.

**Reminder -- Approval Authority for Appeals.** When the dean is delegated authority on a merit proposal and the original decision is made before the end of July and thus is not considered retroactive, then the dean will continue to hold authority for the final decision following any appeal of that decision, even if the appeal process does not come to a final resolution until after July 31.

## ACADEMIC SENATE PERSONNEL ACTIONS

**Reminder -- A Career Equity Review (CER)** occurs coincident with a merit or promotion action. Separate requests/packets for this review should accompany the merit/promotion action. Only faculty who have held an eligible title, and have not been reviewed by CAP during the previous four academic years, can be considered for a CER. Career Equity Review decisions may be appealed through the standard appeal process for merits and promotions ([http://manuals.ucdavis.edu/apm/220\\_Proc5.htm](http://manuals.ucdavis.edu/apm/220_Proc5.htm)). Please refer to [http://academicpersonnel.ucdavis.edu/career\\_equity\\_main.htm](http://academicpersonnel.ucdavis.edu/career_equity_main.htm) for complete information on the CER program.

**Reminder -- APM – 210 Instructions for Review and Appraisal Committees – effective July 1, 2005.** APM-210-1-d was revised in 2005 to recognize faculty efforts to promote equity and diversity in the evaluation process. Such efforts should be considered in the context of the individual’s overall record of teaching, research, professional competence and activity, and University and public service.

**Reminder – Five-year Reviews** Eligibility data are now available on the Action Tracking system. When a candidate has a five-year review that results in an “unsatisfactory” evaluation, the individual is immediately considered eligible for advancement the following year.

**Reminder – Overlapping Steps/Submission of Materials.** Material that was submitted for advancement to Assistant Professor Step V or Step VI will not be considered when that individual is subsequently recommended for promotion to full Professor. Also, if an appointee is promoted to an overlapping step at the Associate rank, the material submitted for that promotion action may not be used for either the next subsequent merit review or for consideration when that individual is proposed for promotion to full professor.

**Reminder - Normative Time for Steps V and Above.** Although faculty may remain at Steps V to Step IX for an indefinite period of time, the “normative” time at these steps between advancements is three years. Normative time for Step IX and Above-Scale is four years.

## ACADEMIC FEDERATION PERSONNEL ACTIONS

**Reminder-- Assistant Researchers, Adjunct Professors, and Health Science Assistant Clinical Professors (at 50% time or more).** These appointees have an 8 year limit at the Assistant rank. Because policy does not require a year of notice to these appointees, the promotion review must occur, at the latest, during their 8<sup>th</sup> year. This differs from professorial and other titles for which the University is required to provide a year of notice (i.e., a terminal year).

**Reminder -- Academic Federation Instructional Titles Not Covered by Collective Bargaining Agreement: (e.g. Adjunct Professors, Lecturers WOS, Supervisors of Physical Education, Health Sciences Clinical Professors, etc.).** For personnel actions (appointments, merits, promotions) of Academic Federation instructional titles that are not covered by a collective bargaining agreement, both Academic Senate and Academic Federation faculty may express opinions and may vote. Because of a ruling by the UC Academic Senate Systemwide Rules and Jurisdiction Committee, these opinions and votes must be reported in two separate letters. Each letter must discuss the opinions and vote of the

group, but only one letter (either one) needs to provide the detailed evaluation of the file. All votes are confidential; therefore both the voting process and the reporting of the vote should be treated as such.

**Reminder -- Academic Federation Non-Instructional Titles (e.g., Academic Coordinators, Academic Administrators, Professional Researchers, Project Scientists, Specialists in CE, Specialists, etc).** The department should have in place approved peer review and voting groups for all non-instructional Academic Federation personnel. For merits and promotions of Academic Federation titles that are not instructional and not covered by a collective bargaining agreement, the opinions of the approved Peer Group and the opinions and vote of the approved Voting Group at the unit/department level should be expressed separately but included in a single department letter.

**Reminder -- Promotion in Project Scientist series.** When a department proposes the promotion of an appointee in the Project Scientist series who had originally been appointed in the Professional Research series and was subsequently transferred to the Project Scientist series when it was implemented, the review should include the work done while the individual was in the Professional Research series.

### NEW AND REVISED ACADEMIC PERSONNEL POLICIES OR PROCEDURES

There have been a number of new and revised academic personnel policies issued during 2008-2009. A complete list may be found at [http://academicpersonnel.ucdavis.edu/new\\_policy\\_guide\\_page.cfm](http://academicpersonnel.ucdavis.edu/new_policy_guide_page.cfm) and on our website in the Academic Personnel Policy Archive (Key Resources section of the web site) at <http://academicpersonnel.ucdavis.edu/>. Two of the most important policy issuances are listed below. Please read these policies carefully and become familiar with the content.

- **APM-035, Affirmative Action and Nondiscrimination in Employment, 10/13/08.** Provides consistency between University policy and the Uniformed Services Employment and Reemployment Rights Act of 1994; provides consistency with recently published regulations that implement the Jobs for Veterans Act of 2002; and prohibits retaliation against any employee or person seeking employment for filing a complaint of discrimination or harassment pursuant to the University's nondiscrimination in employment policies.
- **UCD-520, Employment of Near Relatives; Exhibit A, Request for Employment of near Relatives, 9/2/08.** This exhibit provides supplemental information to UC APM 520 and Chapter 380, Section 13 of the Policy and Procedure Manual on the employment of near relatives hired in Academic title series.

Thank you for your assistance and cooperation in making the complex advancement process at UC Davis work as well as it does.

Sincerely,



Barbara A. Horwitz  
Vice Provost-Academic Personnel

## DEADLINES FOR ACADEMIC PERSONNEL ACTIONS

**NOTE: Any retroactive action requires the review and approval of the Vice Provost – Academic Personnel, including actions normally redelegated to the Dean for approval. An action is retroactive if the decision of the dean is more than 30 days after the effective date of the action.**

The following deadlines have been established for arrival of files in the Office of the Vice Provost-Academic Personnel.

<b>November 16</b>	Recommendations for promotion to Associate and Full Professor (or equivalent titles)
<b>December 1</b>	Recommendations for merit increases to Step VI and all above-scale advancements  Recommendations for merit increases to Associate rank, Step IV and Step V
<b>December 14</b>	Recommendations for other non-redelegated merit increases, including <ol style="list-style-type: none"><li>1. Accelerations that skip a step</li><li>2. Third action and beyond for department chairs</li><li>3. Associate Deans</li></ol>
<b>February 1</b>	Recommendations for merit increases and promotions for <ol style="list-style-type: none"><li>1. Academic Administrators</li><li>2. Academic Coordinators</li><li>3. Continuing Education Specialists</li></ol>
<b>March 1</b>	Recommendations for merit increases and promotions for Librarian titles (including Law Librarian and Assistant, Associate University Librarian)
<b>April 12</b>	Appraisals due in the Office of the Provost from the deans' offices
<b>May 17</b>	Recommendations for appointments that require Vice Provost or Chancellor approval for actions effective July 1, 2009

### **Other deadlines/actions:**

- Deferrals and 5-year reviews are due in the Office of the Provost at the time the corresponding regular action would be due.
- **Extensions must be requested prior to the due date of the action. No extensions for the submission of proposals for merits or promotions will be granted without strong justification.**