

The new, improved Step Plus System!



Step Plus requires immediate department discussion and action

Step Plus was implemented effective July 1, 2014 for personnel actions in all Senate series:

Professor

Professor in Residence

Professor of Clinical _____

Acting Professor of Law

Lecturer with Potential for Security of Employment

Senior Lecturer/Lecturer with Security of Employment

ALL new (2013-14) faculty hires are within Step Plus

Roadmap for this meeting

Presentation: Step Plus overview (25 minutes)



- Step Plus rules and processes
- Step Plus standards for accelerated advancement
- The three-year transition period

Q & A, discussion (15 minutes)

Presentation: Peer evaluation and voting (20 minutes)

- Unequal histories of advancement at UC Davis
- Implicit bias: what is known
- Patterns in advancement at UC Davis
- Rating academic performance as an option when voting

Group analysis of alternative voting ballots (25 minutes)

Wrap-up (5 minutes)

Why have we done this ???

Academic Senate Task Force on Simplifying the Academic Personnel Process (STAPP), April 23, 2012

- “1) Step Plus will result in a significant decrease in the number of actions reviewed each year, a **clear workload reduction on the part of faculty, staff and administrators.**
- 2) Step Plus provides **a greater likelihood that deserving faculty** who do not currently put forward their packets for accelerated reviews (because either they are less aggressive or are just too busy) **will actually begin to gain the rewards of acceleration...**
- 3) Step Plus **allows all contributions during a review period to be fully accounted for** - whether happening uniformly across the review period or occurring all at once at the end of a period...
- 4) Step Plus provides a **greater likelihood of uniformly equitable decisions**, because all packets will cover either a two-year (Assistant and Associate) or three-year (Full) record rather than the current range of years.”

Merits, Promotions and acceleration

- For *all* **merits**: accelerations-in-step replace accelerations in time
- **Merits** will no longer be considered prior to *normative time* at the current step:
 - Review occurs at two, three- or four- year schedule, as determined by normative time at current rank and step.
- **Promotions** (e.g. to Associate and Full) may occur *prior* to normative time at step
- **Every dossier should be considered for acceleration**: At every review, the candidate may be advanced more than one step, i.e. 1.5 steps, 2.0 steps, etc.

Step Plus temporary salary Supplement

- To compensate for salary loss due to eliminating accelerations in time, faculty members receiving an advancement of greater than one step will also receive a *temporary salary supplement* for normative years at step.
 - E.g. Prof 1 → Prof 2.5
 - Supplement = $0.25 * (\text{salary for P2} - \text{salary for P1})$
- The supplement will end after normative time at the new step.
- Academic Affairs has built salary supplement tables, and is instructing AP staff across UC Davis

Key Features of Step Plus (1 of 3)

1. Advancement of only 0.5 step is not an option.
2. Advancements of >2.0 steps are permitted in Step Plus, although they are expected to be extremely rare.
3. New appointments will only be allowed at full steps.
4. Sabbatical and professional leaves count toward the normative time for advancement. Leaves without pay (LWOP) also count toward normative time, unless excluded from on-the-clock time based on our campus work-life policies.
5. Candidates may request a Career Equity Review (CER) coincident with a merit/promotion (and limited by other conditions imposed by CAP).

Key Features of Step Plus (2 of 3)

6. As in our prior system, following a denial, deferral, or a 5-year review without advancement, faculty at all ranks are allowed to come up as early as the following year.
7. As in our prior system, faculty must be reviewed at least every five years.
8. The home department reviews, votes on, and summarizes the merit case, subject to Bylaw 55 and Academic Personnel Manual (APM).
 - The department letter should recommend a specific action.
 - *Minimally*, department peers vote on the recommended action.
 - Departments are encouraged to provide additional evaluation by peers.

Key Features of Step Plus (3 of 3)

9. Advancement requests of less than 2.0 steps are normally redelegated, unless the recommendation is a promotion or crosses a barrier step (Professor Step 6 or Professor Above Scale)
 - Recommendations for ≥ 2.0 steps go to CAP for review and the central administration for decision.
10. First actions since appointment or promotion may go directly to the Dean for decision.
11. The Academic Senate will monitor the Step Plus system during its first several years to evaluate impacts on faculty progress, the possible need for a 0.5 step advancement option, and any unanticipated consequences of the new system.

The 3-year transition period: 2014-15, 2015-16, and 2016-17

- Academic appointees hired prior to 2013-14 have the option to request a merit that is an “acceleration in time” under the previous rules for their first action during the first three years of the Step Plus System.
 - This option will be financially advantageous for relatively few faculty members, mostly those very close to retirement
- A faculty member may not:
 - pursue a merit in 2014-2015 followed by an “acceleration in time” in 2015-2016 or 2016-2017, or
 - be considered for an “acceleration in time” that is evaluated under the Step Plus Criteria for Advancement.

The 3-year transition period: 2014-15, 2015-16, and 2016-17

- A faculty member may request an “acceleration in time” from one whole step to another whole step (no half-steps).
- If the faculty member pursues and receives an “acceleration in time” that skips a whole step (i.e., from Professor 2 to Professor 4), s/he is not eligible for the Step Plus supplement that would have been received if s/he had received the same advancement after waiting for normative time .

Step Plus Guidelines for Advancement (Professor series: 1 of 5)

- **One-Step Advancement**

All members of the Academic Senate are eligible for regular advancement at scheduled intervals. A balanced record, appropriate for rank and step, with evidence of good accomplishments in all areas of review is rewarded with normal advancement. **All Academic Senate faculty can expect to advance at normal rates, unless a major flaw in their performance is evident.** Service duties are expected to increase as faculty advance in rank and step.

This basic standard applies to all Senate series

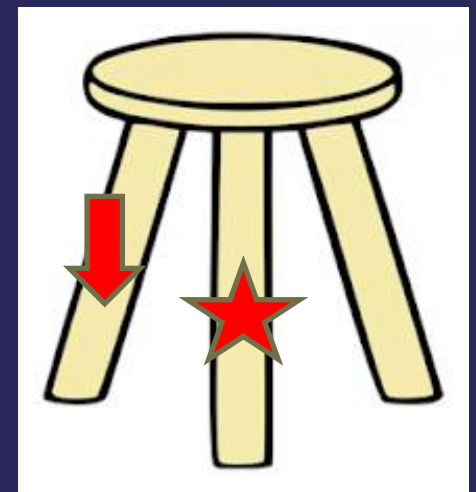
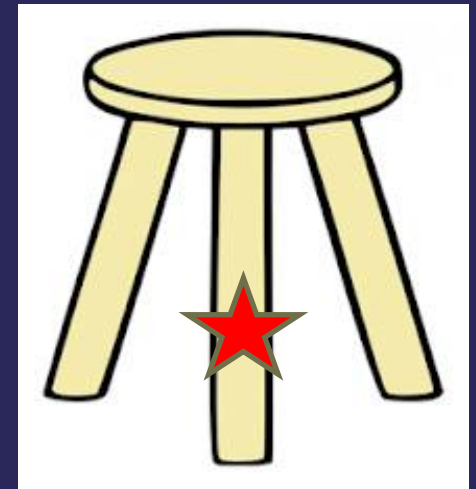


Step Plus Guidelines for Advancement (Professor series: 2 of 5)

- **1.5- Step Advancement**

A larger-than-normal, 1.5-step advancement requires a **strong record with outstanding achievement** in at least one area of review across research or creative work, teaching, and service.

However, **outstanding achievement in one area** may not qualify the candidate for 1.5-step advancement if performance in another area does not meet UC Davis standards.

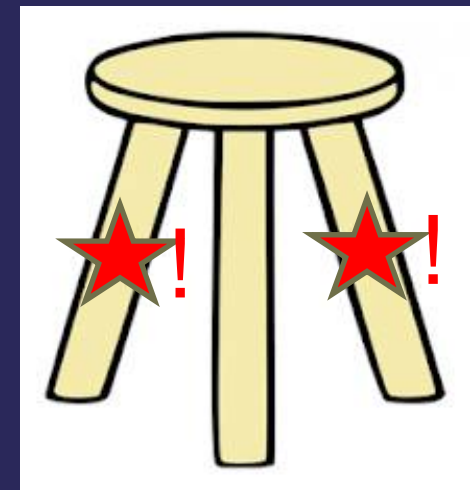
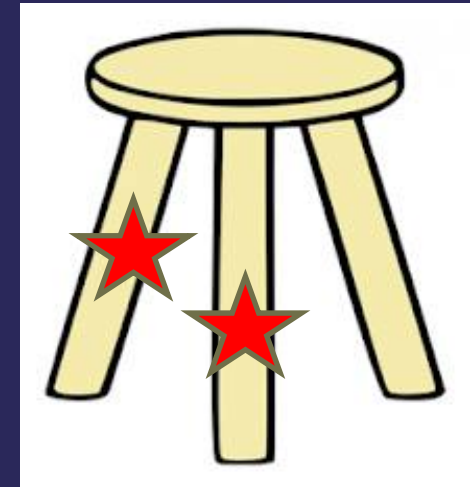


Step Plus Guidelines for Advancement (Professor series: 3 of 5)

- **Two-Step Advancement**

A two-step advancement will require a strong record in all three areas of review, with outstanding performance in at least two areas. In most cases, one of those areas will be scholarly and creative activity, however, exceptional performance in two other areas (teaching, University and public service, professional competence and activities) might warrant such unusual advancement.

