Associate Professor Advancement

April 23, 2019

Philip Kass
Vice Provost
Office of Academic Affairs

UCDAVIS

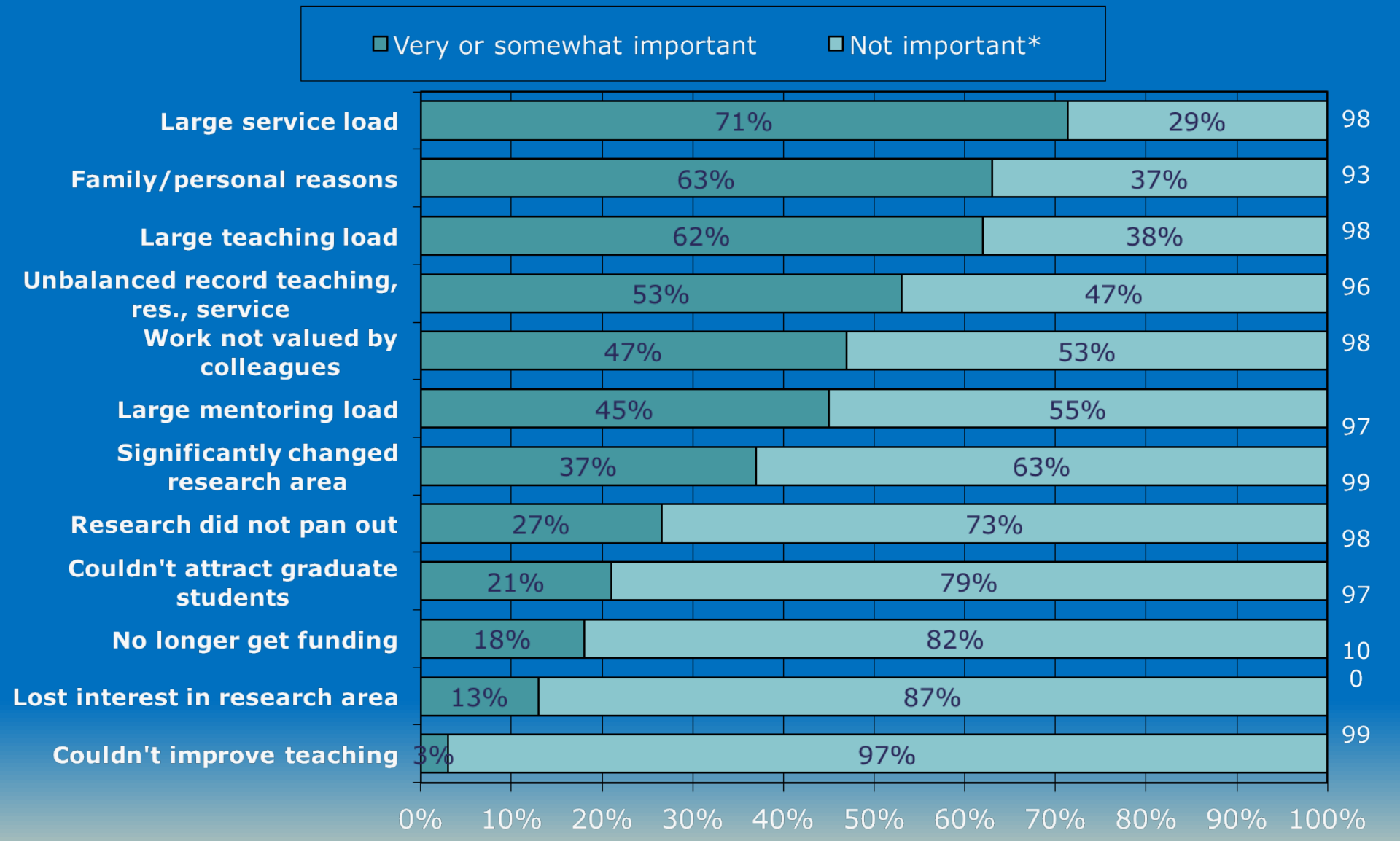
What professorial rank has the most dissatisfaction among faculty?

- A nationwide study of 13,510 faculty members from 65 four-year institutions showed that Associate Professors are the least happy.
- Dissatisfaction included:
  - Support for interdisciplinary work
  - Mentoring
  - Getting release from teaching for other tasks
  - Obtaining support to present work at conferences
  - Having time for research

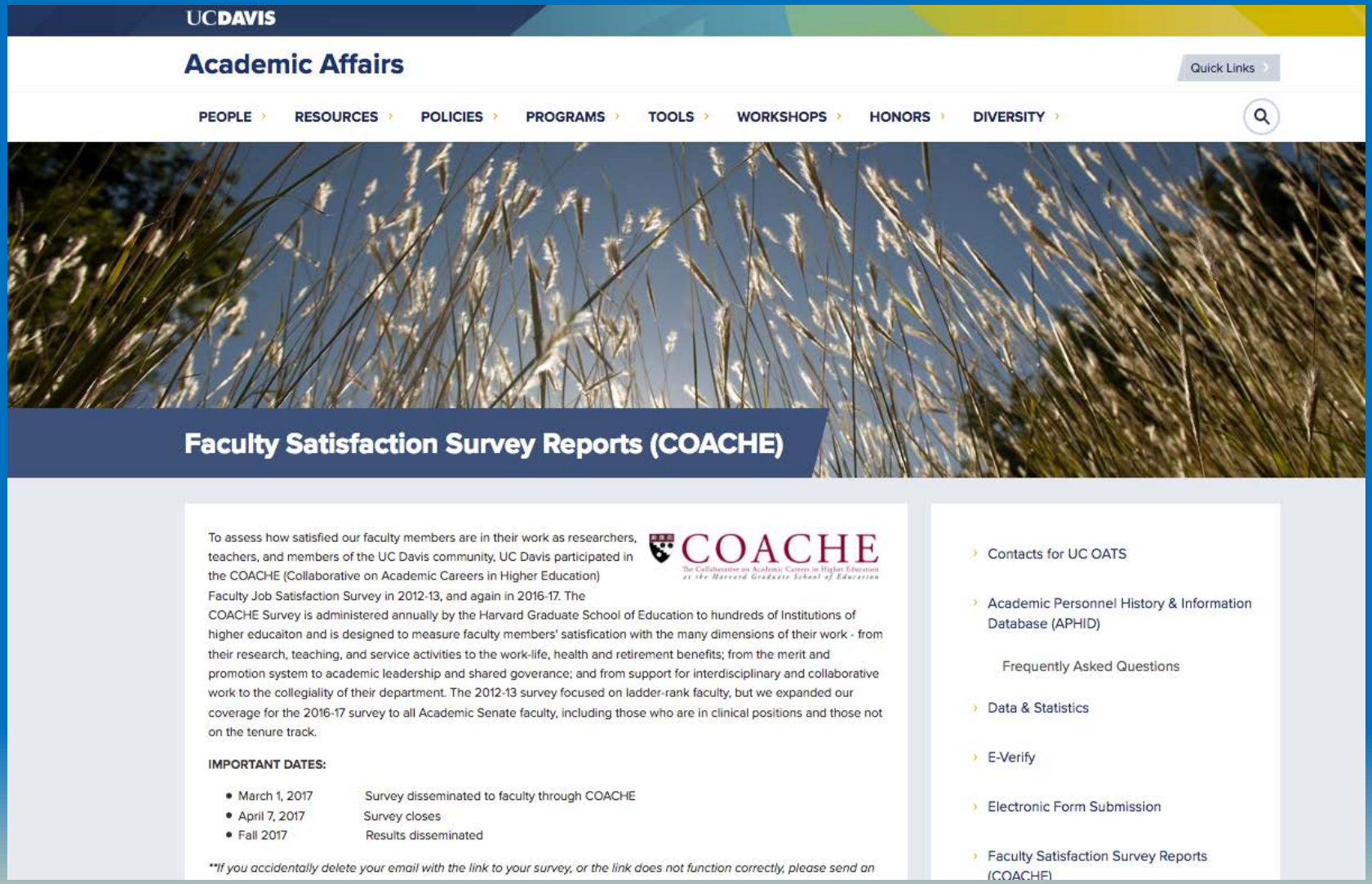
Kiernan Mathews (Director of COACHE, Harvard School of Education):

