

July 31, 2020

**DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, ASSISTANT DEANS,
VICE PROVOSTS, VICE CHANCELLORS, DEPARTMENT CHAIRS AND ACADEMIC
PERSONNEL EXPERTS**

**RE: 2020-2021 Annual Call for Academic Personnel Advancement for Academic
Senate and Academic Federation Actions**

Dear Colleagues:

With this Annual Call for the 2020-21 academic year, I am pleased to remind you of changes in policies, procedures, and interpretations that have taken place over the past year.

We strongly recommend that department chairs review this information and distribute it to all academic appointees. We also encourage department chairs to discuss important new items and reminders with academic appointees at a department meeting.

Please pay close attention to the deadlines for both non-redelegated (central campus) and redelegated (dean) actions in **Appendix A** of this Annual Call.

Please contact our office if you have any questions on any of this information/guidance. Thank you for your assistance and cooperation in continually improving the complex advancement process at UC Davis.

Sincerely,



Philip H. Kass
Vice Provost—Academic Affairs
Professor of Analytic Epidemiology,
Population Health and Reproduction (Veterinary
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NEW VICE PROVOST ADVISORIES

Vice Provost Academic Advisories (AA) are issued during each academic year to describe changes and provide clarification on policies and practices. One advisory was revised since the 2019-20 Annual Call ([AA2018-01](#)). A complete list of Vice Provost Advisories is accessible on the home page of the Academic Affairs website or by entering this website address: <https://academicaffairs.ucdavis.edu/academic-advisories>.

During 2019-2020, we found six advisories that could be retired by making updates to the appropriate webpages, forms and charts. The retired advisories now start with “RETIRED” on the website, and we have included links to where the advisory is addressed in our current documentation (forms, checklists, delegation of authority, extramural letter chart, Step Plus pages, etc.). If you need a copy of an old advisory, you may request it from your Academic Personnel Analyst in Academic Affairs.

ACADEMIC RECRUITMENTS

Reminder – Required STEAD-certification for Members of Faculty Recruitment Committees: 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. Department Chairs should ensure that faculty members who will be serving on faculty recruitment committees sign up for this training as early as possible. This information is available in the Event Management System housed in Academic Affairs. The STEAD workshop schedule can be found at: <https://academicaffairs.ucdavis.edu/stead>. Registration for the School of Medicine workshops can be found at: <https://health.ucdavis.edu/facultydev/faculty-development-offerings/faculty-search-committee-training.html>.

- STEAD certification expires after three academic years. A faculty member who participated in STEAD or SOM workshops during the 2017-18 academic year will retain certification until June 30, 2021.
- SOM/SON faculty members may also participate in the STEAD program to become certified.
- Non-UCD members of a search committee must also be certified.

Reminder – “Open Until Filled” Recruitments: The following general principles are strongly encouraged for “open until filled” academic recruitments:

- Select a specific cut-off date as the “Final date,” generally no more than 12 months away from the “Open date”
- If the search has been open for a while and there is no interest in pursuing any of the candidates, departments should close out the search and re-list
- If the department is in the process of interviewing and have active prospects that have yet to apply, a request to extend the final date for a reasonable time may be submitted to Academic Affairs for consideration
- Extensions for a recruitment beyond a year require approval by Academic Affairs and will be granted only when there is specific justification and only for short periods of time.

Reminder – Approving Shortlist Reports in Recruit: The hiring authority, or potential hiring authority, should not be the approver of the Shortlist Report.

ACADEMIC REVIEWS

New – Exception to September 30 Material Submission Deadline for Academic Year 2020-2021 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, 2020 through December 31, 2020. 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 2020-2021 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.

New – Checklists for Academic Researchers: A checklist for the Academic Researchers (Professional Researchers, Project Scientists, and Specialists) for inclusion in the notice of eligibility for merit/promotion review has been created to make it more clear what documentation is added to the dossier by the candidate. This new checklist is available on our [Forms & Checklists](#) page under Academic Review Forms/Templates.

New – Academic Review Packet Line Drawing for Review Period: All checklists for preparing dossiers for academic review includes guidance to indicate those materials that have been added since last approved action, if applicable, by drawing a line using the feature in MyInfoVault. Be sure to use this feature for drawing a line that represents the terminal degree on all lists in Publications, Creative Activities, Extending Knowledge, Service, and Evaluations. For most title series, accomplishments since terminal degree and prior to appointment at UC count towards promotion to the associate rank (e.g., [APM UCD 220 IV. E. 2. a.](#)).