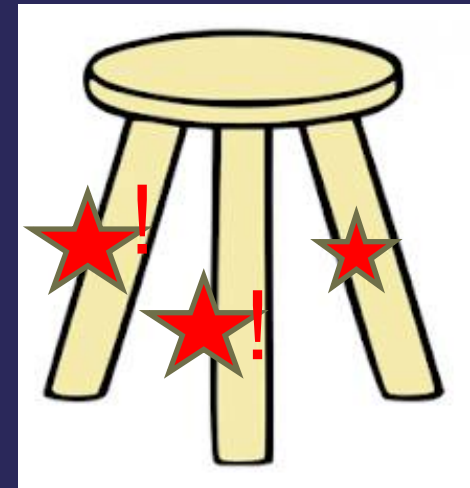
The two-step advancement should be considered for individuals who would have accelerated every year under the previous system to avoid disadvantage over progress under the step-plus system.



Step Plus Guidelines for Advancement (Professor series: 4 of 5)

Advancements Beyond Two Steps

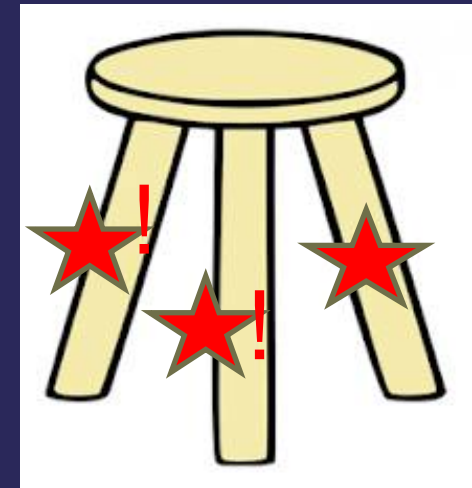
- These advancements will require an exceptionally strong and balanced record, highlighted by extraordinary levels of achievement in two areas (including research and creative activity), and excellent contributions in the third area.
- An advancement beyond 2.0 steps is expected to be extremely rare, and will go to CAP for review and the Vice Provost-Academic Affairs for decision, if proposed.



Step Plus Guidelines for Advancement (Professor series: 5 of 5)

Larger-than-normal Above Scale Increments

- The criteria for merit increases are steep at this high rank. Advancements of 1.5 steps require **an exceptionally strong record of excellence in all three areas of review, with exceptional achievement in research and creative work, and outstanding performance in at least one additional area of review.**
- All actions at Above Scale will go to CAP for review and the Vice Provost – Academic Affairs for decision.



Step Plus Toolkit

- Toolkit is available at:

<http://academicaffairs.ocp.ucdavis.edu/policies/step-plus/index.html>

- Toolkit includes:

- All of the information we covered today
- Step Plus System – Salary Tables
- Instructions for documenting Step Plus actions in MyInfoVault (MIV), Academic Personnel History and Information Database (APHID), and PPS
- Instructions for calculating the Step Plus Supplement
- Sample Ballots
- Frequently Asked Questions
- Historical documentation
- Guide for promotions and how to use overlapping steps
- Guide for Above Scale merits in the Step Plus System

Questions / Discussion

Roadmap for this meeting

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Wrap-up (5 minutes)

A little UC Davis history

ADVANCEMENT IN THE LADDER RANKS AT UC DAVIS:

**ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR
ASSOCIATE PROFESSOR TO PROFESSOR
PROFESSOR 1 TO PROFESSOR 6**

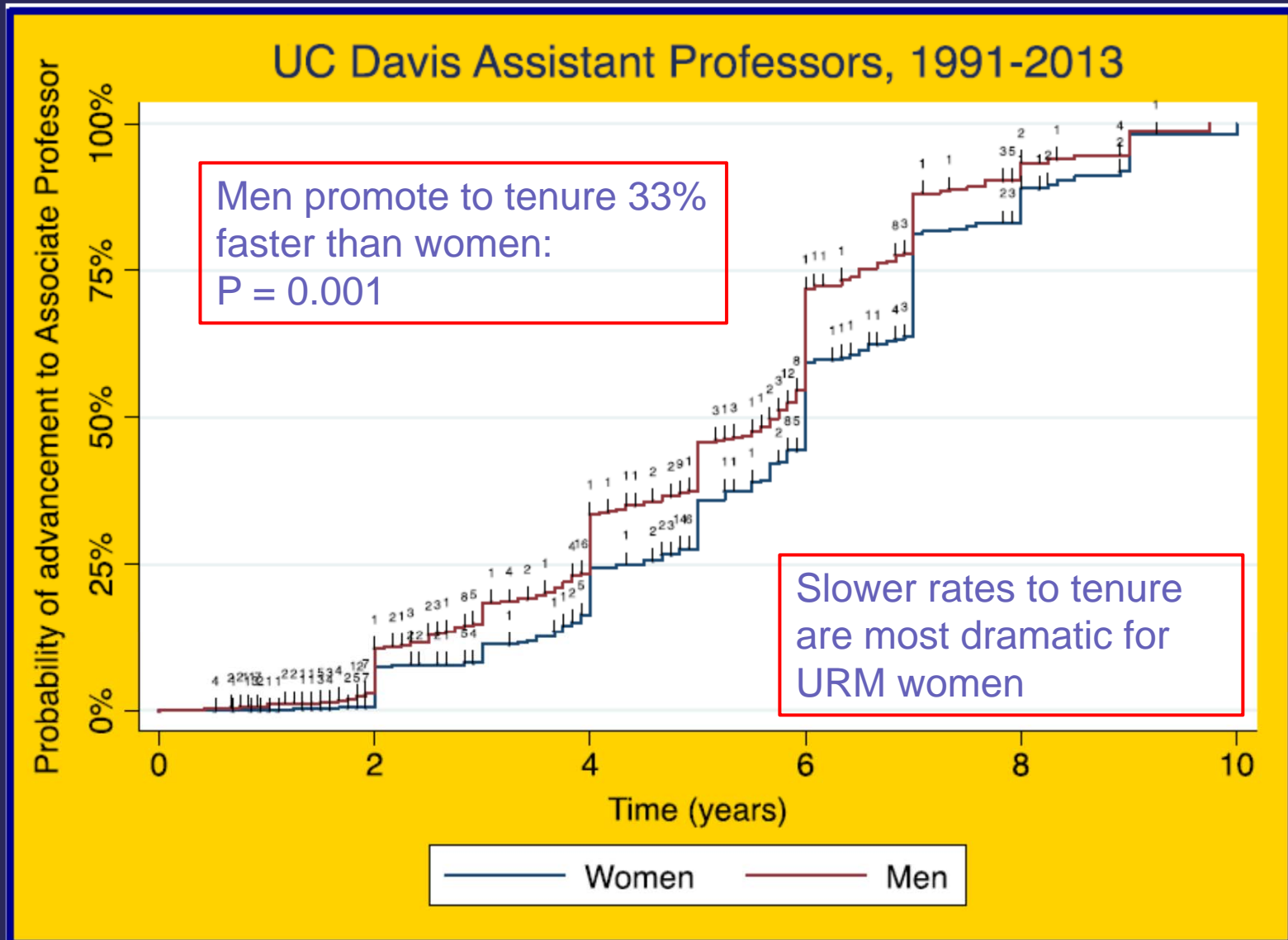
1991-2013

2014 data analysis by AVP-FEI
Phil Kass

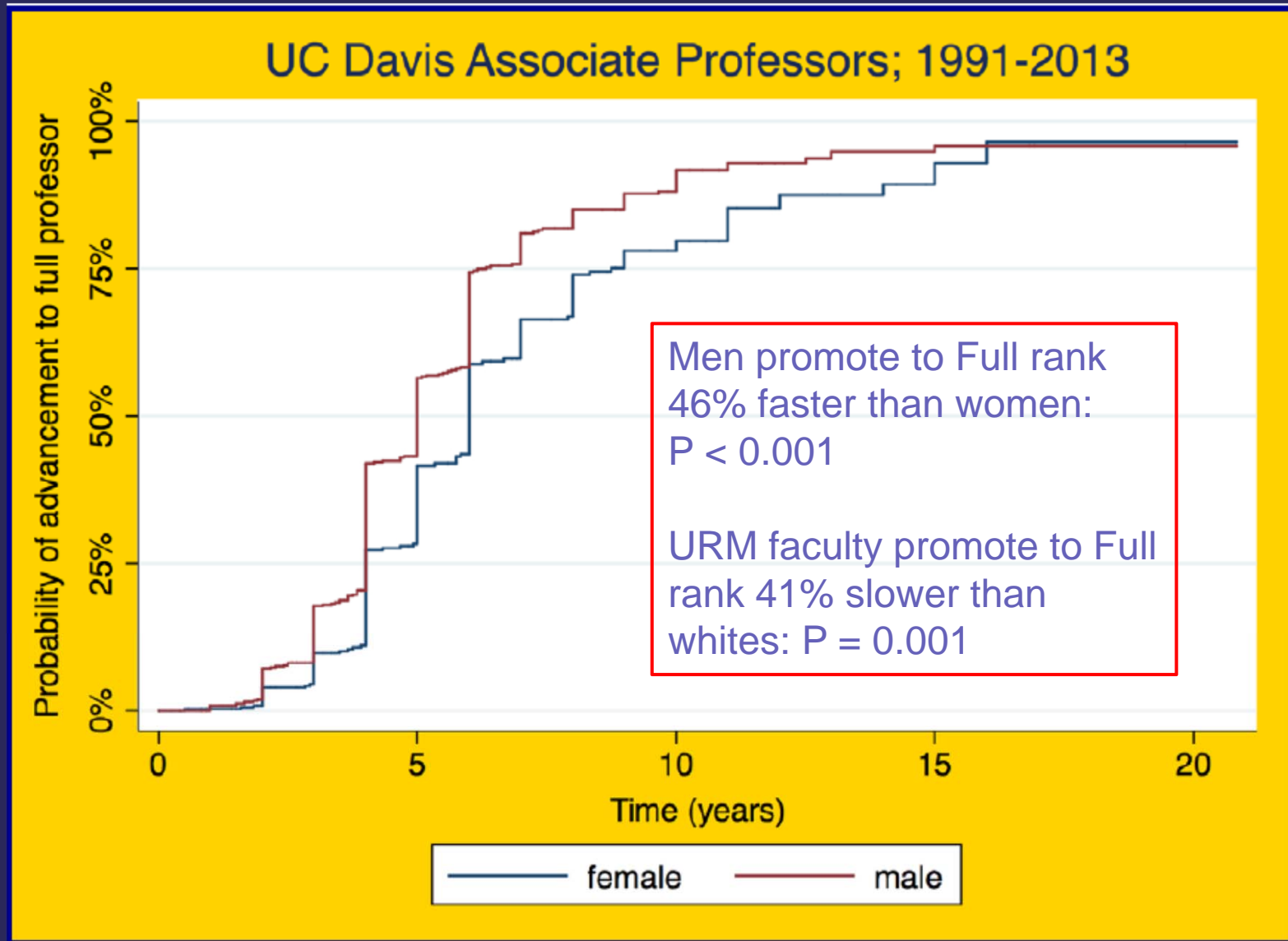
Since 1991, rates of promotion and merit advancement at UC Davis have been shown to vary significantly

- between men and women
- among racial/ethnic groups (especially for women)
- among colleges and schools
- between faculty (both men and women) who have or have not used FMLA family leave or stopped the tenure clock

UC Davis: promotion to tenure by gender



UC Davis: promotion from Associate to Full by gender



UC Davis: gender differences in accelerations reflect gendered differences in self-promotion

2008-13 data from UC Davis
ADVANCE:

Women are 36% less likely to seek accelerated tenure than men (25.5% vs. 39.7 % of dossiers put up for acceleration), but overall are as likely as men to succeed when they seek acceleration.

In STEM, women are 29% less likely to pursue accelerated tenure, but are *more* likely to succeed when they do



A family tragedy



Abundant research on implicit bias shows consistent, irrefutable patterns

Gender: *Both men and women* view men as more competent and professional, and women as more caring and family-focused.

- *Regardless of the data*, “female” applicants for academic or elite positions are typically down-graded and under-valued.
- However, women who demonstrate male-associated traits are often seen as too aggressive.

Race: Both whites and African Americans view whites more favorably than blacks in professional contexts. *Regardless of the data*, applicants with “black” names or known to be black are downgraded professionally.

Family status: Given the same data, applicants perceived as “mothers” are seen as less competent, professional and committed. Men perceived as “fathers” get a slight evaluative “bonus”.

... a recent example: Hericanes vs. Himecanes

Female hurricanes are deadlier than male hurricanes

Kiju Jung^{a,1}, Sharon Shavitt^{a,b,1}, Madhu Viswanathan^{a,c}, and Joseph M. Hilbe^d

^aDepartment of Business Administration and ^bDepartment of Psychology, Institute of Communications Research, and Survey Research Laboratory, and ^cWomen and Gender in Global Perspectives, University of Illinois at Urbana-Champaign, Champaign, IL 61820; and ^dDepartment of Statistics, T. Denny Sanford School of Social and Family Dynamics, Arizona State University, Tempe, AZ 85287-3701

Edited* by Susan T. Fiske, Princeton University, Princeton, NJ, and approved May 14, 2014 (received for review February 13, 2014)

Do people judge hurricane risks in the context of gender-based expectations? We use more than six decades of death rates from US hurricanes to show that feminine-named hurricanes cause significantly more deaths than do masculine-named hurricanes. Laboratory experiments indicate that this is because hurricane names lead to gender-based expectations about severity and this, in turn, guides respondents' preparedness to take protective action. This finding indicates an unfortunate and unintended consequence of the gendered naming of hurricanes, with important implications for policymakers, media practitioners, and the general public concerning hurricane communication and preparedness.

gender stereotypes | implicit bias | risk perception | natural hazard communication | bounded rationality

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"Hey, Ed—is the next one a guy or a girl?"

