Academic Advancement: Dossier Preparation

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Typical Academic Review Process

- Every 2 years until Associate Professor, Step 4.0, you prepare your dossier (every 3 or 4 years thereafter)
- Department colleagues review dossier, vote, and prepare department letter of recommendation for advancement
- Dossier & department letter of recommendation goes to one or more of these entities for further review & recommendations and eventually final decision:
  - Faculty Personnel Committee (FPC) for your College/School
  - Dean of your College/School
  - Committee on Academic Personnel (CAP)
  - VPAA, Provost, Chancellor….

Types & Roles Of Reviewers

- **Academic Senate Review and Recommendations**
  - Department colleagues
  - Your College's Faculty Personnel Committee (FPC)
  - Campus-wide Committee on Academic Personnel (CAP)

- **Administration Review & Decision**
  - Your Dean (if **Redelegated** actions)
  - Vice Provost for Academic Affairs (VPAA) or Provost or Chancellor (for **Non-Redelegated** actions)

Dossier Elements That You Prepare

- Research & Creative work
- Teaching
- Service
- Honors & Awards
- Grants & Contracts
- Candidate Statement

When Will Your Dossier Be Seen By CAP?

- Initial appointment if **above** Assistant Professor, Step 3.0
- Appraisal for tenure
- If department, FPC or Dean recommend a 2.0 step advancement
- Promotion to Associate or Full Professor
- When advancing above Full Professor Step 5.0 (barrier step)
- When advancing to Above Scale (above Professor 9.5)
- Reappointments to Department Chair
- Appointment to Endowed Chairs or Professorships
- Some other less likely occasions

CAP Membership

- Nine full professors representing major campus units
- Appointed by the Committee on Committees, typically serve 3 years (~3 new members/year)

College of Letters & Sciences: Social Sciences

College of Letters & Sciences: Mathematics & Physical Science

College of Letters and Sciences: Humanities Arts & Culture

College of Biological Sciences

College of Ag & Environmental Sciences

Schools of Law, Graduate Management, Education, Nursing

School of Medicine

School of Veterinary Medicine

College of Engineering

Research & Creative Work: Expectations

- ✓ **Evidence of continued and impactful engagement is essential for advancement and promotion**
- ✓ **Originality, creativity, scope, and impact of work**
- ✓ Development of **thematic focused program** that demonstrates your **intellectual voice**
- ✓ Expectations for **quantity** vary with field/department but **quality** needs some form of **peer assessment** (e.g., quality of journals, book publishers, conferences; extramural letters; reviews; impact factors, etc)
- ✓ Holistic approach taken by reviewers: no single factor makes or breaks a case

Research & Creative Work: Items In Dossier

- ✓ **Publication list** (articles, chapters, books, patents, etc.)
- ✓ **Creative activities** (art, compositions, performances, etc.)
- ✓ **Contributions to jointly authored work:** very important page particularly if you are not the first or corresponding author. Describe your role/contribution for each paper. Include any mentoring role.
- ✓ **Grants & contracts** (award period, amount, funding agency, **role**) Money is not a criteria for advancement but demonstrating that your research is sustainable and impactful is; external funding can assist and/or indicate sustainability/impactfulness
- ✓ **Presentations & invited talks related to your research**
- ✓ **Honors & awards related to your research or standing in the field**
- ✓ **Candidate statement**

Teaching: Expectations & Items In Dossier

- ✓ **Evidence of high-quality effective teaching is essential for advancement/promotion**
- ✓ **Assessment of teaching effectiveness**
  - Assessment of teaching from **students;** read your evaluations after each quarter so that you can make adjustments if appropriate).
  - Assessment of teaching from **peers;** both formal peer observation required for promotion & informal evaluations that occur via colleagues comments in department letter.
  - **Self** assessment of teaching – reflect on your effectiveness
- ✓ **Teaching load** (varies with department)
- ✓ **Teaching, advising, curricular development**
  - Courses, materials, approaches or curriculum you developed
  - Mentoring, co-authoring with, and graduating students
- ✓ **Grants & contracts related to education** (e.g., NSF CAREER award has education component)
- ✓ **Honors & awards related to education**
- ✓ **Candidate statement** (self-assessment)

Service: Expectations & Items in Dossier

- ✓ **Your role** in University governance and service to your department, college/school, campus, profession, and public
- ✓ **Minimal expectations pre-tenure** (often focused on department & professional service via manuscript/proposal reviews). Ok to decline if service is hindering development of research/teaching
- ✓ **Expectations for breadth, depth & leadership increase with rank and step**
- ✓ **List of service** (department, college, campus & professional)
  - Dates of service with emphasis on period under review
  - Specify role (e.g., chair, member, participant)
  - For manuscript/proposal reviews, provide number of items reviewed for each entity in each year
- ✓ **Honors & awards for service**
- ✓ **Candidate statement:** Provides opportunity to describe workload of service activity, your unique contribution & impact. Membership alone is not service.