New – Five-year Review and Deferral Requirements Expanded to Specialists in Cooperative Extension: Effective July 1, 2020, all Specialists in Cooperative Extension, regardless of rank and step, must be reviewed at least once every five years. This requirement also means that a deferral must be requested when the employee is eligible but chooses not to pursue advancement. The [APM UCD 220AF](#), [Academic Personnel Attributes Chart](#), [Delegation of Authority](#), and [Forms & Checklists](#) have all been updated.

New – Faculty in the Professor of Clinical X Series: Department letters should indicate in the first paragraph the percentage of clinical time assigned to the faculty member.

New – Faculty Serving as Reviewers or on Editorial Boards: Faculty members should indicate in MyInfoVault (MIV) the number of manuscripts managed each year as part of their editorial board service, and the number of manuscripts reviewed separately for each journal during the review period. As a reminder, on-line links to journal editorial board membership should always be provided in MIV.

New – Faculty Receiving Awards During the Review Period: Many actions contain references to awards that are unknown to reviewing bodies. In MyInfoVault (MIV), candidates are expected to provide the name of the organization conferring the award, the reason for the receipt of the award, the award’s professional significance, the year the award was received, and a link to the award, if available.

Clarification – Extramural Letter Requirements: In the professorial series, extramural letters are optional for merit reviews that cross the full rank, step 6 barrier. However, if extramural letters

are requested the regular procedure for soliciting letters must be followed, including seeking letter writer recommendations from the candidate under review. A minimum of three arm's length letters are required, and all received letters must be included in the review. The [Extramural Letters Chart](#) has been updated to reflect these clarifications.

Clarification – Book Chapters in MyInfoVault (MIV): Book chapters belong in and should be entered in the Publications→Book Chapters section of MIV. Annotations are available to mark entries as refereed, major mentoring role, most significant works, and included in the review period.

Clarification – Serving as Chair on a Thesis/Dissertation Committee: In the Teaching→Thesis Committees section of MyInfoVault (MIV), faculty members should include any graduate students whom they have advised in the role of Chair, even if the graduate students have not yet advanced to candidacy.

Reminder – Deadline for Submitting Materials to Review Files: Effective with the 2017-2018 review cycle, materials submitted for review must include only activities and achievements dated no later than September 30. For example: a journal article accepted as in-press on October 12, 2018 cannot be included in the 2018-2019 review file. The September 30 deadline does not apply to a candidate undergoing review for promotion to Associate rank in their “seventh year” of service. For such “seventh year” tenure cases, additional dossier materials may be submitted until the final decision is made. Please be sure to communicate this information to all academic members of your units.

Reminder – Five-year Review Requirement Expanded to all Academic Researchers: Per APM UCD 220, all appointees in the Professional Researcher series are required to be reviewed at least once every five years. Effective January 1, 2020, all Project Scientists and Specialists, regardless of rank and step, also must be reviewed at least once every five years. As is the practice with the Professional Researcher series, this change applied to both represented and non-represented Project Scientists and Specialists. APM UCD 220 – Procedure 4 is used to conduct the Five-Year Review (<https://aadoocs.ucdavis.edu/policies/apm/ucd-220/ucd-220-procedure-4.pdf>). The [APM UCD 220AF](#), [Academic Personnel Attributes Chart](#), [Delegation of Authority](#), and [Forms & Checklists](#) have all been updated.

Reminder – Advancement Actions and Step Requests: Departments should not ask academic appointees what step they want or believe they deserve for their advancement actions. Candidates have the discretion to request accelerations in time for promotions (which are 1.0-step) or lateral promotion, and have the discretion to request a deferral or postponement. 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.

Reminder – Requirements for Barrier Step Merit Advancements: Advancement that crosses the benchmark of Professor, Step 6 will be granted on evidence of sustained and continued excellence in each of the following three categories: (1) scholarship or 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. Advancement to professor with an above-scale salary involves an overall career review and is reserved 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. Except in rare and compelling cases, advancement will not occur after less than four (4) years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. [APM 220-18 B.4](#) and [UCD 220 IV.C. 4](#)

Reminder – Part-time Faculty Administrators and Scholarly Activity: For part-time faculty administrators, scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the faculty member's series. Per [APM 241](#) - Faculty Administrators (Positions Less than 100%), this applies to the following titles: College Provost, Vice Provost, Associate Vice Provost, Associate Vice Chancellor, Associate Dean, Department Chair, Department Vice Chair, Director, Associate Director, Faculty Assistant to the Dean, Vice Chancellor, or Chancellor, Academic Assistant to the Vice Chancellor to Chancellor, and includes interim or acting appointments in any of these titles.