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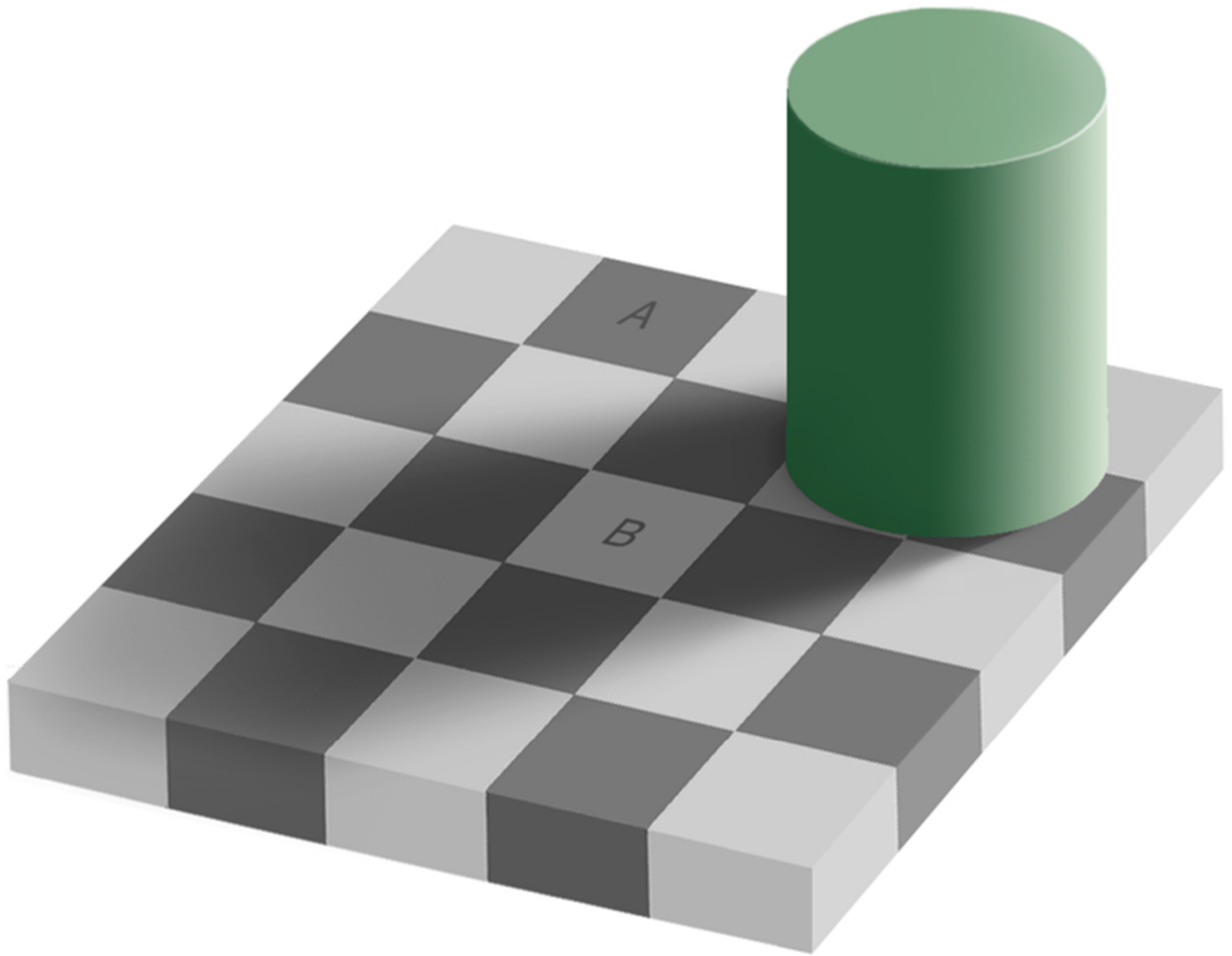
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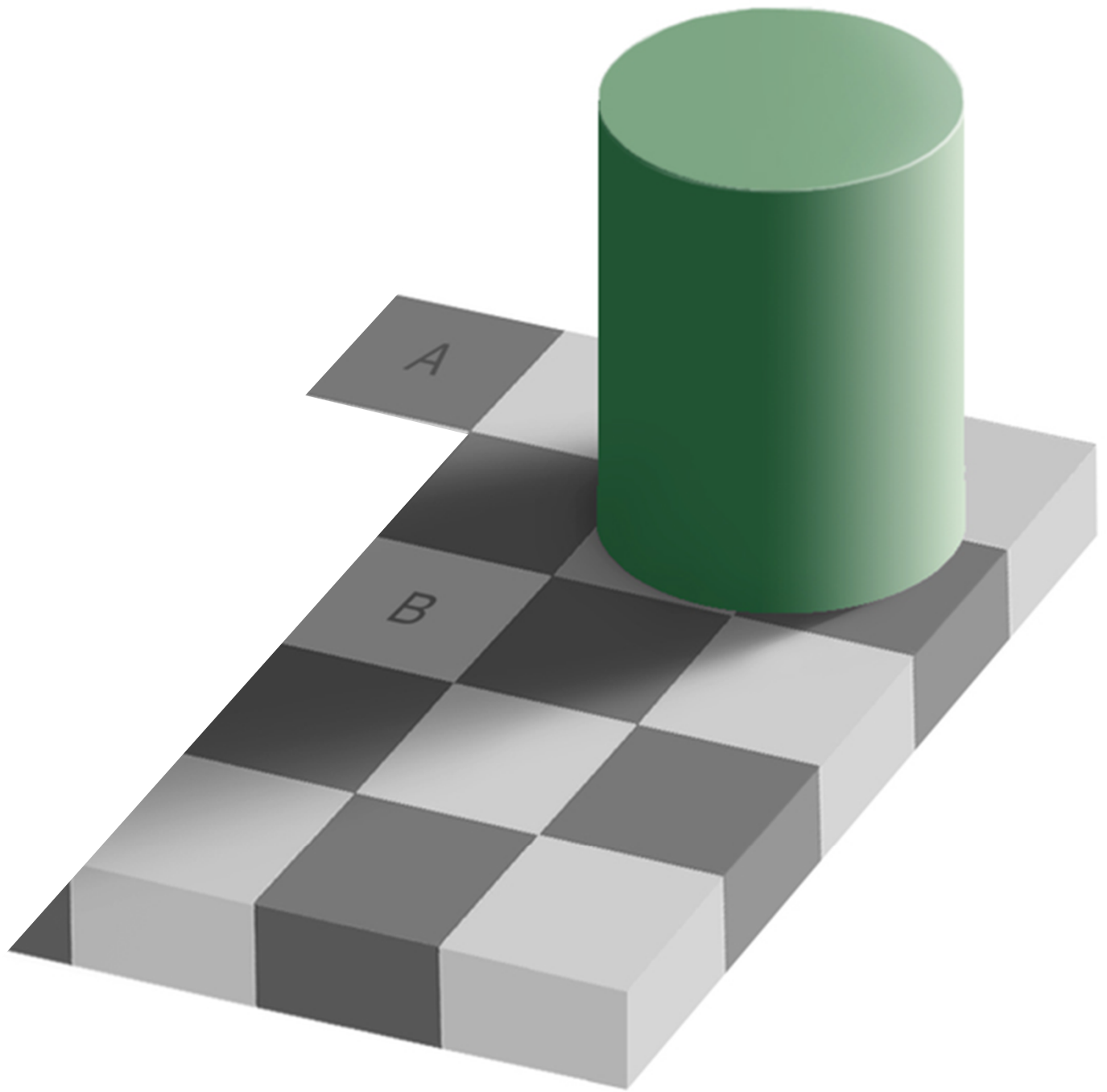
Proceedings of the National Academy of Sciences, June 2014

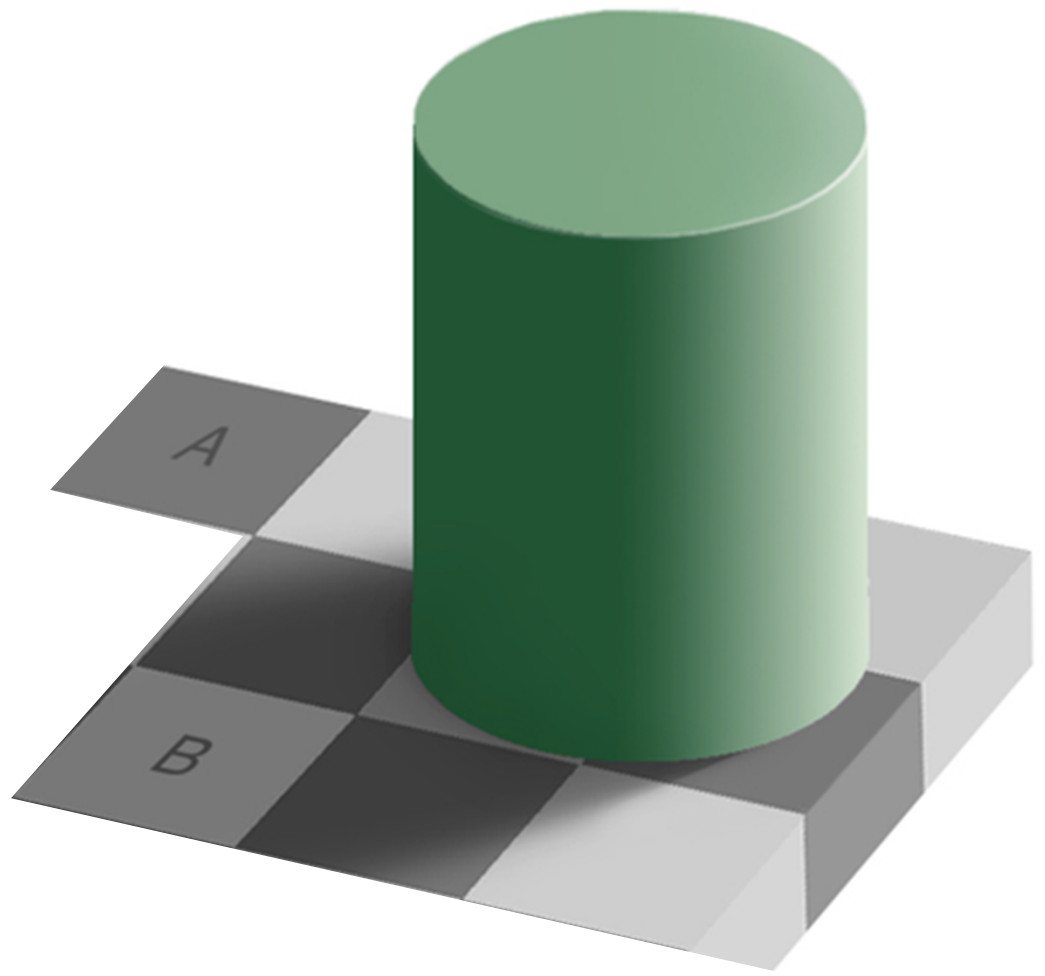
Implicit biases are also called “mind bugs”

