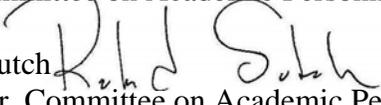


**UC RIVERSIDE** UNIVERSITY OF CALIFORNIA | **Academic Senate**  
**Committee on Academic Personnel**

May 1, 2009

To: Elizabeth Lord  
Vice Provost for Academic Personnel

Fr: Kathleen Montgomery   
Chair, Committee on Academic Personnel

Richard Sutch   
Vice Chair, Committee on Academic Personnel

Re: Changes to the CALL

CAP has invested considerable time over the last few weeks on proposed changes to the CALL. We have a number of suggestions for changes and some reactions to the proposals of others. First we want to commend the APO and the efforts of Sara Umali in preparing the 80-page “sticky-note” draft of the CALL, which collated the changes that have been proposed by the deans and others with those that come from APO. This was most helpful in focusing our deliberations and, we hope, this advance notice will streamline the communication on the issues raised.

The page numbers and section identifiers in what follows refer to the page numbering in the current CALL.

CAP stands ready to meet with you to discuss any of the issues raised below. Some discussion may be necessary because we have tried to be as terse as possible, and in that effort we may leave you puzzled as to our objectives on some of the proposals. To illustrate our proposed changes, we are also forwarding a marked up version of the current CALL with language that would implement these suggestions.

**Cosmetic Proposals**

1. There is no reason that the CALL could not use acronyms and abbreviations. We propose at a minimum that we use APO, CAP, VPAP, APM, UCR (and perhaps others)

throughout. We further propose that a list of these abbreviations be defined on the front page of the CALL.

2. There are a number of URLs included in the CALL that are no longer alive. These should be updated. CAP suggests that a separate page containing a list of relevant links be prepared. This would not be part of the CALL and could be updated as needed without revising the CALL.

3. Throughout, dates that now refer to the AY 2008-9 will need to be changed to dates relevant in AY 2009-10. For example, on page 1 the title would become "*The CALL*" 2009-2010. However, whenever possible, the reference to dates should be changed to a generic format that would not need to be changed each year. For example, February 27 should be changed to "the last business day of February."

### **Substantive Changes**

1. CAP proposes a revised Schedule for Academic Personnel Reviews [page 4] which is presented in an attached spreadsheet (attachment 1). This version incorporates a number of proposals and suggestions that need to be briefly explained.

1.a We have divided the review actions into three groups and propose that those actions that require both extramural letters and an ad hoc committee be given priority by the departments and the deans. Our objective is to begin the ad hoc review process as soon as possible. At the same time, we put those actions that require extramural letters but do not require an ad hoc committee ahead of "other actions."

1.b The column headed "Date due in APO" is changed to read "Date due in CAP." In this regard we are following suggestions by others that files for review should be directly routed from the Dean's Office to CAP and that the APO would receive the files after the review and recommendation by CAP. Such a change would require additional personnel in the Academic Senate Office. We recommend that CAP discuss this proposal with the incoming VPAP as soon as convenient.

1.c All dates have been converted to generic formulas that will not need to be changed each year.

1.d The cases requiring ad hoc committees have their due date at CAP moved up from January 19 to the fifth business day of the new year. There are relatively few such cases, and this revised schedule gives the dean roughly three working weeks to review. Under this scheme CAP would spend time in November nominating members for the ad hoc committees, and thus these committees could begin deliberations by mid January.

1.e The language on the updates to seventh-year promotion cases has been changed to reflect the “Recommendation from the Chancellor’s Ad Hoc Committee to Review the Academic Personnel 220 Process” as outlined in a memo from Elizabeth Lord to Dallas Rabenstein dated April 17, 2009. CAP endorses these recommendations.

1.f The due date for actions requiring extramural letters has been moved back from November 17 to the Monday following the last day of instruction in December. With a deadline for extramural letters of November 1, the November 17 date has proven to be unrealistic. The proposed schedule also moves back the date the file is to be forwarded by the dean for actions requiring extramural letters but no ad hoc, from January 5 to the first Monday in February. The January 5 date has also proved to be unrealistic.

1.g It has been suggested that we adopt a schedule that pushes the departmental deadline for the first round of merits from mid-November to mid-December to allow the departments to focus on promotions to tenure in November. After consulting with staff, CAP has concluded that the 25%, 50%, 75%, 100% formula should be changed to 1/3, 2/3, and 100% and that the dates be pushed back considerably. The proposed new dates are more realistic, and CAP believes that the proposed new schedule would not create a May/June bottleneck at APO or CAP. The current deadlines have proven to be somewhat stressful for all involved.