- “Suddenly, they’re teaching more, they’re serving on more committees, they’re even serving as department chairs – yet the criteria for promotion to full professor have nothing to do with these activities. Many of them are like the newly tenured professor whom I recently witnessed, while setting up his laptop for a presentation, that his e-mail client showed over 3,000 unread e-mails. He is highly regarded in his field, employed at an Ivy League institution, well-liked by students – yet completely overwhelmed and alone.”

2009 UC Berkeley survey: what were the perceived challenges slowing down promotion?



COACHE 2017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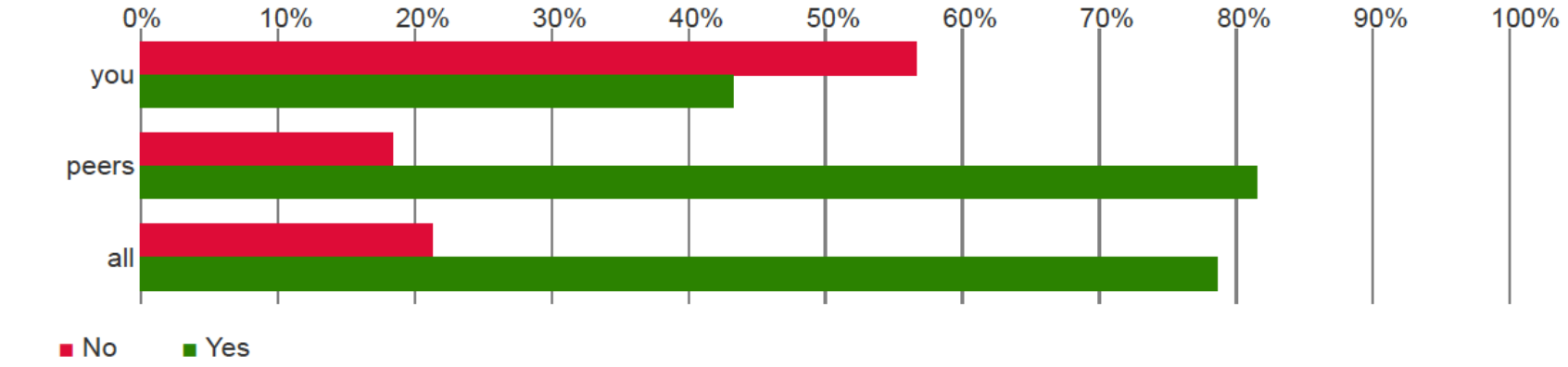
Faculty Satisfaction Survey Reports (COACHE)
COACHE
To assess how satisfied our faculty members are in their work as researchers, teachers, and members of the UC Davis community, UC Davis participated in the COACHE (Collaborative on Academic Careers in Higher Education) Faculty Job Satisfaction Survey in 2012-13, and again in 2016-17. The COACHE Survey is administered annually by the Harvard Graduate School of Education to hundreds of Institutions of higher educaiton and is designed to measure faculty members' satisfaction with the many dimensions of their work - from their research, teaching, and service activities to the work-life, health and retirement benefits; from the merit and promotion system to academic leadership and shared goverance; and from support for interdisciplinary and collaborative work to the collegiality of their department. The 2012-13 survey focused on ladder-rank faculty, but we expanded our coverage for the 2016-17 survey to all Academic Senate faculty, including those who are in clinical positions and those not on the tenure track.
IMPORTANT DATES:
March 1, 2017 Survey disseminated to faculty through COACHE
April 7, 2017 Survey closes
Fall 2017 Results disseminated
**If you accidentally delete your email with the link to your survey, or the link does not function correctly, please send an
Contacts for UC OATS
Academic Personnel History & Information Database (APHID)
Frequently Asked Questions
Data & Statistics
E-Verify
Electronic Form Submission
Faculty Satisfaction Survey Reports (COACHE)

COACHE 2017

Tenure and Promotion

Have you received formal feedback on your progress toward tenure?

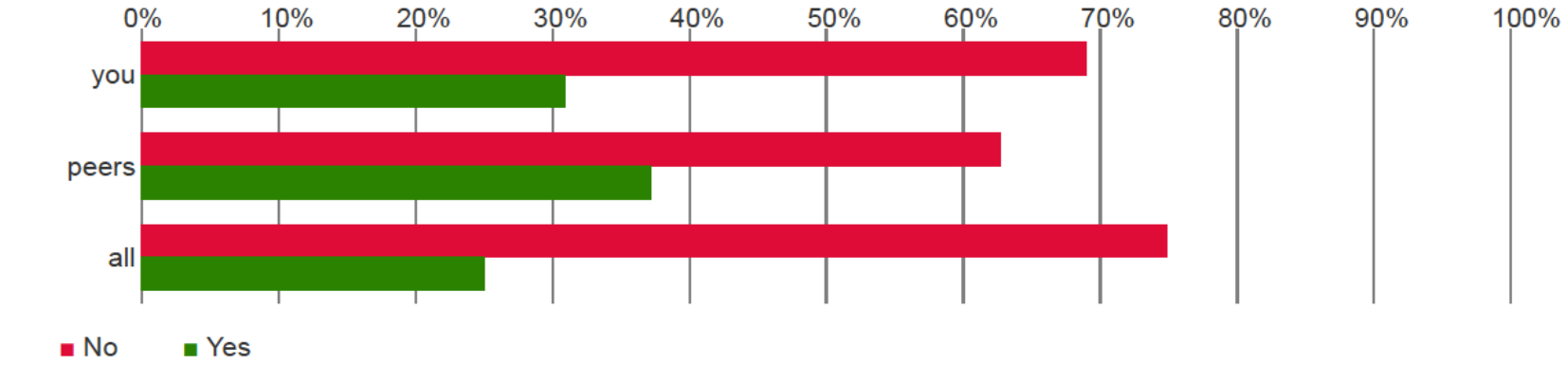


COACHE 2017

Tenure and Promotion

Formal feedback on promotion to full

Have you received formal feedback on your progress toward promotion to full professor?