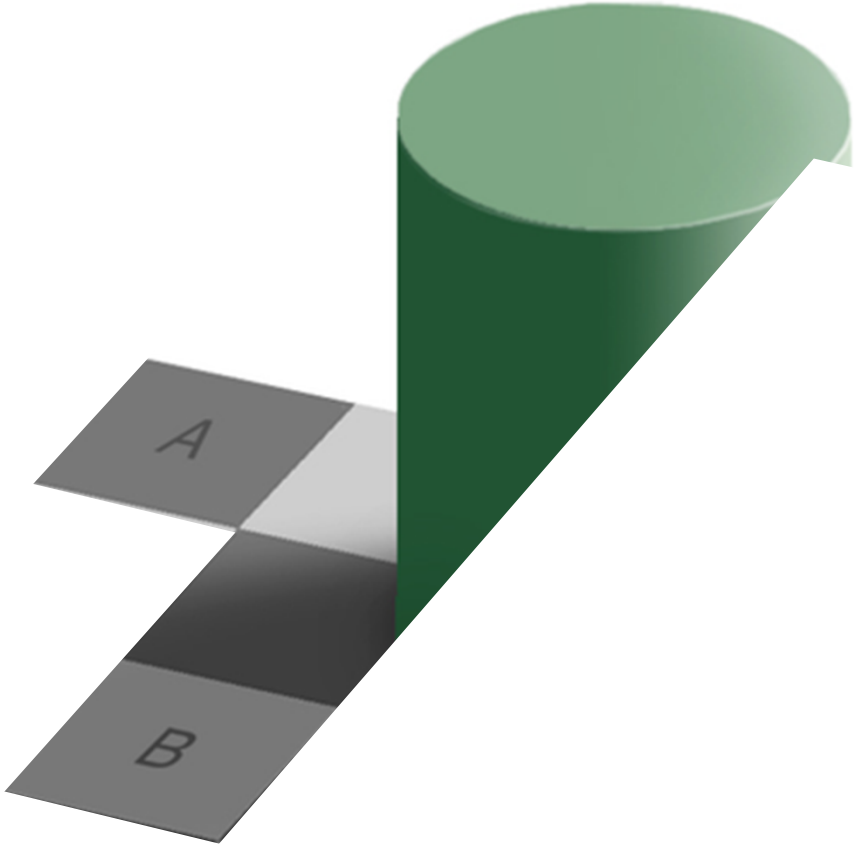
- They are ubiquitous and pervasive.
- They increase maximum processing speed, and so have probably been adaptive through human evolution.

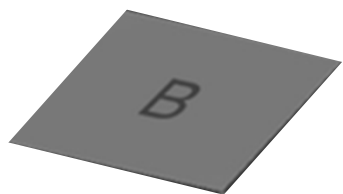
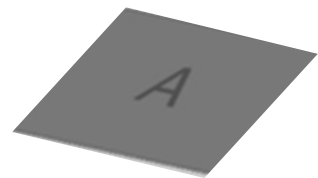


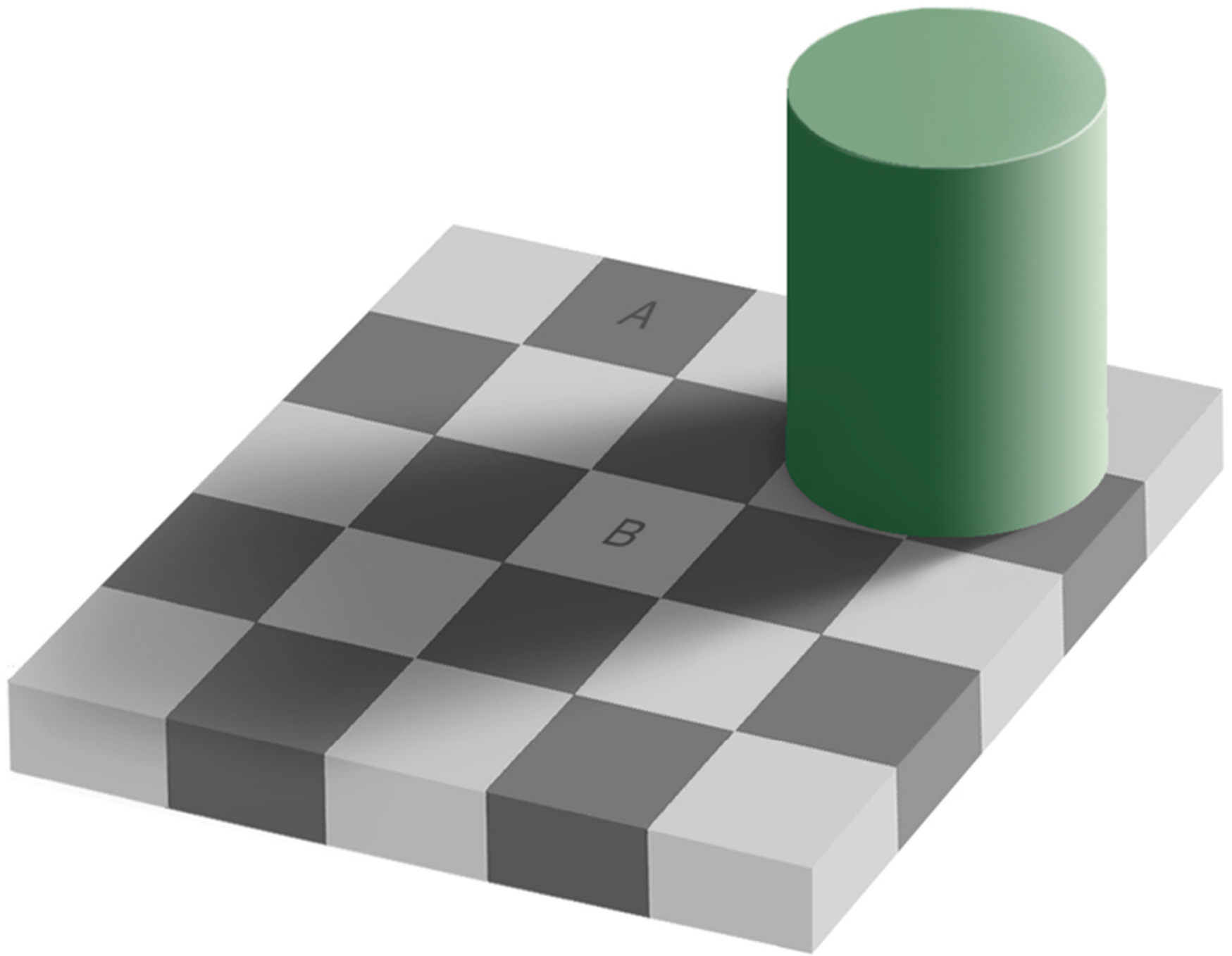












Take-home lessons about perceptual and implicit biases

- **Feeling confident ≠ being accurate:**
 - The way we perceive, judge, remember is often full of errors
 - Perceptual biases are an ordinary by-product of normal mental processes
- What we already know affects what we perceive
 - preconceived expectations influence current judgments
 - Reliance on preconceived expectations can be efficient, but *implicit biases about groups of people result in unintended discrimination*