1.h CAP observes that the rule which allows fifth-year appraisal files to be updated has proven to be unnecessary and recommends that this be dropped.

1.i CAP proposes the addition of the footnote on extramural letters. It should be understood, but not be made part of the CALL, that the department chair is permitted to contact proposed letter writers (those suggested by the department and those by the candidate) in advance of July 1 to inquire informally if the extramural reviewer is willing to provide a confidential letter and able to do so within the required time frame. An affirmative answer would result in a formal letter from the chair dated on or after July 1 requesting such a letter of evaluation – due 1 November.

2. CAP has noted some confusion about the overlapping steps at subsequent ranks. We suggest that a revision of the table on page 6 would help. See the proposal in the attached “Normal Time” spreadsheet (attachment 2). There are some aspects of this proposed revision that require comment.

2.a Overlapping steps (II.A.4.c) Some have asked whether a lateral promotion, say from Assistant Professor V to Associate Professor I is possible or “normal.” While a lateral shift is possible, it is unusual and thus is not “normal.” CAP has frequently resisted such recommendations.

2.b CAP proposes new language for Associate Professor V. See the Normal Time Spreadsheet, footnote 3. Except in unusual circumstances, we propose that *acceleration* into Associate Professor V not be recommended. A candidate at Associate Professor IV with a file strong enough to warrant acceleration should be considered for promotion to Professor.

2.c There has been an increasing number of proposals for acceleration at the ranks above Professor VI. CAP feels that the case for acceleration at the highest ranks requires clear and compelling evidence of truly exceptional performance. Hence we propose footnote 4 and augmented language for section II.A.4, as below.

3. The section II.A.4.b on acceleration (p. 6) needs clarifying both for regular within-rank acceleration and in the case of a simultaneous promotion and acceleration. CAP also wishes to eliminate a contradiction between the CALL and the APM. CAP proposes new language to address these questions. The revised language in APM 220-18-b(4) concerning advance into and within the senior steps of Professor also needs to be highlighted here.

3.a CAP proposes the following:

**b. Acceleration**

Advancement to a higher rank or to a higher step within rank before normal eligibility constitutes acceleration. The campus encourages departments and candidates to put forward deserving files for acceleration. Accelerated advancement to a higher rank must meet the appropriate criteria for promotion (APM 210-1-d and APM 220-18-b(4)). The minimum criterion for acceleration within rank is excellence in all areas of review during the abbreviated review period. In addition:

(i) For one-year accelerations within rank, the record for the abbreviated review period must reflect a level of accomplishments commensurate with the normal on-time merit.

(ii) For multiple-year accelerations within rank, the record for the abbreviated review period must reflect a level of accomplishments commensurate with the proposed step, in addition to performance deemed to be outstanding in at least one of the areas of review.

(iii) The bar is set higher for both advancement and acceleration to steps at the senior professor and distinguished professor levels, as required in APM 220-18-b(4), revised 9/2/08. Advancement to Professor VII, VIII, or IX requires evidence

of “continuing achievement” at the level of “great academic distinction” that was required for the advancement to Professor VI. Such advancements usually will not occur after less than three years at the lower step. A recommendation for acceleration to these steps requires exceptional performance at the standards noted in APM 220-18-b(4).

(iv) Advancement into Professor Above-Scale usually requires four years of service at Professor IX; advancement within Professor Above-Scale usually requires four years of service at the current scale. Only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved. A recommendation for acceleration must demonstrate a signal achievement or honor in one of the three areas of assessment in addition to exceptional performance at the standards noted in APM 220-18-b(4).

(v) Normally a promotion to Associate Professor or Professor, or advancement to Professor VI or Professor Above-Scale, is not accompanied by a recommendation for a step acceleration. In exceptional cases, a promotion or advancement is recommended simultaneously with a post-promotion acceleration in step. In such cases, the department and dean should vote separately on the promotion and the post-promotion acceleration in step, and the recommendation for acceleration in step should be explicitly and separately justified. For example, a promotion from Assistant Professor IV to Associate Professor II (rather than Associate Professor I) would be considered a promotion to an accelerated step within the new rank, thus requiring separate votes and justification for the two actions.

(vi) The department and dean are expected to explicitly address the acceleration recommendation in their letters. Multiple-year accelerations and those at the senior professor and distinguished professor steps should be particularly well justified.

3.b CAP also suggests the elimination of the last paragraph of II.B.1 “ Advancement to Above Scale” on pages 13-14 and the first paragraph of II.B.10 “Promotion” on page 16 as redundant with the language on accelerations just described.