COACHE 2017:

Analyses

To see the full name of column header, hover pointer over short name in external comparison column header.

Your results compared to PEERS ◄
Your results compared to COHORT ►

Areas of strength in **GREEN**
Areas of concern in **RED**

	mean	overall	tenured	pre-ten	ntt	full	assoc	men	women	white	foc	asian	urm	ten vs pre-ten	ten vs ntt	full vs assoc
Promotion to Full	4.12	◄►	◄►	N/A	N/A	◄►	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Dept. culture encourages promotion	4.46	◄►	◄►	N/A	N/A	◄►	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Reasonable expectations: Promotion	4.19	◄►	◄►	N/A	N/A	◄►	◄	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Clarity of promotion process	4.18	◄►	◄►	N/A	N/A	◄►	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Clarity of promotion criteria	4.08	◄►	◄►	N/A	N/A	◄►	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Clarity of promotion standards	3.83	◄►	◄►	N/A	N/A	◄►	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Clarity of body of evidence for promotion	4.09	◄►	◄►	N/A	N/A	◄	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Clarity of time frame for promotion	4.07	◄►	◄►	N/A	N/A	◄►	◄►	◄►	◄►	◄►	◄►	◄►	◄►	N/A	N/A	assoc
Clarity of whether I will be promoted	3.38	◄►	◄►	N/A	N/A	N<5	◄►	◄►	◄	◄►	◄►	◄►	◄►	N/A	N/A	N<5

COACHE 2017

CQ3	Please rate your level of agreement or disagreement with the following statements:			
	CQ3A	The Step Plus system has increased recognition and rewards for outstanding achievements in teaching and service. *[Single Response]*		
		5 - Strongly agree	42	20.6
		4 - Somewhat agree	67	32.8
		3 - Neither agree nor disagr	40	19.6
		2 - Somewhat disagree	21	10.3
		1 - Strongly disagree	24	11.8
		98 - Decline to answer	10	4.9
	CQ3B	Under the Step Plus system, faculty members in my department have a clear understanding of wh is required for a 1.0, 1.5, 2.0, etc. step increase. *[Single Response]*		
		5 - Strongly agree	13	6.4
		4 - Somewhat agree	58	28.4
		3 - Neither agree nor disagr	32	15.7
		2 - Somewhat disagree	58	28.4
		1 - Strongly disagree	39	19.1
		98 - Decline to answer	4	2.0

COACHE 2017

CQ3C	Faculty members in my department are able to apply these standards consistently when reviewing candidates for advancement under the Step Plus system. *[Single Response]*		
	5 - Strongly agree	9	4.4
	4 - Somewhat agree	57	27.9
	3 - Neither agree nor disagree	34	16.7
	2 - Somewhat disagree	57	27.9
	1 - Strongly disagree	41	20.1
	98 - Decline to answer	6	2.9

Step Plus Advancements!

“Clear? Huh! Why a four-year-old child could understand this report!

Run out and find me a four-year-old child, I can't make head or tail of it.”

UC Ranks & Steps within ranks: "Normative time" at each step

Assistant Professor

Step 1	2 yrs
Step 2	2 yrs
Step3	2 yrs
Step 4	2 yrs
(Step 5)	2 yrs
(Step 6)	2 yrs

Associate Professor/Tenure

Step 1	2 yrs
Step 2	2 yrs
Step 3	2 yrs
(Step 4)	3 yrs
(Step 5)	3 yrs

Professor

Step 1	3 yrs
Step 2	3 yrs
Step 3	3 yrs
Step 4	3 yrs
Step 5	3 yrs/Indef

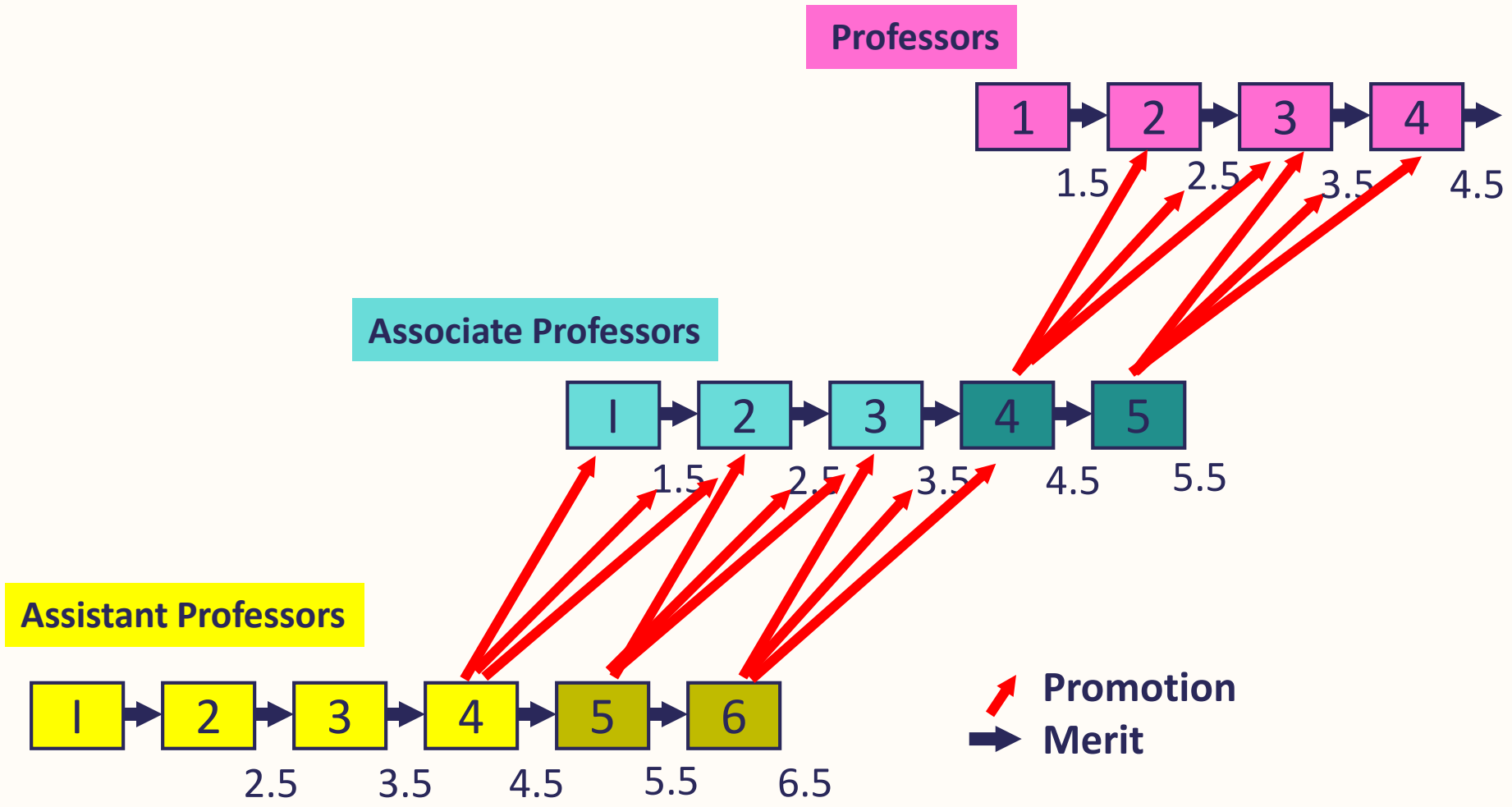
Professor (senior levels)