Reminder – Updated Step Plus Toolkit: Please be sure to visit the revised Step Plus Toolkit (<https://academicaffairs.ucdavis.edu/step-plus-system>) to ensure that departments have accurate and updated information as they begin working on the 2020-2021 review cycle. The Academic Senate recently completed a five-year review of Step Plus and will collaborate with Academic Affairs on a further assessment of Step Plus in the 2020-2021 academic year. The Academic Senate Step Plus report is available [here](#).

Reminder – Adjunct Professor Series Appointment and Review: Department letters should clearly provide in the first paragraph the relative expectations for the faculty appointment with respect to research, teaching, and service.

Reminder – Major Mentoring Role Annotation in MyInfoVault (MIV): Faculty members should clearly indicate in MIV those publications or creative activities in which they played a major mentoring role (i.e., not just serving on a Master's or Ph.D. dissertation committee). The role should be explained in the contributions to publications or creative activities section.

Reminder – Faculty with In-Press Journal Publications or Book Chapters: Links to galley proofs must be available in MyInfoVault (MIV) so they may be examined by reviewing bodies. If galley proofs are not yet available, letters of acceptance and the in-press manuscripts may be substituted. If it is not possible to link to these items in MIV, hardcopies may be submitted as supporting documentation.

OTHER ITEMS

Reminder – Academic Researchers (RA) Unit: The University and the International Union, United Automobile, Aerospace, and Agricultural Implement Workers of America (UAW) entered into an agreement to recognize the Academic Researchers United/UAW as the exclusive representative of a unit of employees referred to as Academic Researchers (also referred to as the "RA Unit"). The in-unit titles are Professional Researchers – Fiscal Year, Project Scientists, and Specialists (including Junior Specialists). We created a webpage on our Academic Affairs website with resources to assist with the administration of the new RA Unit: <https://academicaffairs.ucdavis.edu/academic-researchers-unit-ra-unit>.

Reminder – Annual Certification Reporting of Outside Professional Activities (OPA): The final deadline is November 10, 2020 for faculty members and Specialists in Cooperative Extension (CE) to have their 2019-2020 Annual Certification reporting of OPA entered with approval routing completed by their dean's office. Annual certification reporting that is not fully completed

at the deans' office level by November 10, 2020 could result in a violation of university policy concerning Conflict of Commitment. Faculty members and Specialists in CE must enter their OPA in the UC Outside Activity Tracking System (OATS). Note: This year, the official notice and call for reporting will be disseminated earlier, in mid-August. The reason for issuing the call earlier is to provide additional time to support the submission, review, and approval process. There are many resources available on the Academic Affairs OATS webpage:
<https://academicaffairs.ucdavis.edu/oats>

Reminder – Conflict of Commitment Policies ([APM 025](#) and [APM 671](#)) and Conflicts of Interest in Research: Whether paid or unpaid, faculty members must disclose all Category I and II OPA. Faculty members are required to obtain prior approval before engaging in Category I activities. Approval of Category I activities is not guaranteed, so each Category I request must be submitted for consideration in advance of the commencement of the activity. Failure to include all of the required details, including the "Additional Information Requirements for Category I Prior Approval Requests" documentation, may result in the request being returned and cause further delays of the review and approval process. Final approval from the Provost must be received in advance of engaging in the activity or a violation of university policy concerning Conflict of Commitment could result. Faculty members must use UC OATS for obtaining prior approval.

In addition, there are financial Conflict of Interest (COI) disclosure requirements that research faculty must observe to ensure that all the Federal, State, and UCD Policy COI disclosure rules and regulations are satisfied. For more information, please go to the following webpage: <https://research.ucdavis.edu/policiescompliance/coi/>. Also, if you are involved in international research, collaborations with researchers outside of the United States, or other international activities, there are COI disclosure rules, grant reporting obligations, and/or export control licensing requirements that may be triggered by these activities. For complete details and guidance, please go to the following website: <https://research.ucdavis.edu/policiescompliance/international-relationships-and-activities/>.