4. The CALL is inconsistent about absentee ballots in personnel cases suggesting in some places (page 9) that absentee votes are ok if they are submitted “before the departmental vote is required” and in other places that only in face-to-face in-person meetings may votes be cast. In a few occasions, CAP has been concerned when it is apparent that a large minority (or even a majority) of voting members were absent from the departmental discussion. The essence of scholarly dialog and review is one of open discussion and a fair exchange of views. A high number of absentee votes undermine the credibility of the departmental assessment.

4.a CAP recommends that the department letter should report the number of votes that were cast by proxy or by absentee ballot.

4b. Voting rights and procedures within the department are governed by Academic Senate Bylaw 55 (see II.A.2). CAP will modify the ByLaw-55 form to require an explicit description of the departmental policy about proxy and absentee voting. We will additionally add the provision that “exploding votes” are not permitted. An exploding procedure is where it is announced that those not responding by a certain time and date are assumed to favor (or oppose) the action.

5. Section II.A.10 and Section II.A.12 [pages 11 & 12] need to be carefully rewritten and reorganized. Right now, II.A.10 says that no changes in the file are " permitted except as noted ... in the final paragraph of this section." The final paragraph of this section does not address this. The next to last one does. (And why is it all capitalized?). CAP proposes the following language which we believe is consistent with the “Recommendations from the Chancellor’s Ad Hoc Committee to Review the Academic Personnel 220 Process” (memo from Elizabeth Lord to Dallas Rabenstein, April 17, 2009).

5.a Here is a proposed replacement for II.A.10.a and b. Please consult the existing CALL to note the changes. Note that in section b CAP is proposing limiting updates to tenure cases. Updates in merit cases unfairly widen the review window for some candidates and not others.

#### **a. Additions and Changes to the File**

After review by the department faculty, no additions to the file by the candidate are permitted except as noted in section II.A.9.b or in section II.A.12. Corrections of fact are permitted. If the correction is on the list of publications, the department should submit a new bibliography and difference list reflecting the change. The revised documents should be dated and submitted with a note indicating the changes made. The new documents will then become part of the original file and will be considered as such. If a correction is made to the departmental letter, the corrected departmental letter should show the original date AND the revised date.

The candidate must be informed of any corrections and consequent changes in the departmental letter and should certify on Part 2 of the Procedural Safeguards Statement that he/she has been informed of the changes (Attachment B-2).

## **b. Additional Information Solicited During Review**

Additional information solicited shall be limited to clarifications of the record except in cases of promotion to tenure. In tenure cases acceptable updates include significant service commitments, additional teaching evaluations, grant awards, publications, and previously solicited extramural letters (including student letters) which arrived late. Letters resulting from a solicitation by the candidate are not allowed. Departmental responses are limited to comments on the new material.

(i) If additional clarifying information or an update in tenure cases is requested by the Dean, by an ad hoc committee, or by CAP *before* CAP has made a recommendation to the Chancellor, such information shall be solicited through the VPAP. All responses shall be limited to the specific information requested in the memo from the VPAP and will be added to the file at the department level. The department may comment on the new material and may submit a new vote or may reiterate its original recommendation. All updates resulting in a change to the bibliography that would affect the difference list require a new vote by the department.

(ii) If additional information or an update is requested by the VPAP or by the Chancellor *after* CAP's recommendation has been forwarded, CAP shall be informed of the request and the response.

(iii) A new department vote will require an addendum to the department letter and subsequent waiting periods. The candidate shall be informed by the chair of the substance of the changes in the file, without disclosure of the identities of sources of confidential documents, and may be provided access to the new material in accord with APM-220-80-d. The candidate shall be provided the opportunity to make a timely written statement on the amended file for inclusion in the file (see section II.A.9.b). The candidate shall certify on Part 2 of the Procedural Safeguards Statement that he/she has been informed of the changes in the file (Attachment B-2).

(iv) In the case of updates to the list of publications, it is understood that these may not appear on subsequent difference lists if the advancement is awarded except as described in II.B.7.

5.b Here are the changes proposed for Section II.A.11.

## **11. Procedures for Announcement of Administrative Decisions**

a. Merits or advancements to Professor VI and Professor Above-Scale:

(i) The decision on the candidate's file will be communicated in writing by the VPAP to the chair of the department through the dean, with a copy of the decision announcement to CAP. The chair shall promptly communicate the decision to the candidate.

(ii) Appeals to decisions on these actions are not permitted unless a procedural error has occurred.

b. Appointment, reappointment, formal appraisal, or promotion to Associate Professor and Professor:

(i) In the following situations the Chancellor's first assessment is considered preliminary and it triggers the 220 process detailed herein under 11.A.12 (see APM 220-80.j and 220-84.b):

- If the Chancellor's preliminary assessment is negative in cases for seventh-year promotions to tenure, or
- If the Chancellor's preliminary assessment is contrary to the recommendation of the department, the dean, or CAP in cases for non-seventh-year promotions to tenure, promotions to Professor, appointments, reappointments, or fifth-year appraisals.