Step 6	3 yrs/Indef
Step 7	3 yrs/Indef
Step 8	3 yrs/Indef
Step 9	4 yrs/Indef

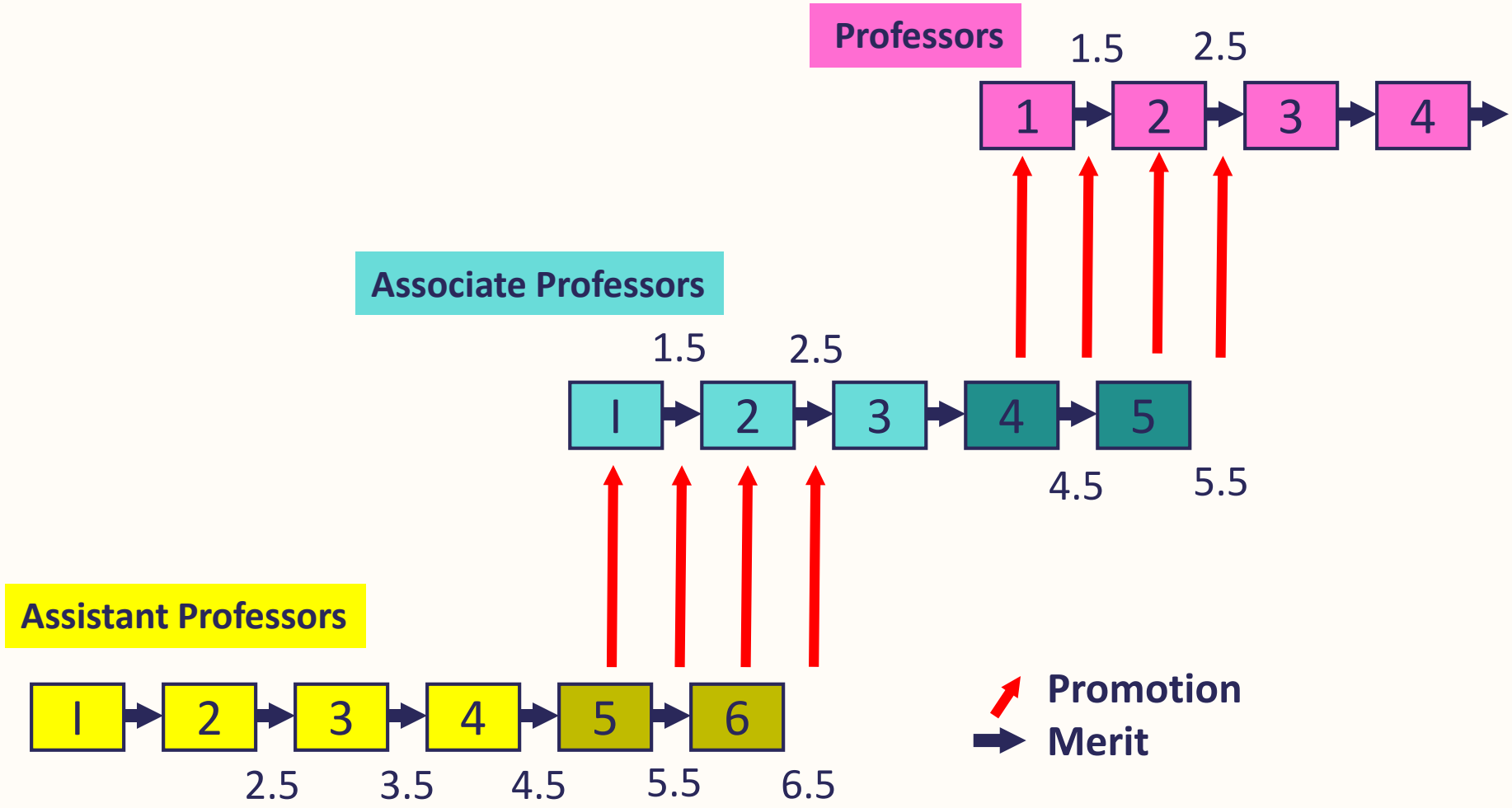
Professor Above Scale*

4 yrs/Indef

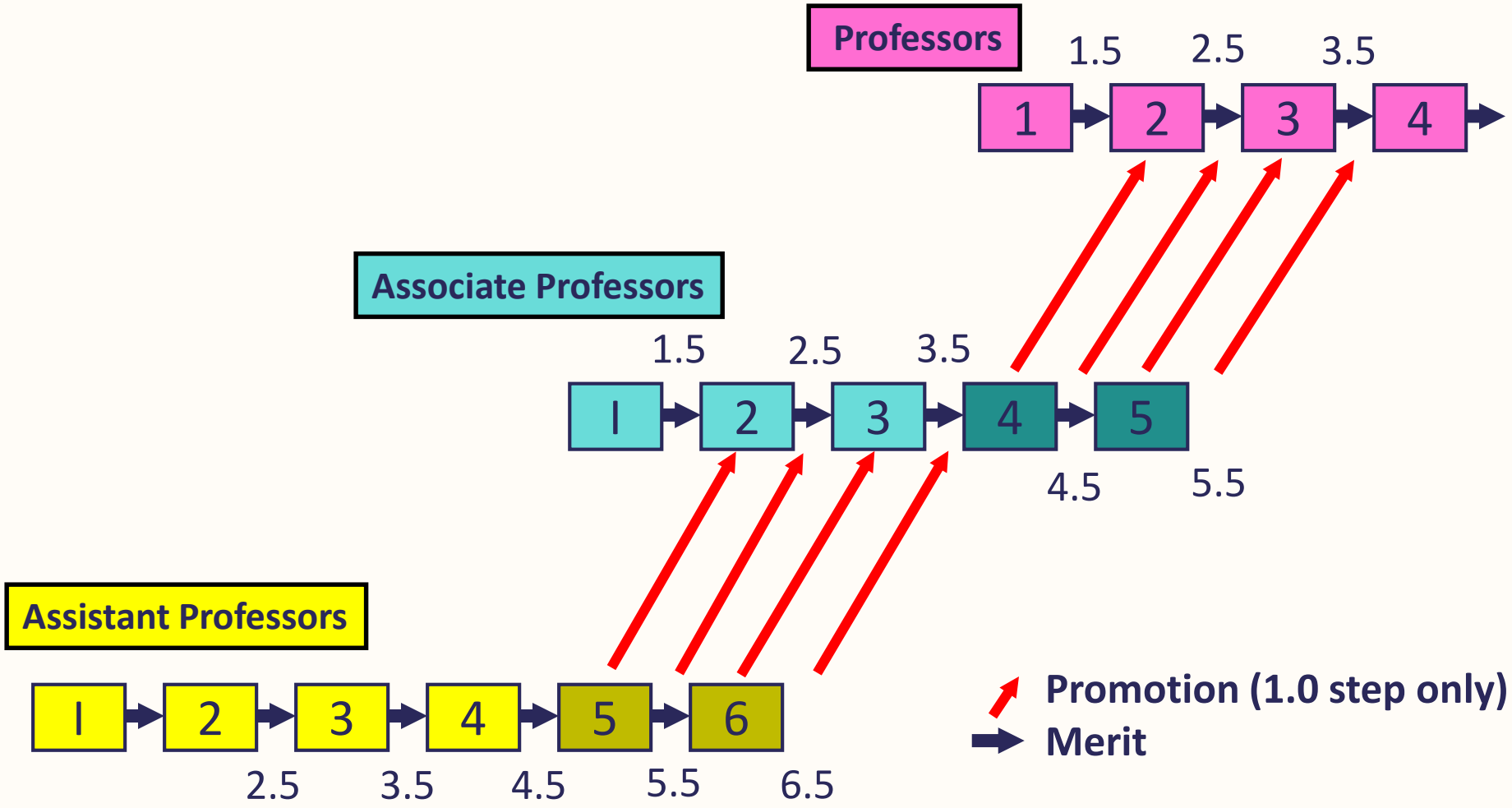
The UC Davis Step Plus system allows faculty to move faster (1.5 or 2.0 steps) based on greater-than-expected performance