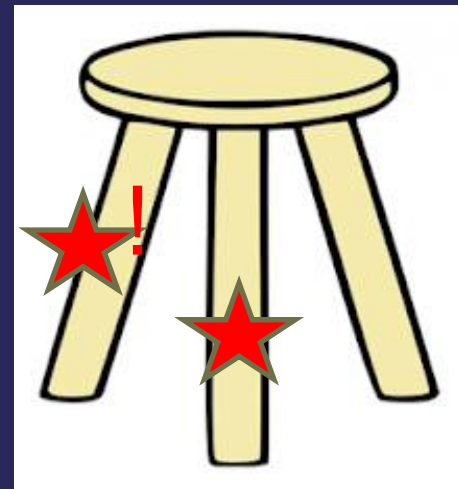
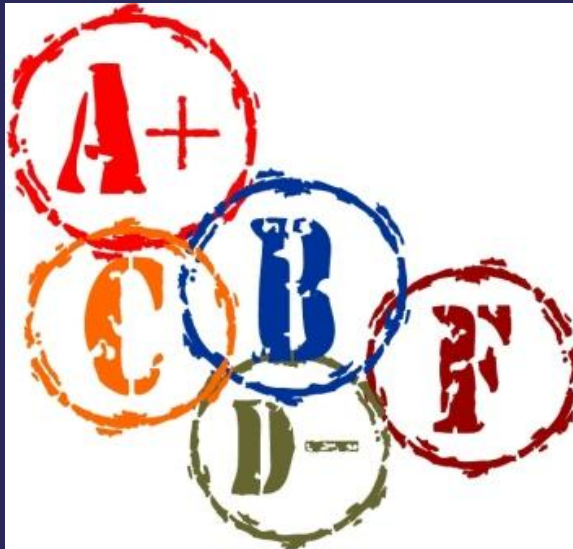
Best practices to reduce the impacts of implicit bias

- Recognize that implicit biases pose a potential problem
 - → Raise awareness of patterns of implicit bias
 - → Learn to recognize and call out biases when apparent
- Create and use more specific, structured evaluation criteria
 - When recruiting, identify, prioritize and use specific criteria for evaluation of applicants
 - When voting on merits or promotions, consider rating a faculty candidate's performance in critical academic spheres

How we vote now...



Step Plus assessments imply ratings in multiple performance categories



Rationale for more evaluative voting

- Under Step Plus, every dossier will be considered for multiple potential actions
- The availability of half-step intervals allows for more nuanced decisions and can benefit from more detailed information on performance in specific areas
- Departments, which often have the deepest knowledge of the candidate and discipline, can explicitly define their priorities and expectations for performance.
- Voting “no” on a peer’s advancement can be hard. Rating performance in specific areas may result in more candid assessment (and less bias).

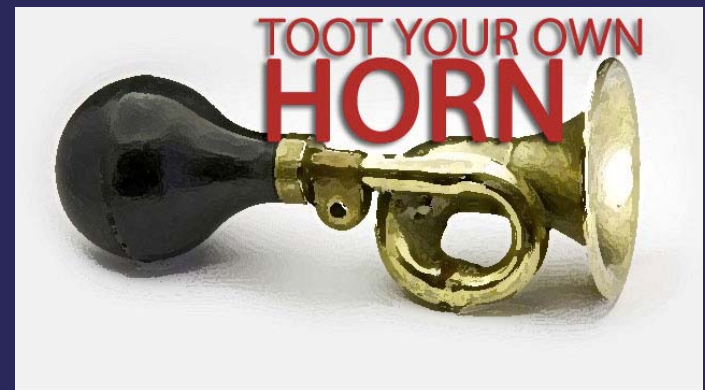
Example: a basic 5-level performance rating

	1: Does not meet expectations	2: Somewhat less than expected	3: Meets expectations for 1.0 step	4: Somewhat more than expected	5: Greatly exceeds expectations
Research					
Classroom Teaching					
Mentoring					
Service					

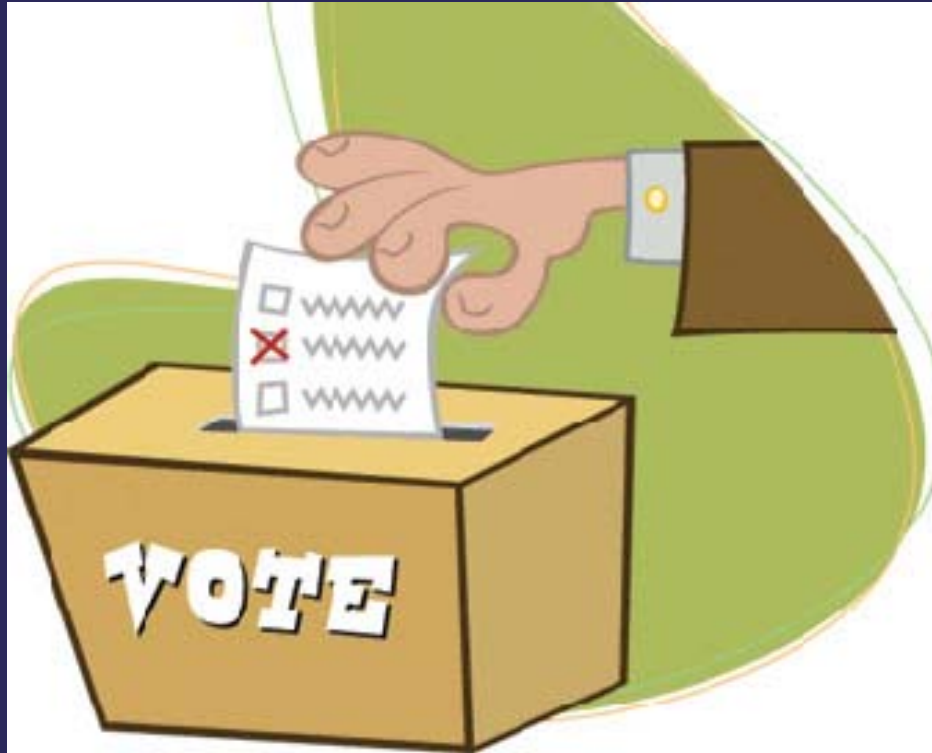
*Encourage comments on contributions to diversity in these areas.

How we can make Step Plus a fairer system

- Educate ourselves about bias patterns and historical inequities
- Develop and score specific performance criteria in evaluating colleagues for merits and promotions
- Enhance the quality of evaluation at the department level, where knowledge is often greatest
- Ensure that every dossier is considered for potential acceleration
- Minimize the impact of variation among candidates with respect to:
 - appetite for self-promotion
 - willingness to risk denial



Careful ballot design can make a difference



Ballot Review Exercise

IMPORTANT!!!

- The following four slides are provided for exercise purposes only, not as samples for use by the department.
 - Have participants discuss the strengths and weaknesses of each ballot given what you have learned about implicit biases
- The first three ballots all have significant deficiencies
- Strong sample ballots may be found in the Academic Affairs Step Plus Toolkit at <http://academicaffairs.ucdavis.edu/policies/step-plus/suggestions-departmental-voting.html>



Ballot example #1A

Description: *Dr. [name] is under review for a merit [or accelerated merit] from Professor, Step X to Professor, Step Z, effective XX/XX/20XX. The review period for this merit is XX/XX/20XX – XX/XX/20XX.*

(1) Do you support a 1.0 step merit advancement from Professor, Step X to Professor, Step Y?

YES, I vote in favor of this action.

NO, I oppose this action. (Please provide comment below on reason for a “No” vote.)

ABSTAIN

Comment on overall evaluation:

(2) Do you support the merit advancement proposed by the candidate from Professor, Step X, to Professor, Step Z? [THIS QUESTION IS TO BE INCLUDED ONLY IF THE CANDIDATE SEEKS A MERIT GREATER THAN 1.0 STEP]

YES, I vote in favor of this action.

NO, I oppose this action. (Please provide comment below on reason for “No” vote.)

ABSTAIN

Comment on overall evaluation:

Ballot example #1B

Description: *Dr. [name] is under review for a merit from Professor, Step X , effective XX/XX/20XX. The review period for this merit is XX/XX/20XX – XX/XX/20XX.*

(1) Do you support, at the minimum, a one-step merit advancement?

YES, I vote in favor of this action.

NO, I oppose this action. (A comment (see below) is required for voting “No” on a regular merit.)

ABSTAIN

Comment on overall evaluation:

(2) Do you support a merit advancement of greater than one step? Please select only one option below.

YES, I vote in favor of a 1.5 step merit advancement.

YES, I vote in favor of a 2.0 step merit advancement.

NO, I do not support advancement of greater than one step.

ABSTAIN

Comment on overall evaluation:

Ballot example #3

Description: *Dr. [name] is under review for a merit from Professor, Step X, effective XX/XX/20XX. The review period for this merit is XX/XX/20XX – XX/XX/20XX.*

(1) Do you support a merit from Professor, Step X to Professor, Step X+1.0?

YES, I vote in favor of this action (regular merit advancement).

NO, I do not support the proposed action. (Please provide comment below on reason for “No” vote.)

ABSTAIN

Comment on evaluation for regular, 1.0-step merit:

(2) Do you support a merit from Professor, Step X to Professor, Step X+1.5?