In these cases the Chancellor makes the final decision after the completion of the 220 process. In all other cases, the Chancellor's first assessment constitutes the final decision.

(ii) The final decision of the Chancellor will be communicated in writing by the VPAP to the chair of the department through the dean, with a copy of the decision announcement to CAP. The chair shall promptly communicate the decision to the candidate.

c. Candidate's access to records

The candidate may request access to records (including the CAP report, the dean's letter and the chair's letter, if any) as outlined in section II.D, after the Chancellor's or his/her designee's final decision has been communicated. If the candidate has requested access to designated records on the Procedural Safeguards Statement, these will be automatically furnished by the APO.

5.c Below are the changes proposed for Section II.A.12 which we suggest replace the existing section.

## **12. Appeals of Promotion, Appraisals, and Appointment Cases**

### **a. Updates**

(i) The seventh-year promotion to tenure candidate may continuously update the file until the earlier of two events: the announcement of a positive promotion decision by the Chancellor or May 1 of the seventh year. See II.A.12.b for details.

(ii) Promotion to tenure cases that are brought before the seventh-year, promotions to Professor, appointments, reappointments, or fifth-year appraisals are not allowed the continuous update feature. In these instances, the one-time 220 update is allowed if the preliminary assessment is contrary to the recommendation of the department, dean, or CAP as described in section II.A.12.b.

### **b. Preliminary Contrary or Negative Decisions**

If the Chancellor's preliminary assessment is not to promote in seventh-year promotion to tenure cases or if it is contrary to the recommendation of the department, the dean, or CAP in cases of non-seventh-year promotion to tenure, promotion to Professor, appointment, reappointment, or fifth-year appraisal, the VPAP shall initiate the 220 process, as follows:

(i) The VPAP shall communicate the preliminary assessment in writing to the chair of the department through the dean, with a copy to CAP. The letter must indicate the reasons for the preliminary decision and ask for any further information that might support a different decision. The chair shall provide the candidate with a copy of the VPAP's statement.

(ii) If the 220 process is completed prior to May 1, the file will be held at the APO until May 1 to await further updates. During that period, the candidate has the right to submit further updates. Updated information may include additions to the originally submitted file, such as grants, publications, and/or teaching evaluations. Extramural letters shall not be solicited. If the 220 process is completed after May 1, only material dated May 1 or before will be accepted.

(iii) The candidate may waive the right to hold the file open until May 1.

(iv) The candidate may request (in writing) access to records from the APO. The request form is given as Attachment A-1. If the candidate has requested access to designated records on the Procedural Safeguards Statement, these will be automatically furnished by the APO. The department chair and the dean will also be provided with copies of records supplied to the candidate at this time. These should be shared with the voting faculty in the department.

(v) The department review shall include a new departmental vote. Procedures after the department recommendation is determined, as set forth under II.A.9, shall be followed.

(vi) The updated file is forwarded by the chair to the dean for review. The dean shall include his/her recommendation based on the updated file. The updated file is then reviewed by CAP, and a final decision is made by the Chancellor. No appeal of the final decision is permitted, since the addition of information to the file has provided the opportunity for appeal of the Chancellor's preliminary assessment.

(vii) If the promotion is approved as a result of the response to the preliminary assessment, the decision is based on the resubmitted file.

(viii) The final decision of the Chancellor will be communicated in writing by the VPAP to the chair of the department through the dean, with a copy of the decision announcement to CAP. Once the final decision has been communicated to the candidate, the candidate may request access to records. The request form is given as Attachment A-1. If the candidate has requested access to designated records on the Procedural Safeguards Statement, those records will be furnished automatically by the APO. At this time, the candidate may also request a statement of reasons for the final negative decision.

**c. Non-reappointment for Assistant Professors or Other Appointees of Equivalent Rank.**

According to academic personnel regulations, each appointment and reappointment of an Assistant Professor is for a maximum term of two years. Thus, it is possible that non-reappointment of an Assistant Professor may occur at the end of any such term of contract. If a recommendation for the terminal appointment of an Assistant Professor is made by a dean, campus ad hoc review committee, and/or CAP, or if the Chancellor's preliminary assessment is to make a terminal appointment or not to reappoint, then, before there is a final decision by the Chancellor to make a terminal

appointment or not to reappoint, the procedures set forth in the preceding section (II.A.12.b) must be followed.