ACADEMIC PERSONNEL POLICIES – NEW AND REVISED

Systemwide

Academic personnel policies issued during 2019-2020 may be found at:

<http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/policy-issuances-2010-present.html>

[APM 230](#) – Issued December 4, 2019, revised Academic Personnel Manual (APM) Section 230, Visiting Appointments, is effective immediately. The revised policy reflects changes made to comply with a stipulated agreement (the "Stipulation") between the University of California and the International Union, United Automobile, Aerospace and Agricultural Implement Workers of America ("UAW") in recognition of the Researchers-Academic Unit ("RA Unit") formation.

[APM 025](#) – Issued January 15, 2020, revised Academic Personnel Manual (APM) Section 025, Conflict of Commitment and Outside Activities of Faculty Members, is effective immediately. The revised policy reflects technical revisions made to correct an inadvertent omission of language regarding uncompensated outside professional activities during the summer months in APM - 025-8-c; remove gendered language; conform with recent updates and revisions to other APM policies; correct minor grammatical and formatting inconsistencies; and update and add links to referenced documents in Appendix A.

[APM 011](#) – Issued November 13, 2019, new Academic Personnel Manual (APM) Section 011, Academic Freedom, Protection of Professional Standards, and Responsibilities of Non-Faculty Academic Appointees, is effective February 1, 2020. This policy establishes that whenever academic appointees with non-faculty academic titles listed in APM -112-4(b) (with the exception of students, academic student employees, and mentored/trainee academic appointees) are engaged in teaching, research, scholarship, or the public dissemination of knowledge, as defined in APM - 010, they are entitled to the protections of academic freedom established in APM -010, and they are obligated by the responsibilities specified in Part II of APM - 015, the Faculty Code of Conduct. In addition, this policy establishes that when academic appointees with non-faculty titles listed in APM - 112-4(b) perform work that contributes to or supports the fundamental mission of the University, but that is not teaching, research, scholarship, or the public dissemination of knowledge, they must be free to pursue the work according to applicable, acknowledged, national, professional standards, if such standards exist, and are obligated by the responsibilities established by these standards.

Campus

Local campus academic personnel policies may be found at:

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

[UCD 191](#), Policy on Endowed Chairs and Professorships – Issued August 30, 2019. In addition to being reorganized for better clarity and to align with current practices, the revisions include centrally held endowed chairs and changes to the requirement for extramural letters for appointment of a current professor to an endowed chair. The New Appointment checklist is new.

[UCD 220](#), [UCD 220AF](#) (Academic Review and Advancement), and [UCD 220I](#) (Health Sciences: Use of Fractional FTEs for Full-Time Appointments) – Issued August 15, 2019. Each document has been revised and/or reorganized, elements of the UC Davis Step Plus system have been incorporated, and inconsistencies were corrected.

[UCD 220AF](#), Academic Federation Review and Advancement (technical revision) – Issued July 13, 2020. This was a technical revision to include the RA Unit, and the deferral and Five-Year Review requirements of the academic researchers, as well as the Specialist in Cooperative Extension series.

Appendix A: Deadlines for review materials to be submitted to each level of review

Review Type	Deadline materials are finalized and due to the following location: ¹			
	Notice of Eligibility to Candidate ²	Department	Dean's Office ³	VP Office (Non-Redelegated) Senate Office (Redelegated)
Promotion to Associate Professor (or equivalent titles) and promotions for some Academic Federation titles to the Associate rank, including the following title series: Professor, Professor in Residence, Professor of Clinical_, Acting Professor of Law, Lecturer with Security of Employment, _in the AES		10/9/2020	10/30/2020	11/13/2020
All other Promotions for the following title series: Professor, Professor in Residence, Professor of Clinical_, Acting Professor of Law, Lecturer with Security of Employment, _in the AES		10/30/2020	11/13/2020	12/11/2020
Promotion to Associate rank in the following Federation title series: Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist	9/24/2020	11/6/2020	11/30/2020	12/18/2020
Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner				1/8/2021
All other Promotions in all Federation title series: Academic Administrator, Adjunct Professor, Health Sciences Clinical Professor, Professional Researcher, Project Scientist, Specialist in Cooperative Extension, and Specialist	9/28/2020	11/10/2020	12/8/2020	1/8/2021
Merits to Associate rank, Steps 4 and 5 for Professional Researchers, Specialist in Cooperative Extension, and Academic Senate titles that are not redelegated (see the delegation of authority)	9/28/2020	11/10/2020	12/8/2020	1/15/2021

¹ These deadlines reflect the latest possible dates for submission of materials. Departments and Dean's Offices may set earlier deadlines.