YES, I vote in favor of this action (acceleration equivalent to one-half step).

NO, I do not support the proposed action. (Please provide comment below on reason for “No” vote.)

ABSTAIN

Comment on evaluation for accelerated 1.5-step merit:

(3) Do you support a merit from Professor, Step X to Professor, Step X+2.0?

YES, I vote in favor of this action (acceleration equivalent to one full step).

NO, I do not support the proposed action. (Please provide comment below on reason for “No” vote.)

ABSTAIN

Ballot example #4

Description: *Dr. [name] is under review for a merit from Professor, Step X, effective XX/XX/20XX. The review period for this merit is XX/XX/20XX – XX/XX/20XX.*

Which of the following options do you feel is most appropriate for a merit from Professor, Step X, to be effective XX/XX/20XX?

Please choose one of the following options only. Note: a vote for a higher step acceleration implies support for all lesser advancements.)

I vote in favor of a 2.0 step increase (acceleration of one full step).

I vote in favor of a 1.5 step increase (acceleration of one-half step).

I vote in favor of a 1.0 step increase (regular merit advancement).

I do not support merit advancement. (Please provide comment below on reason for “No” vote)

ABSTAIN

Comment on selection:

Deciding on a voting method

- Voting method is each department's choice, but should be documented, consistent with Bylaw 55, and may be reviewed by CAP
- Use the same voting method for all Step Plus candidates throughout 2014-15 merit cycle
- Department letter makes a recommendation; vote must indicate support for that action
- Role of unconscious bias can be reduced by the use of specific evaluation criteria
- Greater opportunity for negotiation can lead to greater inequities associated with gender, race/ethnicity, disability, family status, etc.

Discussion



The following slides were not presented, but offer examples of a few studies demonstrating bias based on gender, race and family status.

For more information and resources, refer to the UC Davis ADVANCE STEAD website:

<http://academicaffairs.ucdavis.edu/training-and-development/stead/index.html>

Nepotism and sexism in peer-review

In the first-ever analysis of peer-review scores for postdoctoral fellowship applications, the system is revealed as being riddled with prejudice. The policy of secrecy in evaluation must be abandoned.

Authors reviewed the 1995 Swedish Medical Research Council postdoctoral fellowship selection

- Obtained reviews through Freedom of the Press Act
- Applicants: 62 men, 52 women
- Awardees: 16 men, 4 women
- Women were graded below men in all 3 categories of scientific achievement
 - 10% lower in scientific competence
 - 7% lower for proposed methodology
 - 5% lower for proposal relevance

**Christine Wennerås and
Agnes Wold**

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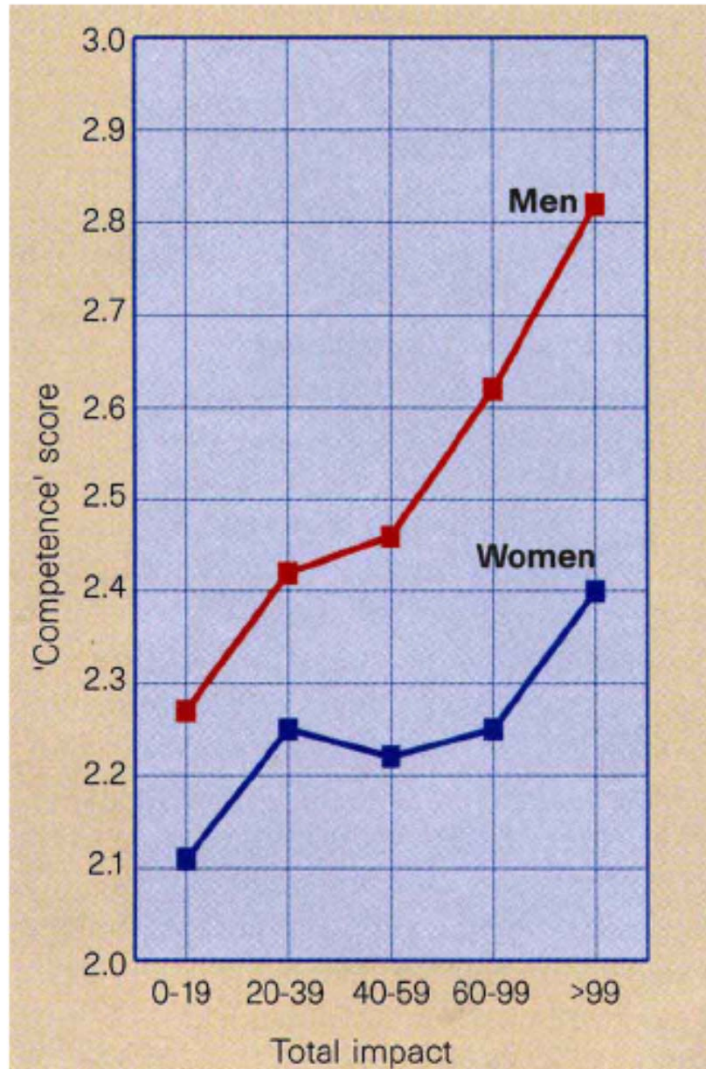
Does the lower evaluation for women reflect lesser competence and productivity than their male colleagues?

Competence/impact metrics were assessed for all applicants:

- Number of publications (total, first-authored)
- Summed journal impact factors (total, first-authored)
- Number of citations (total, first-authored)
- Other factors included in regression model: gender, nationality, discipline, post-doc abroad, evaluation committee... affiliation with member of the evaluation committee)

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“... a female applicant had to be 2.5 times more productive than the average male applicant to receive the same competence score as he...”

Regression analysis: the positive impacts of being male and of being affiliated with a member of the review committee exceeded the influence of measures of scientific impact and productivity by **52% – 220%**

Science faculty's subtle gender biases favor male students

Corinne A. Moss-Racusin^{a,b}, John F. Dovidio^b, Victoria L. Brescoll^c, Mark J. Graham^{a,d}, and Jo Handelsman^{a,1}

2012 PNAS study:

N = 127 professors in biology, physics, or chemistry

Identical applications for a lab manager position from “male” versus “female” applicants

Male and female faculty evaluators *did not differ* in degree of bias!

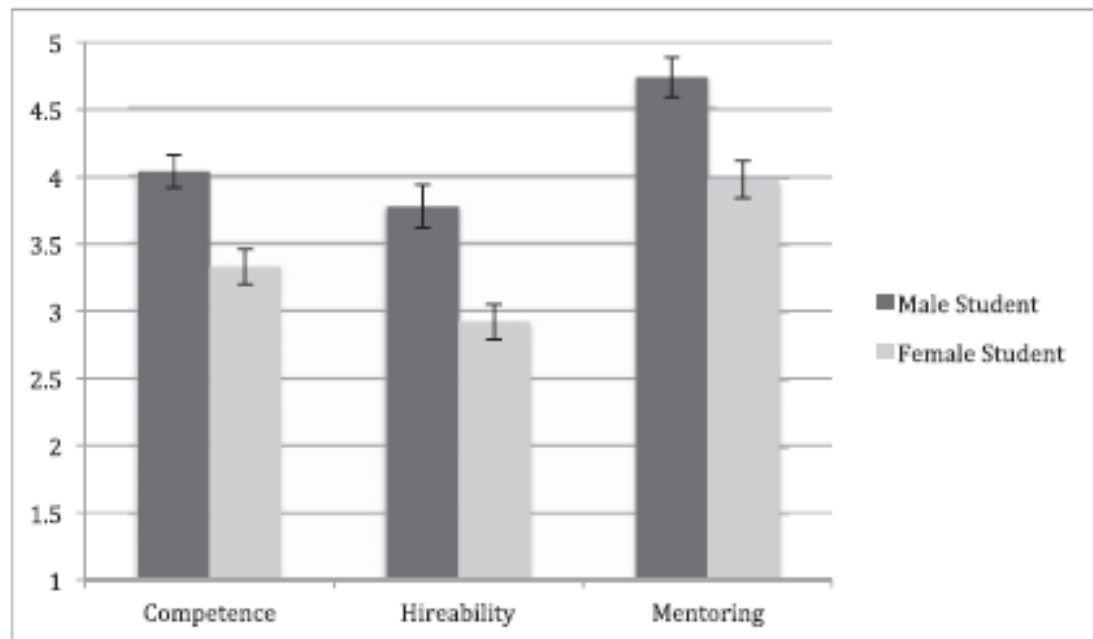


Fig. 1. Competence, hireability, and mentoring by student gender condition (collapsed across faculty gender). All student gender differences are significant ($P < 0.001$). Scales range from 1 to 7, with higher numbers reflecting a greater extent of each variable. Error bars represent SEs. $n_{\text{male student condition}} = 63$, $n_{\text{female student condition}} = 64$.