6. It has been proposed that the department need not vote on a deferral (Section II.B.6, page 15). CAP agrees. CAP proposes the following replace II.B. 6. CAP also recommends that a standard deferral form be developed by APO.

## **6. Deferral**

Assistant Professors may not request a deferral. A tenured candidate with an appointment below Professor V may request a deferral of his or her case either before the published dates for merits, promotions, and advancements or after the departmental vote. In either case the chair should inform the dean, and the dean should inform CAP and the APO of the deferral. Because there is no specified normal time at Associate Professor V or Professor V, VI, VII, VIII, IX and Above-Scale, service at these steps may be of indefinite duration. Therefore it is not necessary to request deferral when individuals at these steps are not being proposed for advancement. Deferral requests will not be considered as fulfilling the mandatory quinquennial review.

7. Add the following paragraph to Section II.C “Other Reviews and Recommendations” (p. 18):

In a case where the candidate has transferred from one department to another during the review period, both departments should review the case with the current department considered the principal department. The procedures outlined in II.C.2 would then be followed.

8. III.B Ad Hoc Committee Report (departmental, page 19) It has been suggested that this section needs clarification about the confidentiality of departmental ad hoc review reports and CAP encountered some difficulty with two cases in recent memory. CAP proposes the following replacement language:

In preparing a case to present to the departmental faculty before its discussion and vote, a department may appoint an internal ad hoc review committee composed entirely of voting members of the department to assemble the case. The notes and comments of an internal review committee are working documents and are not part of the file and should not be forwarded with the file.

In departments where there is no or only one member of a department eligible and willing to vote on a case, the departmental evaluation may be replaced by an external ad hoc review committee following the procedures for other

personnel actions requiring an ad hoc committee (promotions to tenure and advancement to Professor Above Scale, section III.A). In such cases, the external ad hoc committee will be nominated by CAP and appointed by the VPAP. The report will be treated as a confidential academic review record as described in the APM160-20-b-1-c to be forwarded as part of the file. In such cases the candidate will be given the opportunity to comment on the committee's report, following the procedures for commenting on departmental letters (section II.A.9), but will not be informed of the identity of its members.

9. III.K.1 "Departmental Letter" (page 23) Change the sentence "Record all votes taken unless vote for highest rank and step is unanimous" with the following: "If multiple votes are taken, the candidate may ask to exclude votes for steps higher than the one he or she wishes to forward."

### **Proposals for Changes that CAP Recommends Against**

1. Section II.B.3 [page 14]. Some have recommended that we drop the requirement of extramural letters for Professor Step VI. CAP is opposed. This move would diminish the special nature of the promotion to senior professor status.

2. It has been recommended that training for chairs on the guidelines in the CALL be required at the top of page 5. The suggestion for training is well taken but should not be part of the CALL. A disgruntled faculty member might appeal a case on the grounds that the training did not take place or was inadequate. CAP believes that the responsibility for such training rests with the dean.

3. It has been suggested that the requirements for an extension of the deadlines be spelled out (II.A.3; page 5). CAP recommends against this. Extensions are the prerogative of the VPAP who would reasonably wish for some wiggle room. The purpose of this section of the CALL is to open up the possibility of an extension ("for extraordinary reasons") and vagueness concerning the precise standards is desirable.

4. Some have recommended that CAP language on page 7 be modified to permit consideration of the role of the candidate in attracting high-caliber graduate students to campus. CAP recommends against this addition. We already capture this contribution when we assess the reputation earned and the funding generated by the candidate. No further "extra" points need be granted to this criterion.

5. Some suggest that merit approval authority be delegated in all cases to the academic deans and associate deans [Section II.B.8, page 16]. CAP disagrees. In 2007-08, deans were delegated appointment authority for Assistant Professor Steps I-III, with the caveat that a negative departmental vote for a candidate requires that the file be reviewed by

CAP. Further delegation to the dean level (e.g., of merits and appraisals, higher level appointments and promotions) has been opposed by the Academic Senate on a number of occasions, and CAP does not recommend further delegation at this time. The deans' input in file evaluations is highly valuable but is not always consistent with CAP recommendations or VPAP decisions. An additional consideration is UCR's history of frequent turnover at the dean level, with replacements who are often unfamiliar with the campus and the UC system of personnel review. Additional delegation could open the door to greater inconsistency in the personnel process. Moreover, CAP needs a campus-wide perspective on the standards for merit advancement in various departments to inform and balance its assessment of files for promotion and other actions. CAP has detected some variation in standards from college to college and feels that delegation of merit advancements for tenured faculty back to the colleges would undermine its ability to assess campus-wide standards in the interests of equity and of maintaining absolute standards. CAP's role is to advise the Chancellor on academic personnel matters, and we feel that we can best do so if we maintain an across-the-board assessment system. Generally speaking, CAP review takes less than two weeks. So the gain in efficiency is likely to be small. Furthermore, CAP likes to feel that its minutes are informative and potentially helpful to the candidate in a way that a *pro forma* merit from a dean would not.