² Per the Contract for the Academic Researchers Unit (RA) between the University of California and the United Automobile, Aerospace, and Agricultural Implement Workers of America (UAW), academic researchers shall receive written notification of eligibility at least six (6) weeks before materials are due.

³ Departments are required to allow the candidate 10 calendar days prior to submitting the action to the dean's office to review the final department letter and submit a rejoinder.

Review Type	Notice of Eligibility to Candidate ²	Deadline materials are finalized and due to the following location: ¹		
		Department	Dean's Office ³	VP Office (Non-Redelegated) Senate Office (Redelegated)
All Merits to Full rank, Step 6, Above Scale Merits, and other Non-Redelegated actions: <ul style="list-style-type: none"> • Third action and beyond for Department Chairs • Associate Deans 	10/2/2020	11/13/2020	1/8/2021	1/29/2021
Appointment/Reappointment of Endowed Chair/Professorship holders if the appointment/reappointment is to be announced at the April donor dinner.			1/8/2021	1/29/2021
Merits and Promotions for: Librarian titles (<i>including</i> : Law Librarian, and Assistant, Associate University Librarian)			11/13/2020	2/26/2021
Appraisals: Professor, Professor in Residence, Professor of Clinical_, Acting Professor of Law, Lecturer with Security of Employment, ___ in the AES, Specialist in Cooperative Extension, and the Adjunct Professor series.		12/11/2020	1/13/2021	2/26/2021
All other redelegated Academic Senate and Federation actions, including all 2.0-step merits that started as redelegated.	11/23/2020	1/5/2021	1/29/2021	2/26/2021
Appointments effective July 1, 2021 that require Vice Provost or Chancellor approval		3/12/2021	4/2/2021	5/7/2021

Other deadlines:

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.

- **Non-redelegated actions:** Requests for extensions to the deadlines for non-redelegated actions must be submitted with justification to the Office of the Vice Provost, via the Dean's Office, for Vice Provost approval. If the candidate has not been approved for an extension and does not submit a substantially complete advancement packet to their voting unit by the published deadline, the Vice Provost—Academic Affairs has the right to deny a request for extension and issue an administrative deferral on a case-by-case basis. Note: five-year reviews and 7th-year tenure cases cannot be designated as Administrative Deferrals.
- **Redelegated actions:** Requests for extensions to the deadlines for redelegated actions must be submitted with justification to the Dean's Office for approval. Deans may exercise the use of administrative deferrals at their discretion.

¹ These deadlines reflect the latest possible dates for submission of materials. Departments and Dean's Offices may set earlier deadlines.

² Per the Contract for the Academic Researchers Unit (RA) between the University of California and the United Automobile, Aerospace, and Agricultural Implement Workers of America (UAW), academic researchers shall receive written notification of eligibility at least six (6) weeks before materials are due.

³ Departments are required to allow the candidate 10 calendar days prior to submitting the action to the dean's office to review the final department letter and submit a rejoinder.

All Senate and Federation appointment actions with an effective date other than July 1 should be received at the Senate Office at least four weeks prior to the effective date of the appointment.

Any retroactive action requires the review and approval of the Vice Provost--Academic Affairs, including actions normally re delegated to the dean for approval. An action is retroactive if the dean is not able to make a decision within 60 days after the effective date of the action. This does not apply to Health Sciences Clinical Professors.

Deferrals and 5-year reviews are due in the Office of the Vice Provost--Academic Affairs at the time the corresponding regular action would be due. These actions are due at the time of the corresponding regular action to ensure timely decisions to pursue regular actions.

Redelegated actions that become non-redelegated during the review process: the dean's office is required to contact the appropriate Academic Affairs analyst team, to establish a new deadline based on the following:

- **3 weeks standard extension** = when a redelegated action changes to a 2.0 step increase action (e.g., merit from Professor, Step 3 to Professor, Step 5);
- **5 weeks standard extension** = when a redelegated action changes to a 2.0 step increase action that crosses a barrier step (e.g., merit from Professor, Step 4 to Professor, Step 6);
- **8 weeks standard extension** = when a redelegated action changes to one which now requires extramural letters (e.g., merit from Professor, Step 8.5 to Professor, Above Scale, or a merit that is returned by the central review committee for consideration as a promotion).
- *Any requests for longer or additional extensions beyond these standard extensions must be submitted with strong justification to Academic Affairs for the Vice Provost's consideration.*