➔ Plus, “male” applicants were offered ~\$3500/year more in salary

ORCHESTRATING IMPARTIALITY: THE
IMPACT OF “BLIND” AUDITIONS ON
FEMALE MUSICIANS

Working Paper 5903

Claudia Goldin
Cecilia Rouse

- Prior to 1970, only 5% of the musicians within premier US orchestras were women.
- Beginning in the 1970's and 80's, many orchestras gradually introduced screens separating auditioning musicians from evaluators
- In this study, Goldin and Rouse analyzed data from over 1000 auditions— did the use of the screen improve success of women?

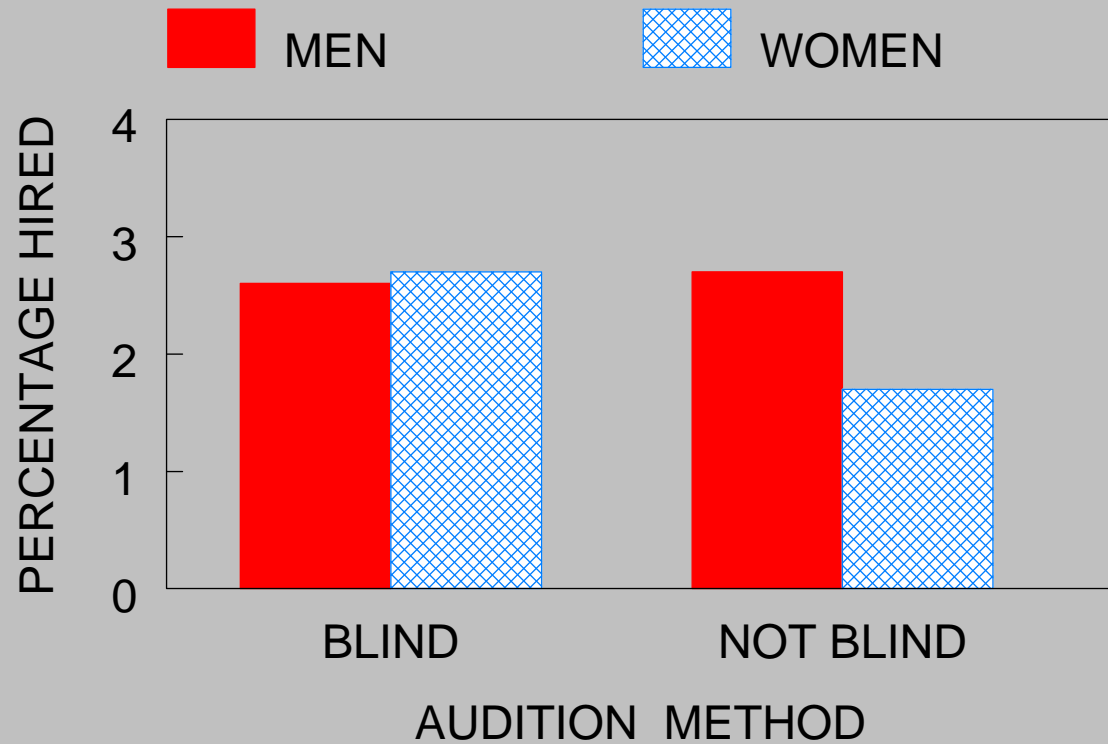
NATIONAL BUREAU OF ECONOMIC RESEARCH
1050 Massachusetts Avenue
Cambridge, MA 02138
January 1997



**ORCHESTRATING IMPARTIALITY: THE
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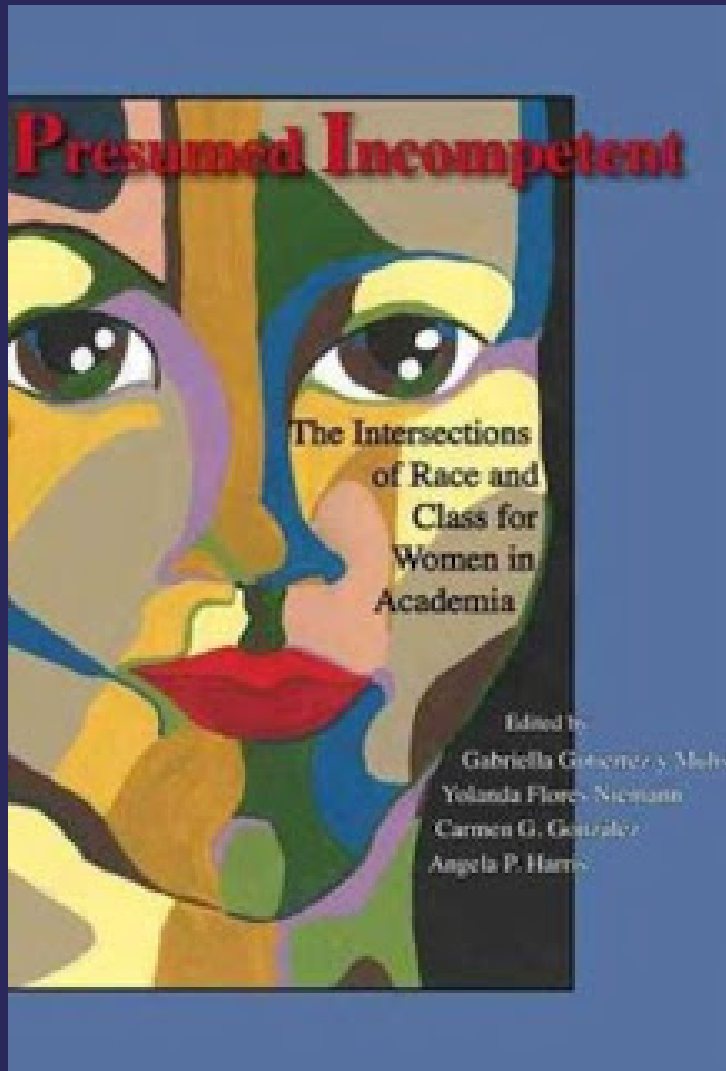
NATIONAL BUREAU OF ECONOMIC RESEARCH
1050 Massachusetts Avenue
Cambridge, MA 02138
January 1997

Gender bias in letters of reference

Trix & Psenka (2003) *Discourse & Society*

- Content analysis of 312 real letters of recommendation that helped medical school faculty attain their positions at large U.S. medical schools from 1992 to 1995.
- Compared with letters of recommendation for males, letters for females were :
 - shorter
 - more likely to lack specificity
 - more likely to contain gender terms
 - e.g., "she is an intelligent young lady"
 - more likely to include "doubt raisers"
 - e.g., criticisms, hedges, faint praise

Women from underrepresented groups often experience a “double bind”



- Disproportionate scrutiny from students, peers and administrators
- Assumptions that success was obtained through affirmative action
- Heavier burden of informal mentoring and community engagement
- Weaker professional support systems

The motherhood penalty

Correll et al. (2007) *American Journal of Sociology*



- Participants rated fictitious job applicants by reading constructed resumes
- Resumes were statistically matched, except for one listed activity:
 - Parent-Teacher Association Coordinator (code for “parent”)
 - Fundraiser for neighborhood association
- Applicants were rated for competency, commitment and likely starting salary
- Female applicants *perceived as mothers* were judged significantly less competent and committed, worthy of 7% less starting salary, and were held to more stringent hiring standards (e.g. higher test scores).

Racial bias in resume evaluation



- **Bertrand & Mullainathan (2003) *American Economic Review***
 - Created fictitious resumes that were assigned to either traditionally black names (e.g., Lakisha) or traditionally white names (e.g., Greg). Resumes were submitted to Help-wanted ads in Boston and Chicago newspapers.
 - Resumes with white names had a 50% greater chance of receiving a call-back than did resumes with black names. High-quality resumes elicited 30% more call-backs for white names, but only 9% more call-backs for black names.

Racial bias in grant proposal evaluation

Ginther et al. (2011) *Science*

Analyzed the association between a U.S. National Institutes of Health (NIH) R01 applicant's self-identified race or ethnicity and the probability of receiving an award.

After controlling for the applicant's educational background, country of origin, training, previous research awards, publication record, and employer characteristics, **African-American applicants are much less likely than whites to be awarded NIH research funding.**