6. It is suggested that the CALL specify what should be done in the case of an unsatisfactory quinquennial review. CAP believes that new language is not needed. These cases vary in circumstance to a great degree. The follow up is best left to the VPAP and the dean to consult on the appropriate action on a case-by-case basis.

7. It was suggested that the CALL should explicitly state at II.B.12 [page 17] that the dean has authority to remove the Acting Title and renew second-year reappointments to Acting Assistant Professor. CAP feels that the addition of such language is unnecessary. The current language carries the implication of this authority.

8. CNAS wonders if the criteria of the APM-245-11 for evaluating service as a departmental chair should be broadened to include appointment as Associate Dean (and others with an administrative position). CAP thinks not. The departmental structure of the colleges and the appointment of chairs is a closely regulated process. The appointment of Associate Deans, Directors, and other administrators is much more loosely regulated and is often at the election of a Dean. Moreover, the compensation for these administrative duties (course relief, stipends, summer pay, and the like) is often left to the dean. For this reason it would be difficult for CAP to evaluate how much "credit" should be given for these service activities over and above the (unknown) compensation already received. CAP also notes that deans are always free to "address any shifts in academic activity ... in the decanal review letter." Furthermore, CAP notes that service as chair is accorded much less weight in "advancement above Step V of the

Professor rank or to an above-scale salary.” At those steps advance requires “substantial justification beyond excellence of administrative service” [APM245-11]. Most Associate Deans and Directors serve at these high ranks and thus would not benefit from such a broadening. No change is needed.

9. CAP presumes that a lawyer has suggested, relevant to Section II.D.1 [pages 18-19], that we add the following language to the letter transmitting redacted versions of individual’s personnel file: “This file is being provided to you because it pertains to you and it is your right, in response to your request, to access it. However, it is the University’s position that this file is University property, comprising confidential University documents. Accordingly, the University does not consent to your sharing copies of these documents with anyone other than your recognized agent, such as legal counsel.” CAP strongly disagrees. We cannot think of a worse idea. The academy is a collaborative and nurturing environment. UCR encourages every faculty member to engage in dialog, mutual mentoring, and collaboration. This provision smacks of a preemptive attempt to suppress any mistakes of procedure, misjudgment, or bias that might be revealed by an open file. Why would we want such language to signal that we anticipate such errors? In CAP’s experience problems arising from a candidate’s release of his or her own file are rare indeed. When they do occur the best policy is transparency. This proposal actually would encourage litigious behavior by disgruntled faculty who would feel compelled to engage legal counsel rather than to discuss the case with a sympathetic mentor. The views of reviewers contained in a personnel file are valuable information not only for the candidate but for others in the academy who are looking for advice about how to conduct their own careers. Even if we ignore the very serious negative consequences of this suggestion, it is likely to be unenforceable. What would the University do if a candidate shared his or her file with a department chair, or published a CAP minute in an open letter to the *Highlander*?

10. It has been suggested that the CALL require each college to have a “teaching load policy” and to require that the departmental teaching load policy discussed in III.X (p. 30) be required to conform to the dean’s policy. CAP opposes the use of the CALL to enforce departmental compliance to college policy. This is the dean’s responsibility.

11. There is a lack of clarity in the timing of the Quinquennial review. The APM says “every five years” the current call says “after the fifth year” (which is interpreted as during the sixth year). CAP recommends that the language “after the fifth year” should be retained so that the review would consider five full years of accomplishments.

### **Clarifications and other Tweaks**

1. APO suggests that final decisions for promotions to tenure be announced as soon as they become available. This would change the language at the bottom of page 4. CAP supports this recommendation. CAP further recommends that the announcements of such

decisions not be withheld while waiting for an access-to-records request or, in the case of a decision following a 220 review, by a reasons letter.

2. In II.A.7.c under the heading “Procedures Before the Departmental Recommendation ...” the CALL states “Seven calendar days before the Departmental meeting ...the candidate may submit ... a written statement ...”. Sara remarks: “Faculty ... often assume that ... they have 7 days to review and respond .... Actually, the CALL doesn't specify a specific time for them to respond.” CAP suggests that the faculty member under review be given 5 *business* days to respond and that the department reviewers be given 5 *business* days to access and review the response before voting. Extensions of these deadlines will be considered by the APO in extenuating circumstances.

