

---

# **Academic Federation Research Series: Merit/Promotion Reviews**

Martin H. Smith, MS, EdD

Specialist in Cooperative Extension

Departments of Population Health & Reproduction and  
Human Ecology

**2017-19 Chair of the Joint Academic Federation/Senate Personnel Committee (JPC)**

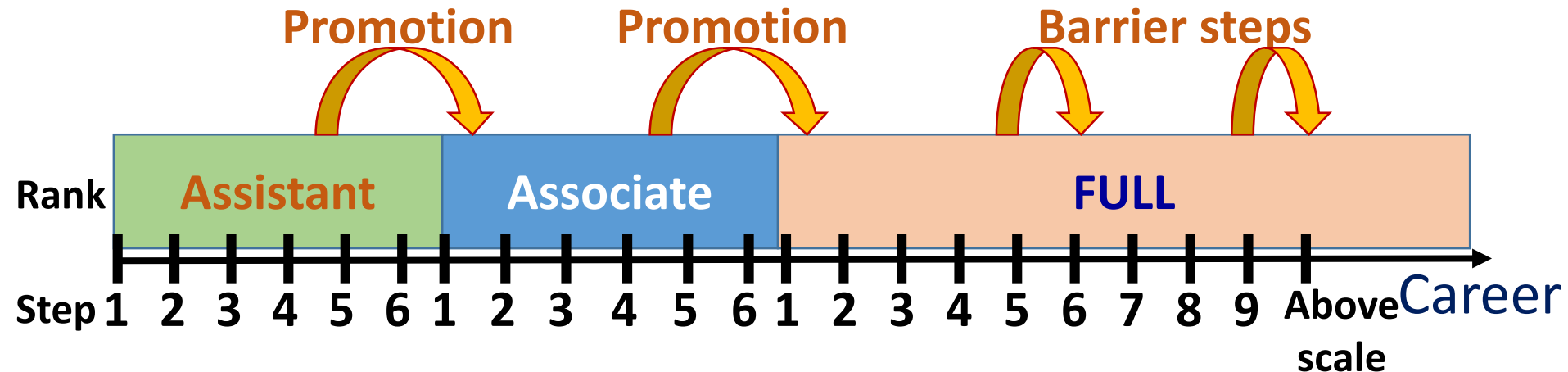
# Navigating the Process Requires Sign Posts

---



# Definitions

- **Merit:** Advancement of one step or more within a Rank. Review time within a Step = 2-3 years (varies by Rank & Step).
- **Promotion:** Change of Rank (Assistant, Associate, and Full). Review time at current rank (typically 4-8 years).
- **Barrier steps:** Steps in Full Title Rank that are termed “high level” (6 and 9); treated like a promotion, not a merit.
- **Deferral:** postponement of action by one year.



**Remark:** number of steps dependent on title.

# The Process: Time at Rank; Time at Step

RANK	ASSISTANT	ASSOCIATE	FULL
2 Years	1		
	2		
	3		
	4		
	5	1	
	6	2	
		3	
3 Years		4	1
		5	2
			3
			4
			5
			6
			7
			8
	4 Years		
			AS1
			AS2

# Process: Additional Information

---

- **Voluntary:** It is the candidate's choice to advance or defer.
  - **Caveat 1:** One must be reviewed at least once every five years (which may be without action).
  - **Caveat 2:** Specialist in CE and Professional Researchers must promote to Associate rank within 8 years of appointment.
- **Peer-reviewed:** Within and outside the department.
- **Meritocratic:** Advancement is based on academic accomplishments and contributions to the profession and the university (as outlined in candidate's position description).

# The Dossier: A Checklist

---

## Step 1: The Dossier

- **Documents Candidate is responsible for adding to MyInfoValut (MIV):**
  - *Candidate's statement* (optional; highly recommended)
  - *Publications* (peer-reviewed; limited distribution)
  - *Professional competence* (e.g., conference presentations; manuscript reviews; editorial boards; grant reviews)
  - *Extending knowledge* (applies mainly to Specialists in CE)
  - *List of service activities* (University and Public Service – e.g., committees; mentoring; guest lectures\*; lab safety officer)
  - *Honors and awards*
  - *Grants and contracts* (funded and unfunded)
  
- **Documents added to Candidate's dossier:**
  - *Position description*
  - *Departmental letter*
  - *Peer Group Report*
  - *Extramural letters* (only for promotions and high-level merits)

# The Review Process

---

## Step 1: The Dossier (Put your best foot forward!)

- Know the criteria for evaluation [typically 3 or 4 categories; listed in the **Academic Personnel Manual (APM)**] for each title series; at <https://academicaffairs.ucdavis.edu/>. Also detailed in **Position Description**.

### Categories:

- Research and Creative Activity (higher percentage)
- Professional Competence and Activity (lower percentage)
- University and Public Service (lower percentage)
- \*Extending Knowledge (Specialists in CE only; higher percentage)

See: <https://academicaffairs.ucdavis.edu/academic-federation-faq>

# The Review Process

---

## Step 1: The Dossier

- Enter achievements (e.g., publications; professional presentations; manuscript/grant reviews; committee participation) into **MIV** under each criterion evaluated. Keep an accurate, up-to-date **record that reflects what you have done**.
- Include a **Candidate's Statement** (5-page maximum; shorter, 2 pages, is encouraged); although optional, it can help *place work into context and highlight relevance*. **Please do not write a narrative version of the dossier**.

**Cautionary Note:** MIV dossier is the official record; accomplishments listed in Candidate's Statement that are not in MIV cannot be considered for evaluation.

- For more information: <https://academicaffairs.ucdavis.edu/academic-federation-faq>
- Also seek help from analysts in your department/unit.