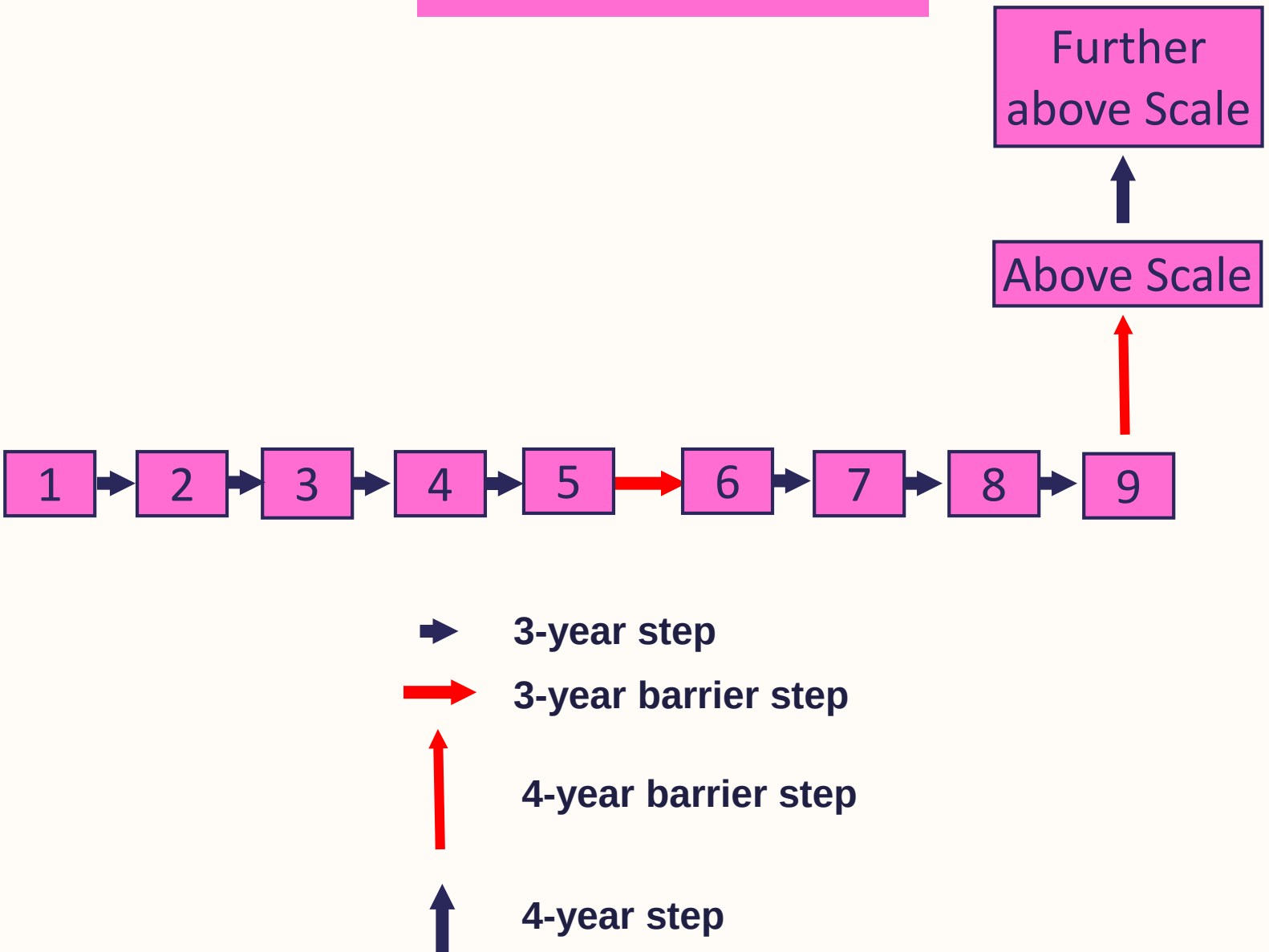
The UC Davis Step Plus system also allows faculty at overlapping steps to laterally promote without loss of time at both ranks/steps (applies to whole and half steps) counting toward next merit action



The UC Davis Step Plus system also allows faculty to accelerate in time only when promoting to Associate or full Professor, and only 1.0 step is allowed.



Professors


Further above Scale
Above Scale
1
2
3
4
5
6
7
8
9
3-year step
3-year barrier step
4-year barrier step
4-year step

A Primer on the UC Davis Step Plus system

- A faculty member is eligible for merit advancement after *normative time* at their current step (2, 3, or 4 years)
  - After deferral, candidate can advance the following year
  - After denial or a 5-year review without advancement, candidate can advance the following year; period of review continues to begin with last advancement.
- Promotion (to Associate Prof., full Prof., "LSOE", "SLSOE") can occur at any time, but promotions requested before normative time has elapsed are eligible for a maximum of one (1.0) step.
- Each merit/promotion dossier will be considered for Step Plus advancement
  - "normative advancement" is 1.0 step
  - Step Plus actions may be 1.5, 2.0, or (***EXTRAORDINARILY*** rare) > 2.0 steps

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Guidelines for advancement under Step Plus: Professor series

- **Regular, 1.0-step advancement**
  - Requires a balanced record, appropriate for rank and step, with evidence of good accomplishments in all areas of review. 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.
- **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.

