



Office of the Executive Director  
PHONE: (510) 987-9458  
FAX: (510) 763-0309  
E-MAIL: mbertero@ucop.edu

Assembly of the Academic Senate  
Academic Council  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200

August 30, 2006

**SYSTEM-WIDE SENATE COMMITTEE CHAIRS  
DIVISIONAL SENATE CHAIRS**

**RE: System-wide Review of the Universitywide Committee on Academic Personnel (UCAP) Proposed Modification to Academic Personnel Policies (APM) 220-18b, (4) {Advancement to Professor Step VI and Above Scale}**

Dear System-wide Senate Committee and Divisional Senate Chairs:

On behalf of Chair Oakley, the above document is being forwarded for your review and comments. As background information, in March 2006, the Academic Council requested that the [formal review of the proposed amendments to APM 220-18b \(4\)](#) be discontinued. The Academic Council referred the matter back to UCAP, with the request that they advise the Council on the need for any change to the current language of APM 220-18.b (4) after considering comments received during the formal review process. At its June 21, 2006 meeting, the Academic Council voted to distribute the UCAP proposed amendments to APM 220-18b (4) for system-wide Senate review.

The Academic Council would like to finalize its position with respect to the recommendations early in the 06-07 academic year. In order to do so, we would very much appreciate receiving responses by the date listed below:

For **System-wide Senate Committees** please submit responses by: **January 10, 2007**

For **Divisions** please submit responses by: **February 15, 2007**

As a reminder to System-wide Senate Committee Chairs, please note two points regarding the practice the Academic Council has established for general reviews:

1. **Request for comments are sent out to all System-wide Committees. Each committee may decide whether or not to opine.** Please notify the Senate Office either directly by emailing me or through your Committee Analyst, if your committee chooses not to participate in this review.
2. **The Committee response due date is typically set a month before that of Divisions.** This two-stage review allows the Academic Council to conduct both a preliminary and a final discussion of the matter at hand. It also gives the Divisions the benefit of the committees' considerations for their own deliberations.

Cordially,

A handwritten signature in cursive script, appearing to read "María".

María Bertero-Barceló, Executive Director  
Academic Senate

Encl: 1  
Copy: Academic Council Chair John Oakley  
Divisional Senate Directors  
Academic Senate Committee Analysts



**UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)**  
**ANTHONY NORMAN, CHAIR**  
[anthony.norman@ucr.edu](mailto:anthony.norman@ucr.edu)

The Academic Council  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200  
Phone: (510) 987-9467  
Fax: (510) 763-0309

August 28, 2006

**JOHN OAKLEY, CHAIR**  
**ACADEMIC COUNCIL**

**Re: Proposed Modifications to Systemwide Academic Personnel Policies APM 220-18b, (4)**  
**[Advancement to Professor Step VI and Above Scale]**

Dear John,

I am writing to forward to the Academic Council UCAP's proposed modifications to APM-220-18b, (4), the APM section that articulates the specific criteria for advancement to Professor Step VI and to Professor Above Scale.

By way of background, you will recall that in late 2005 and early 2006 the Senate divisions and several systemwide committees commented on proposed language modifications to APM 220-18b, (4) originally submitted by last year's UCAP in June 2005 and approved (with amendments by Academic Council in July 2005. This year's (2005/06) Council decided to suspend review of the Council-approved July 2005 version of APM 220-18b, (4) and requested UCAP to "review the Council's July 2005 recommendations, as well as all comments submitted by Senate bodies in the course of this year's formal review, and to advise the Academic Council on the need for any change to the current language of APM 220-18.b (4)".

In order to prepare UCAP (2005/06) for its consideration of possible changes in APM-220-18b, (4), and, parenthetically, other agenda topics that were before us, we carried out in the fall of 2005, an extensive survey of CAP practices on all ten UC campuses<sup>1</sup>. Our conclusion was similar to that of last year's UCAP. We found that the current ten CAP's reading of the present APM 220-18b, (4) language resulted in differences in interpretation and application, and that the APM criteria for advancement from Step V to Step VI were difficult to distinguish from the criteria for advancement to Above Scale. Accordingly the present UCAP concluded that it was essential to improve the language of APM 220-18b, (4) by preparation of a revised version that would provide clarity for both advancement to Step VI and to Above Scale.) At the February 7, 2006 UCAP meeting, we finalized and approved a new and substantially different revision of APM 220-18b, (4) as our committee's formal response to Council. This new version of APM 220-18b, (4) was received and discussed at the Council meeting on March 22, 2006.

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<sup>1</sup> We acknowledge that the present UCAP benefited from the considerable file on this topic that was generated by the 2004/2005 UCAP deliberations.

Appended to this letter are three pages which respectively present: (a) the current language of APM 220-18b, (4); (b) UCAP's copy-edited proposed revisions to APM 220-18b, (4); and (c) a final clean version of UCAP's proposed revision to APM 220-18b, (4). UCAP believes that our proposed modifications will bring the APM criteria in line with current CAP practices and provide both faculty and CAP members with a clearer understanding of the distinct features of and differences between the Step VI and Above Scale reviews, which will result in a more consistent and equitable application of the criteria across campuses.

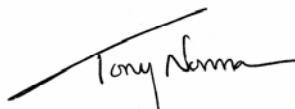
In considering APM 220-18-b (4), the UCAP committees of both this year and last year have sought to explicitly recognize the longstanding centrality of teaching to the UC academic mission. *To this end, we have strengthened previous Step VI requirements for University teaching, as well as for research and service, from "excellence" to "sustained excellence."* Further, we have added two phrases, "career review" and "sustained excellence" to the APM language. Both are, as noted above, intended to underline the long-term achievement of the standard in all three areas of scholarship or creative achievement, teaching and service.