# The Review Process

---

## Step 2: The Department and the Dean

- a) The completed dossier will be submitted to the Department.
- b) First, a **peer group** will be formed (typically 5 members; one from same title series) to review the dossier and provide a report and recommendation to the department.
- c) **Departmental** review, vote, and recommendation.
- d) The dossier, a chair's letter that includes the departmental recommendation, and the peer group report will be **forwarded to the Dean's Office**.
- e) The Dean's Office will review the dossier for completion; a Dean's letter will be included for a promotion action (with a recommendation)

# Review Process: Joint Personnel Committee (JPC)

---

## Step 3: The Joint Academic Federation/Senate Committee (JPC)

- The Dean's office forwards the dossier, all associated letters and documents, and a recommendation to the JPC.
- The JPC comprises 8 members – 5 from the Academic Federation; 3 from the Academic Senate.
- The role of the JPC is to review merit and promotion actions from the following Academic Federation titles:
  - Agronomist in AES
  - Professional Researcher
  - Project Scientist
  - Specialist
  - Specialist in Cooperative Extension
- **JPC Goal:** Provide consistent reviews and recommendations within each title series and across colleges, schools, and departments that are based on **evaluation criteria outlined** in APM and the candidate's Position Description.
- After review, the JPC makes a recommendation that is sent with the dossier back to the Dean (**redelegated action**) or the Vice Provost for Academic Affairs (**non-redelegated action**).

# Review Process: Delegations of Authority

---

## Step 4: The Decision

- **Redelegated actions:** The Vice Provost for Academic Affairs has redelegated the authority to make the final decision on an action to the Dean.
- **Non-redelegated actions:** The Vice Provost for Academic Affairs makes the final decision on an action.

\***Note:** Complicated process. See guidelines for each title series: <http://academicaffairs.ucdavis.edu/dofa.cfm>

# Questions?

---



# Step-Plus System

---

- With Step Plus, every merit and promotion action will be evaluated for a 1.0 step, 1.5 step, 2.0 step increase, or more.
  - **1.0-step: Normative**; the candidate has a strong record in all areas of review as per the position description.
  - **1.5-step**: Candidate has a strong record in all areas of review as per the position description; also has outstanding achievement in at least one area.
  - **2.0-step**: Candidate has a strong record in all areas of review as per the position description; also has outstanding achievement in two areas\*.

\***Note:** For Specialists in CE, one area must be Extending Knowledge.

# Step-Plus System: Additional Key Points

---

- 0.5-step advancements are not an option.
- Advancements greater than 2.0 steps are exceptionally rare.
- Merit advancements of less than 2.0 steps are normally redelegated.
- Merit advancements of 2.0 steps or higher are normally non-redelegated.
- High-level merits and promotions are non-redelegated.
- **Note:** The only accelerations in time are for promotions to Associate or Full title; however, they will be limited to 1.0 step or lateral advancement.
- Additional information:  
<http://academicaffairs.ucdavis.edu/policies/step-plus/guidelines-for-advancement-federation.html>

# Accelerated Promotion: Limited to 1.0 Step

RANK	ASSISTANT	ASSOCIATE	FULL
2 Years	1		
	2		
	3.5		
	4		
	5	1	
	6	2	
3 Years		3	
		4	1
		5	2
			3
			4
			5
4 Years			6
			7
			8
			9
			AS1
			AS2

# Additional, but Important, Considerations

---

## Position Description:

- Outlines the work you are expected to accomplish.
- Broken down into 2-4 categories (varies by title and/or rank); each category is given a percent commitment; **seek to achieve balance** among categories.
- Ensure Position Description is current (responsibilities may change over time).
- **Important Note:** Formal classroom teaching is **not an expectation** for individuals in the Professional Researcher, Project Scientist, Specialist, or Specialist in CE title series.



# Additional, but Important, Considerations

## Miscellaneous:

- Ensure that information in MIV is current.
- Ensure that MIV is accurate – consult Position Description and enter information into the correct categories (**Note:** Position Description is the “**rubric**” used for review; don’t make your reviewers “go fishing” for your record).
- Consult the APM for your title series so there are no “surprises” with respect to your Position Description, your merit/promotion cycle, your merit/promotion evaluation.

# **Additional, but Important, Considerations**

---

## **Miscellaneous:**

- Publication list: Submitted papers and papers in preparation are not included in evaluation; only papers published or in press.
- Contributions to Publications: Explain contributions in detail; do not cut and paste a “boiler-plate” description.
- Include peer-reviewed publications, book chapters, and limited distribution publications.

# Additional, but Important, Considerations

## Miscellaneous:

- Provide numbers where relevant (e.g., number of journal manuscripts reviewed, when, and for whom; number of grant proposals reviewed, when, and for whom).
- Recognize that service expectations generally increase over time; recognize that not all service commitments are equal (e.g., Picnic Day Committee or Middle School Science Fair Judge vs. JPC or Confidential Review Committee).

# Additional, but Important, Considerations

---

## Candidates have the right to:

- Review their information in MIV prior to dossier submission; also may review redacted extramural letters (if action is a promotion or high-level merit) prior to the departmental vote. If necessary, the candidate may write a **rebuttal letter** in reference to the extramural letters.
- Review the dossier and departmental letter after the departmental vote (prior to submission to the Dean's office). Any factual errors may be corrected; after corrections, a **rejoinder letter** may be written if there is still a disagreement with the departmental recommendation.

# Questions?

---



# Contact

---

Martin H. Smith, MS, EdD

Specialist in Cooperative Extension

Department of Population Health & Reproduction

3213 VM3B

Department of Human Ecology

3330A Hart Hall

530-752-6894

[mhsmith@ucdavis.edu](mailto:mhsmith@ucdavis.edu)