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Guidelines for advancement under Step Plus: Professor series

- 2.0-step advancement
  - Requires 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.
- > 2.0-step advancement
  - Expected to be extremely rare; requires 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.
- At Above Scale, criteria for acceleration are very stringent

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How do you find out what expectations for normative advancement are?

- Talk to your senior colleagues, your department chair, and to current or former Senate review committee members (CAP, FPC)
- Consider developing a "Plan for Progress" with your Chair
- Criteria and expectations, especially for promotion, vary among disciplines!
  - E.g. the "book disciplines"
  - the arts
  - STEM disciplines
  - Co-authorship, and intellectual/conceptual leadership
- Teaching expectations (and teaching loads) vary among disciplines
- Encourage your department to prepare written guidelines

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Do I defer, request a merit to an overlapping step or go for promotion?... … some advice

- **Discuss criteria for merit advancement with your colleagues and your chair… examine the CVs of colleagues who promoted recently to Full**
  - **In your discipline, what scholarship benchmarks are expected for promotion?**
    - **Another book?**
    - **Completion of a significant body of *peer-reviewed* creative activity or research?**
- **What will arm's-length extramural referees say about your achievements?**
- **What is the evidence for your increasing regional and national profile?**

Do I defer, request a merit to an overlapping step or go for promotion?... … some advice

- **Carefully study your most recent review letters from your department, dean and FPC.**
  - **What guidance have you already received?**
  - **To what extent have you addressed concerns or met goals?**
    - **Documented progress (Associate 4.0) or near completion (Associate 5.0) on a major scholarly or creative project is expected for merit advancement to overlapping steps**
    - **Major limitations in teaching, mentorship and service will also need to be corrected prior to promotion**
- **Prepare a compelling and detailed candidate's statement; in MIV describe your leadership in, and contributions to, collaborative work**

For Promotions or high-level merits:

EXTRAMURAL LETTERS

- The department chair will request extramural evaluations of your record. Some names will come from a list suggested by the candidate (you). Some will come from an *independently selected* list generated by the department.
  - Most letters should be "arm's length"– not from mentees, mentors, collaborators or other close associates.
  - Letters should be requested in Spring quarter, so get your materials together early, including a draft candidate statement.
- Before your dossier goes to the department for a vote, you have the right to see a redacted version of the extramural letters and write a rebuttal letter (this is relatively rare).

CANDIDATE: SERVICE ACTIVITIES

- University service
  - ✓ List by level – i.e., department, college, graduate group/ program, Academic Senate, Administrative, etc.
  - ✓ Indicate role (member, chair) ***and describe your special contributions in the Candidate's Statement***
  - ✓ ***Note: membership in a graduate group/program and professional society is not service***
  - ✓ Briefly state outcome/impact of committee in Candidate's statement
- Other professional service that "counts" and indicates professional reputation and competence
  - ✓ Reviewing grants and manuscripts
  - ✓ Professional society committees, officer positions
  - ✓ Service to government agencies
- Public service and outreach

Efforts to enhance diversity at the UC are considered positively for merits and promotions

UC APM 210-1-d:

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

CANDIDATE: Efforts to support diversity and equal opportunity (3 optional statements in MIV)

1. Teaching

- Modules/exercises to engage under-represented students with the topic
- Methods/practices to foster an inclusive classroom environment
- Curricula that include contributions from different ethnicities/gender
- Writing grants targeting teaching of diverse groups
- Learning activities centered in under-served communities

CANDIDATE: Efforts to support diversity and equal opportunity (3 optional statements in MIV)

2. Service

- Mentoring students from diverse backgrounds
- Calling/encouraging admitted students from diverse backgrounds to attend UC Davis, go on to higher degrees
- Participating in outreach programs focused on under-served or under-represented groups
- Developing grant proposals to enhance diversity-building efforts

CANDIDATE: Efforts to support diversity and equal opportunity (3 optional statements in MIV)

3. Research

- Studies of gender/ethnic differences in _____ (e.g., learning methodology effectiveness, pipeline issues), with efforts to disseminate useful findings
- Research on how to reduce impacts of unconscious bias in reducing diversity
- Research requiring engagement of under-served communities

CANDIDATE:
EXTRAMURAL GRANT ACTIVITY

- List grants completed, active and submitted during this review period
- In Candidate's Statement, indicate your role in multi-investigator grants

Merit advancement expectations

- Although reviewers are expected to exercise reasonable flexibility in assessing any one review period, continued advancement requires good contributions in all areas! Expectations for service increase dramatically after promotion to Full Professor, especially at the high steps
- The Step Plus merit criteria are applied by reviewers to determine whether they recommend > 1.0-step advancement in recognition of ***outstanding*** achievement in one or more areas of review over the period of review.
  - Find merit advancement criteria for all Senate titles at the Step Plus website: http://academicaffairs.ucdavis.edu/policies/step-plus/index.html
  - For Step Plus promotions or merit advancements to barrier steps, attention is paid to achievements since the previous merit review and the degree to which achievements over the longer review period have already been recognized and rewarded

Promotion expectations

- Promotions and merits to barrier steps (Professor Step 6 and Professor Above Scale) are based on your cumulative record since your terminal degree (for promotion to tenure) or since your last promotion (to Associate or full Professor rank)
- Criteria for promotion involve the achievement of ***benchmarks*** in scholarship/creative work, teaching and service, and are separate from those for merit advancement.
  - E.g., have you established your own unique voice as a scholar?
  - Is your work having a demonstrable impact at regional, national or international scales?
- Review UC and UCD APM 210, 220 and 285 (SOE series)
  - Discuss discipline-specific expectations with your chair and colleagues!

Research and scholarly creative activity

- Evidence of a creative, innovative and thematic *program*
  - ✓ Sole, first or corresponding/senior author
  - ✓ Grant applications/funding for projects (PI, co-PI status)
  - ✓ Evidence of growth and leadership beyond doctoral, post-doctoral programs
- Quality/impact of scholarship
  - ✓ Quality of peer-reviewed journals/presses
  - ✓ External peer reviews/letters; citation impact
  - ✓ Reviews and references to exhibits and performances
- Productivity, contributions to jointly authored work
- Indications that productivity can be sustained