UCAP requested its members to present in February – March 2006 the proposed language of APM 220-18b, (4) to their individual CAPs for review. All ten campus CAPs explicitly endorsed the proposed language that we have submitted Council. Further, the UC-Merced Division Council (DIVCO) Chair, Professor Roland Winston, wrote the following on March 2006; "DIVCO concurs with and strongly supports UCAP's proposed revision of February, 13, 2006" of the proposed wording of the currently submitted APM 220-18b (4).

Finally, one request made by several bodies (UCI, UCAAD) was for better data to be collected concerning the number of files proposed and approved for Professor, Step VI and Above Scale by gender and minority status. The current UCAP endorses this request.

In summary, UCAP strongly recommends that Academic Council approve our proposed changes to APM 220-18b (4), and forward them to the committees and divisions of the Academic Senate for further review.

Sincerely,

A handwritten signature in black ink, appearing to read "Tony Norman". The signature is written in a cursive style with a long horizontal stroke extending to the left.

Anthony W. Norman  
Chair, UCAP

Copy: UCAP  
Executive Director Bertero-Barceló

**UCAP Proposed Amendment to APM 220-18b, (4)**

**Advancement to Professor Step VI and to Above Scale**

**June 12, 2006**

The University Committee on Academic Personnel recommends that Academic Personnel Manual section 220-18 (4), criteria for Professor Series Appointment and Promotion, (<http://www.ucop.edu/acadadv/acadpers/apm/apm-220.pdf>) be modified as described on this and the following two pages. This page provides the 'Current APM Language'; the second page provides the 'UCAP Copy-edited Proposed Revision', and the third page provides the final version of the 'Proposed Revision'.

**Current APM Language**

**APM 220-18 b. (4)**

Professor: The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V, and will be granted on evidence of highly distinguished scholarship, highly meritorious service and evidence of excellent University teaching. In interpreting these criteria, reviewers should require evidence of excellence and high merit in original scholarship or creative achievement, teaching, and service, and, in addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching. Service at Professor, Step VI or higher may be of indefinite duration. Advancement from Professor, Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after less than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Those Professors who are paid on the special Law School scale which has nine steps for the range are subject to the same criteria as Professors as outlined above.

Advancement to an above-scale salary is reserved for scholars and teachers of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching performance is excellent. Except in rare and compelling cases, advancement will not occur after less than four 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. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved.

UCAP Copy-edited Proposed Revision of APM 220-18b (4)

**Advancement to Professor Step VI and to Above Scale**

**June 12, 2006**

**APM 220-18b (4).**

Professor: The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur after less **fewer** than three years of service at Step V, **involves a career review,** and will be granted on evidence of ~~highly distinguished~~ **sustained excellence in scholarship or creative achievement,** ~~highly meritorious service and evidence of excellent University teaching, and service.~~ **In addition, great academic distinction, recognized nationally or internationally, will be required in at least one of these three categories.** ~~In interpreting these criteria, reviewers should require evidence of excellence and high merit in original scholarship or creative achievement, teaching, and service, and, in addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching.~~ Service at Professor, Step VI or higher may be of indefinite duration. Advancement from Professor, Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after less **fewer** than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Those Professors who are paid on the special Law School scale which has nine steps for the range are subject to the same criteria as Professors as outlined above.

Advancement to an above-scale salary **involves a career review that** is reserved for scholars and teachers ~~of the highest distinction~~ whose work **of sustained excellence** has **attained** ~~been~~ **internationally recognized international recognition** and acclaimed **broad acclaim** and whose teaching performance is excellent **reflective of its significant impact across the field; whose teaching performance is excellent; and whose service is meritorious.** Except in rare and compelling cases, advancement will not occur after less **fewer** than four 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 previous advancements to Step IX was have been based is required.** A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases ~~where there is~~ **based on** strong and compelling evidence will increases at intervals shorter than four years be approved.

**UCAP Proposed Revision to APM 220-18b (4)**

**Advancement to Professor Step VI and to Above Scale**

**June 12, 2006**

The University Committee on Academic Personnel recommends that Academic Personnel Manual section 220-18 (4), criteria for Professor Series Appointment and Promotion, (<http://www.ucop.edu/acadadv/acadpers/apm/apm-220.pdf>) be modified as follows:

**APM 220-18b (4).**

(4) Professor: The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur after fewer than three years of service at Step V, involves a career review, and will be granted on evidence of sustained excellence in scholarship or creative achievement, University teaching, and service. In addition, great academic distinction recognized nationally or internationally will be required **in at least one of these three categories**. Service at Professor Step VI or higher may be of indefinite duration. Advancement from Professor Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after fewer than three years of service at the lower step and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Those Professors who are paid on the special Law School scale which has nine steps for the range are subject to the same criteria as Professors as outlined above.

Advancement to an above-scale salary involves a career review that is reserved for scholars whose work of sustained excellence has attained international recognition and broad acclaim reflective of its significant impact across the field; whose teaching performance is excellent; and whose service is meritorious. Except in rare and compelling cases advancement will not occur after fewer than four years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. Demonstration of additional merit and distinction beyond the performance on which previous advancements have been based is required. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases based on strong and compelling evidence will increases at intervals shorter than four years be approved.