3. In Section II.A.8.9.b (page 10) CAP recommends that the wording “seven calendar days” be replaced with “five business days.”

4. In Section II.B.1 “Advancement to Above-Scale” (pages 13-14). Eliminate the last paragraph which reads: “Advancements to Above Scale ... will not occur at intervals of less than four years.” This is redundant (see the spreadsheet on normal time) and inaccurate since a more rapid advance is possible if the record justifies it.

5. Department members and affiliates with advisory voting privileges should be granted the right to inspect the draft of the departmental recommendation described in II.A.8.d and e. CAP additionally recommends that the words “or by a designated committee or group of such members” should be eliminated from section d.

6. CAP proposes that we add the possibility of CAP abstaining and recommending a “no decision” in some quinquennial reviews (II.B.11, page 16).

7. Section III.C Bibliography at last advance (page 20). This needs to be modified. The current practice is to include this document in the efile.

8. Section III.D Current Bibliography (page 20). Add the following sentence: Items that are “in preparation” or “in progress” should not be included in the bibliography. These may be described in the candidate’s self statement. In III.D.1.c. Change the first sentence to: “List edited volumes and special issues of a journal only once ...”.

9. Section III.D.2.b “In Press” (page 21). We have been asked for clarification of what “in press” means for a book chapter. CAP suggests that the chapter must be unconditionally accepted by the editor(s) and that there must exist a signed contract with the publisher.

10. Section III.D.2.c “Submitted” (page 21) For an article, chapter, book, or edited book to be listed as submitted the entire manuscript must have been submitted to the publisher,

not a partial or incomplete manuscript. Work that is “in progress” or “in preparation” may be mentioned in the self statement, but should not appear on the bibliography or difference list.

11. Section III.K.1 (page 23) Make the following change:

“This letter shall ... and shall report any ~~present any evidence and~~ difference of opinion which would explain a minority vote or abstentions. If these options have been exercised without comment, that should also be reported.”

12. Section III.M.2 “Extramural Letters” (page 27) Change this to read: “Include a list of documents provided to extramural referees. Any documents provided as part of the packet sent to referees that differ from the current file must be included in the additional documents section.

13. Section III.R “Professional Activity” (page 28): Add “Future invited activity can be included if the invitation was received before the file closing date.”

14. On pages 6 & 7 under II.A.4 “Procedures Regarding Eligibility” there follows sections a, b, and c which have nothing to do with eligibility. CAP suggests that section a, “Normal Time in Step,” become section 5, that section b, “Acceleration,” become section 6, and that section c, “Overlapping Steps,” be eliminated as it is redundant with the revised “Normal Time to Steps” spreadsheet which is attached.

15. The sentence on page 17 that states: "Titles for academics ... must be appraised that the appointment ..." makes no sense. Eliminate it.

16. page 18, section 2, third paragraph. "... external letters obtained by the other department, ... for review by the other department". The first "other" seems to be different from the second "other." Perhaps it should rather say "... by both departments".

17. III.E “Biography” (page 22). Eliminate the phrase “and, if in paper form, must be signed.”

18. III.L “Difference List” page 25. Eliminate the references to blue paper. Eliminate the section that replicates information for the section on the bibliography beginning with the words “It is recommended ...” up to the sentence that begins “In assessing work ...”

19. III.N “Grant Activity” (page 27). Replace the second sentence with: “Identify acronyms that refer to granting agencies (NICHD, DOD, NIA, etc) by a footnote.”

20. III.X. Documents Teaching Load Data form (p. 30). The section regarding what should be included on the form doesn't meet the intent of CAP. We suggest the following:

For all merits (normal, accelerated, decelerated), the teaching load and evaluations should be documented for all courses taught since last advance. For promotion, appraisal, career review, advancement to Professor VI, advancement to Professor Above Scale, or advancements within Professor Above Scale, the teaching load and evaluations should be documented for at least the last three years. Additional earlier years may be included at the candidate's discretion and such additions are encouraged when the candidate has been at his or her current rank and step for more than three years.

21. The right of a candidate to request that certain individuals not be appointed to their ad hoc committee should be mentioned and defined in the CALL.

### **For the Future**

The CALL is an unwieldy and overly-legalistic document that has grown over the years by accretion of clarifications, definitions, and revisions that have been appended to the previous version in a rather haphazard way. The CALL is difficult to navigate and in many places opaque. It should be rewritten and simplified “from stem to stern.” It is beyond the scope of CAP to perform this overhaul within its current constraints of time and workload. CAP suggests that a small joint Academic Senate and Administrative task group be convened to take up this task. A streamlined CALL might reduce the time spent by candidates, department chairs, and staff involved in personnel actions that would make it an appropriate undertaking at this time.