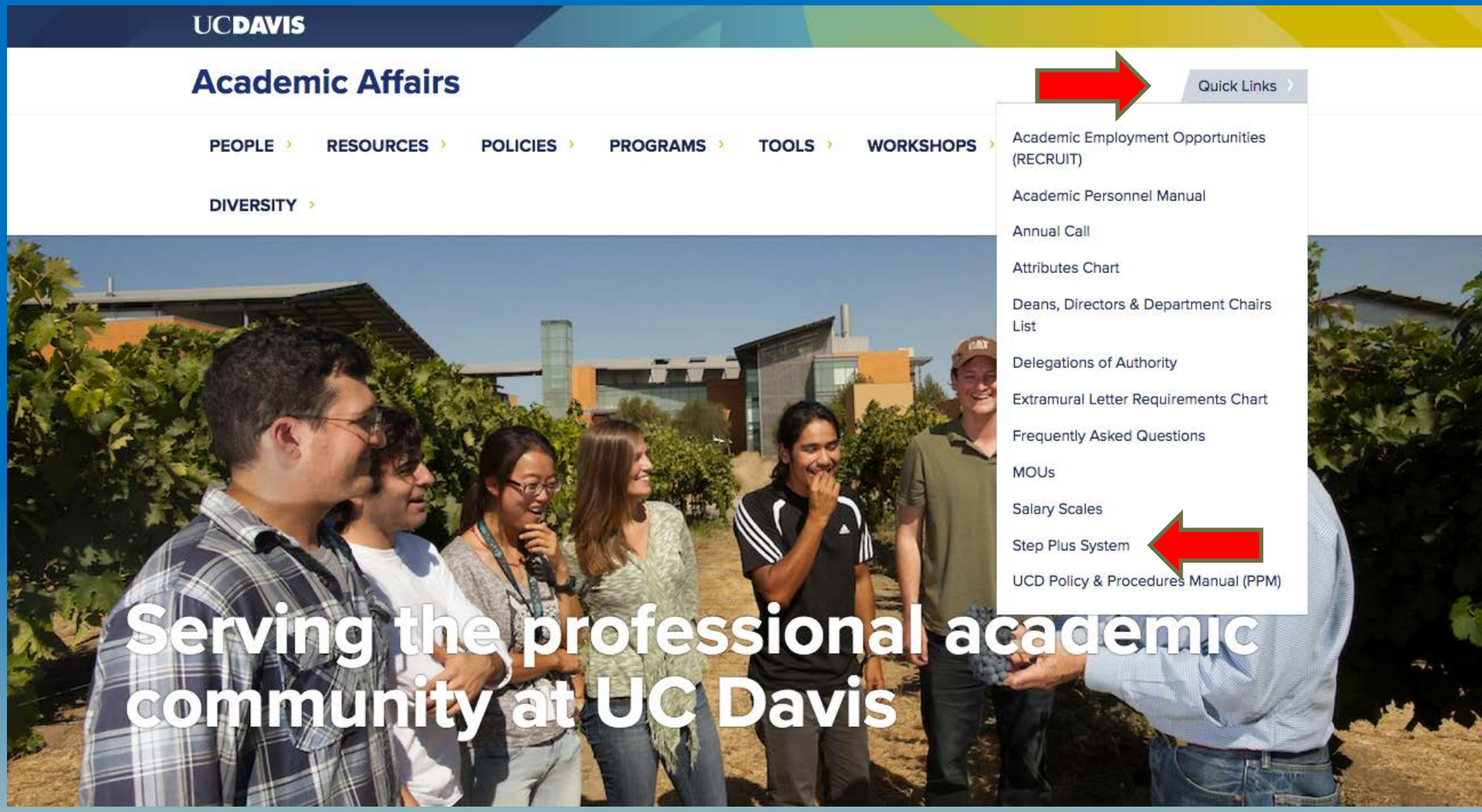
Teaching excellence and educational innovation… especially (but not exclusively) for LSOE-series faculty

- Stress your efforts to make evidence-based improvements in teaching and to assess impacts on student learning
  - Provide evidentiary basis for the changes and "experiments" you've initiated
  - Begin with your own courses
  - For promotion-- extend your work, via collaboration, to other courses, curriculum within your unit or community
- For LPSOE promotion to LSOE, document how your work is moving us towards better teaching and learning
- For LSOE promotion to SLSOE, provide evidence for national leadership and recognition for work on pedagogy [or discipline]

LPSOEs:
Professional achievement and scholarship

- For LPSOE level, publishing on pedagogy is a plus, but is not required; “in-house” studies and innovative trials can suffice
- Professional activity should demonstrate growth as a scholar of teaching and learning
  - Presentations at national meetings focused on pedagogy
  - Textbook writing, manuals for better instruction
  - Consultations with other departments, institutions
  - Participation in learning communities focused on pedagogy
- Grant proposals submitted and funded for teaching innovation, inclusion and other critical goals

More about Step Plus can be found at the Academic Affairs website



Academic Personnel Manual

Table of Contents

Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures are developed by Academic Affairs and issued by the Offices of the Chancellor and Provost and apply only to UCD, which includes all units under the jurisdiction of UC Davis, located in Davis, Sacramento, and all off-site locations.

Throughout these policies, the term "Chancellor" refers to the Chancellor and/or the Chancellor's designee. Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

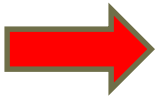
Select a link to view the specific section:

I. General University Policy Regarding Academic Appointees

APM 005	Privileges and Duties of Members of the Faculty

II. Appointment and Promotion

APM 200	General
APM 205	Recall for Academic Appointees
APM 210	Review and Appraisal Committees
APM 220	Professor Series
	UCD-220, Academic Senate Review and Advancement
	Procedure 1, Appraisal, Merit, Promotion, and Preliminary Assessment
	Procedure 2, Deferral Request
	Procedure 3, Joint Appointments
	Procedure 4, Five-Year Review
	Procedure 5, Appeal
	Exhibit A, Consultation and Voting Procedures on Academic Senate Personnel
	Exhibit B, Language Required When Letters of Evaluation are Solicited or Received
	Exhibit C, Guidelines for Preparation of Publication and Other Creative Efforts List
	Exhibit D, Guidelines for Evaluation of Department Chairs (instructions to the deans)
	UCD-220AF, Academic Federation Review and Advancement
	Procedure 1, General Procedure for Merit or Promotion



APM 245	Department Chairpersons
	UCD-245A, Appointment and Review of Department Chairpersons (6/12/95, rev.6/6/13)
	Exhibit A, Duties of Clinical Department Chairpersons
	UCD-245B, Appointment and Review of Graduate Group Chairs (1/16/03)
	Exhibit A, Duties of Graduate Group Chairs
APM 246	Faculty Administrators (100% Time)
APM 260	University Professor
APM 265	Presidential Chairs
APM 270	Professor of (e.g., Psychology) in Residence Series
APM 275	Professor of Clinical (e.g., Medicine) Series
	UCD-275, Professor of Clinical (___) Appointments in the School of Medicine
APM 278	Health Sciences Clinical Professor Series
APM 279	Clinical Professor Series, Volunteer Series
APM 280	Adjunct Professor Series
	UCD-280, Adjunct Professor Series
APM 283	Lecturer and Senior Lecturer
APM 285	Lecturer with Security of Employment Series
	UCD-285, Lecturer with Security of Employment Series
APM 289	Guest Lecturers
APM 290	Regents' Professors and Regents' Lecturers
APM 300	Supervisor of Physical Education Series
APM 310	Professional Research Series
APM 311	Project (e.g., Scientist) Series
APM 320	Agronomist Series
	UCD-320, Appointment and Promotion of Agronomists in the AES Series (11/6/98)
	Exhibit A, Evaluating Split Appointments
APM 330	Specialist Series