## Proposed Schedule for Academic Personnel Reviews

In the interests of equity and efficiency for candidates and reviewers alike, it is important that the schedule and its deadlines be adhered to. The Deans, the Committee on Academic Personnel, and the Vice Provost for Academic Personnel feel no obligation to consider cases in which a faculty member does not supply documents and information by the deadlines that Chairs may set.

NOTE: The dates will be adjusted accordingly for off-cycle cases.

	Personnel Review Action	Date due in Dean's Office	Date due in CAP(3)	File closes as of this date
Actions requiring extramural letters(1) and an Ad Hoc Committee(2)	Promotion to Associate Professor  Advancement to Distinguished Professor Above Scale	The Monday following the end of instruction in December	The fifth business day of the new Year	September 30  Seventh-year promotion to tenure files may be updated until May 1 of the seventh year
Actions requiring extramural letters(1)	Promotion to Full Professor  Advancement to Professor VI  Career Review	The Monday following the end of instruction in December	The first Monday in February	September 30
Other actions	Fifth-Year Appraisal  Merit Advance within Rank  Merit Advance within Professor Above Scale  Quinquennial Review	One-third due the Tuesday following Martin Luther King Day in January  Two-thirds due the Tuesday following President's Day in February  100 percent due the third Monday in March	The first Monday in March  The first Monday in April  The first Monday in May	September 30

1. Extramural letters should be solicited after June 30 and before September 1 to allow reviewers ample time to respond by November 1. Extramural and student letters may be received to November 1.

2. Actions requiring an Ad Hoc Committee should be given priority over all other actions.

3. Effective this year, all files should be routed directly to the CAP office in the Academic Senate.

## Normal Time in Step Draft Proposal

Note: Service as Assistant Professor, Step V, is in lieu of service as Associate Professor, Step I. Service at Step VI is in lieu of service as Associate Professor, Step II. Similarly, Associate Professor, Step IV, is parallel to Professor, Step I, and Associate V is parallel to Professor, Step II. A lateral move, say from Assistant Professor, Step V, to Associate Professor, Step I, is possible but would be highly unusual and would require special circumstances. The solid vertical lines indicate transitions where a career review with extramural letters is required.

Assistant Professor Step	Associate Professor Step	Full Professor		Distinguished Professor Above Scale no steps	Normal Period of Service at Step
		Step	Step		
I					2 years
II					2 years
III					2 years
IV*					2 years
V**	I				2 years
VI**	II				2 years
	III				2 years
	IV***	I			3 years
	V***	II			3 years
		III			3 years
		IV			3 years
		V			3 or more years****
			VI		3 or more years****
			VII		3 or more years****
			VIII		3 or more years****
			IX		4 or more years****
				no steps/ just merits	4 or more years between merit advancements****

\* Review for tenure must occur no later than the seventh year of service. Visiting Assistant Professor and Acting Assistant Professor appointments count toward the eight-year "up-or-out" rule and the terminal year requirement.

\*\* According to the APM, "[Assistant Professor,] Steps V and VI may be used in exceptional situations and with proper justification." Step V is to be occupied by a non-tenured faculty member in lieu of service as a tenured Associate Professor Step I and Step VI in lieu of service at Associate Step II [APM 220.18.b.2]. At UCR the practice is to consider the Assistant Step V and VI as regular steps not requiring "exceptional" circumstances and special "justification." Indeed, many Assistant Professors regularly occupy these steps on the way to a promotion to Associate with tenure.

\*\*\* According to the APM, "[Associate Professor,] Steps IV and V may be used in exceptional situations and with proper justification." Step IV is to be occupied by a tenured faculty member in lieu of service as a Professor Step I and Step V in lieu of service at Professor Step II [APM 220.18.b.3]. At UCR the practice is to consider the Associate Step IV as a regular step not requiring "exceptional" circumstances and special "justification." Associate V, however, requires an exceptional situation and justification. Only in unusual cases should a faculty member be *accelerated* into Associate Professor Step V. Note that service at Step V may be of indefinite duration.

\*\*\*\* There is no specified normal time at senior Professorial ranks and Above Scale. Service at these ranks may be of indefinite duration. However, see section II.B.11 -- (Quinquennial Review) Advancement to Professor Steps VI, VII, VIII, and IX usually will not occur until at least three years at the lower step. Advancement to Above-Scale usually will not occur until at least four years of service at Step IX. Additional merit advances within Above Scale usually require four years of service at the current scale before consideration.