Got DATA??? Words to the wise

- Keep track of all professional activities (committees, talks, invitations, etc.)
  - ✓ Set up file folders/spreadsheet for research, teaching, service, professional competence (whatever works for you)
  - ✓ Summarize regularly (quarterly or at least annually) and/or *enter data directly into MIV!*
- Keep your CV updated (publications, exhibits, invited seminars, grants, etc.) – *MIV can generate this automatically for you!*
- Consult with department colleagues, chair, and unit academic personnel analyst for advice on how to enter activities into MIV for YOUR discipline

Responses you can make during review

- Check dossier for accuracy/completeness before chair releases it for department review
  - You can write a rebuttal of redacted external letters with which you disagree (promotions) – due within 10 calendar days from date of receiving copies of redacted extramural letters
- Check penultimate draft of department letter
  - ✓ Factual errors should be corrected
  - ✓ Content should reflect faculty views, and is not negotiable
- If you disagree with statements in the department letter, you can write a rejoinder (due within 10 calendar days from date of receipt of department letter)
- You can go forward for advancement even if the department vote is negative… but is this a good idea?
- Fourth-year Appraisals provide Assistant Professors with input from peers about progress toward tenure promotion

Where does your dossier go after it leaves your digital hands?

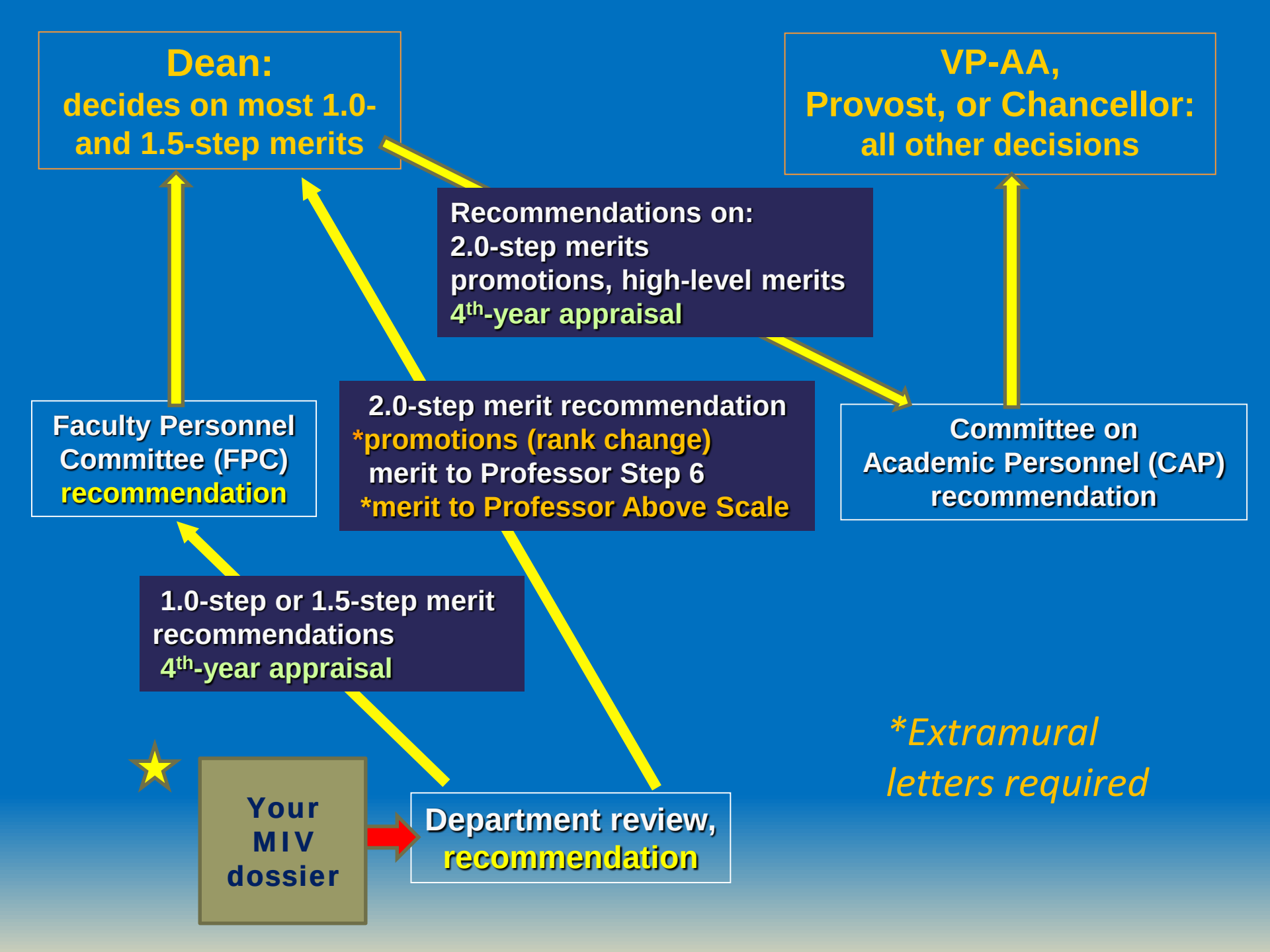
- This depends on whether the action is “redelegated” or “non-redelegated”
- If redelegated, your Dean makes the final decision
- If *not* redelegated, the Vice Provost – Academic Affairs makes the final decision (except for tenure decisions… these are made by the Provost or Chancellor)
- Non-barrier merits recommended for < 2.0 steps are redelegated
- URL for professorial (and other) series delegation of authority: **http://academicaffairs.ucdavis.edu/dofa.cfm**

REDELEGATED ACTIONS

- Candidate (that's you) signs off on the digital dossier before it leaves the department
- Dossier goes from department to Dean's Office
- Most actions: Dean's Office sends dossier to college/school Faculty Personnel Committee (FPC – a subcommittee of CAP – Oversight Committee)
- FPC makes a recommendation to the Dean
- Dean makes final decision
- Appeals go to CAP-Appellate Committee (CAP-AC), and back to Dean for final action

NON-REDELEGATED ACTIONS: promotions, 2.0-step merit recommendations and merits to barrier steps

- Candidate signs off on dossier
- Department sends dossier to Dean's Office
- Dean makes recommendation to Vice Provost – AA
- Vice Provost sends to CAP–Oversight Committee (CAP), which may recommend Ad Hoc review (done rarely)
- CAP recommendations go to Vice Provost for final action (except for tenure)
- If tenure case, Chancellor/Provost decide after consultation with Vice Provost
- Appeals go to CAP-AC; then to Vice Provost for final decision/recommendation (tenure cases go to the Chancellor/Provost)


Dean:
decides on most 1.0- and 1.5-step merits
VP-AA,
Provost, or Chancellor:
all other decisions
Recommendations on:
2.0-step merits
promotions, high-level merits
4th-year appraisal
Faculty Personnel Committee (FPC) recommendation
2.0-step merit recommendation
*promotions (rank change)
merit to Professor Step 6
*merit to Professor Above Scale
Committee on Academic Personnel (CAP) recommendation
1.0-step or 1.5-step merit recommendations
4th-year appraisal
Your MIV dossier
Department review, recommendation
*Extramural letters required

Discussion