Candidate Statement

- ✓ Optional but highly recommended
- ✓ Maximum of five pages, used to describe your contributions
- ✓ Start with summarizing the highlights from the review period for research, teaching and service before going into detail for each area. Not all of your colleagues will read all five pages☺
- ✓ Stay focused on the review period
- ✓ If a promotion, consider separating out key contributions that occurred after your last review from key contributions that occurred prior to the last review. This separation is useful for Step Plus actions
- ✓ Optional one additional page for COVID-19 impact statement
- ✓ CAP members do read your statement!

Why A Candidate Statement?

- A focused, clear and succinct statement can convey important insights into your work & contributions
- Focus on the quality and significance of your work
  - Why is it important? Why is it innovative? What is the impact?
  - Identify your distinctive role in jointly-authored work
- Be forthright about your strengths and weaknesses
  - And the steps that you are taking to address the latter
- Mention any extenuating circumstances

COVID-19 Impact Statement (Optional)

- Optional extra page allowed in candidate's statement
- Describe the impacts of the pandemic on your research, teaching, or service
- Describe opportunities you took advantage of during the pandemic (new activities, innovations, challenges overcome)
- Ideally discuss those impacts relative to your previous record
- No need to provide personal information

Possible Recommendations/Actions

- **Appraisals:** positive, guarded, or negative
- **Merit advancements:** 1.0 step or more than 1.0 step
- **Promotions:** 1.0 step or more than 1.0 step
- **Accelerated promotions:** 1.0 step only

Appraisals Are Often The First Time Your Dossier Goes To CAP For A Review

- An appraisal of your teaching, research/creative activity and service is performed in your **fourth year or sooner**.
- Your dossier is reviewed by the department, FPC, the Dean, CAP and the VPAA after which an appraisal letter is sent with reviewers' feedback on performance in each area.
- A **positive** appraisal indicates that continuation of the trajectory is likely to result in promotion;
- A **guarded** appraisal indicates that there are positive aspects of the record but that certain elements of the record – either incomplete, unknown in outcome, or deficient and requiring attention – yield concerns about the prospects of promotion;
- A **negative** appraisal indicates that the present trajectory does not meet Academic Personnel Manual standards and would likely result in a recommendation against promotion.

Step Plus Guidelines For 1.0-step Advancement

- A 1.0-step advancement requires a balanced record, appropriate for rank and step, with evidence of a **meritorious** record of accomplishments in **all areas of review** (research/scholarly activity, teaching, and service*)
- A 1.0-step action is a **substantial & commendable accomplishment**
- Expectations increase with rank and step
- Indicates that colleagues value and respect your accomplishments in research, teaching and service

*and professional competence for some titles

Step Plus Guidelines For Additional 0.5-steps

A 1.5-step advancement requires a **meritorious record in all areas** of review with **outstanding** achievement in **at least one** area (scholarly and creative activity, teaching, university and public service, and/or *professional competence and activities (*the latter is only for some titles)).

A 2.0-step advancement requires a **meritorious record in all areas** of review, with **outstanding** achievement in **at least two areas**.

For promotions, the record will be evaluated for the **entire** review period for extra 0.5-steps. All areas must be deemed meritorious (based on rank and step) to be considered for extra 0.5-steps in any area. Activities that have been previously awarded extra 0.5-steps will not be considered for additional 0.5 steps.

A Few Final Notes About Your Dossier

- DEI statement (optional but might be a basis for additional 0.5-step in research, teaching or service if outstanding DEI contribution in one or more of those areas)
- Extramural letters (only for promotions and Above Scale)
- Review periods typically begin on July 1 & end June 30, with some extensions for late accepted publications
- Ensure information is current, accurate and complete
- Work closely with department chair and staff

Resources

- Consult with senior colleagues, including faculty with experience on FPC or CAP
- Read the evaluation criteria in APM 210 and 220
- Visit the Academic Affairs website

http://academicaffairs.ucdavis.edu

Questions?

THANK YOU FOR YOUR TIME!

DOSSIER PREPARATION

FOR MERIT AND PROMOTION ACTIONS

MAY 18, 2022

Philip Kass
Office of Academic Affairs

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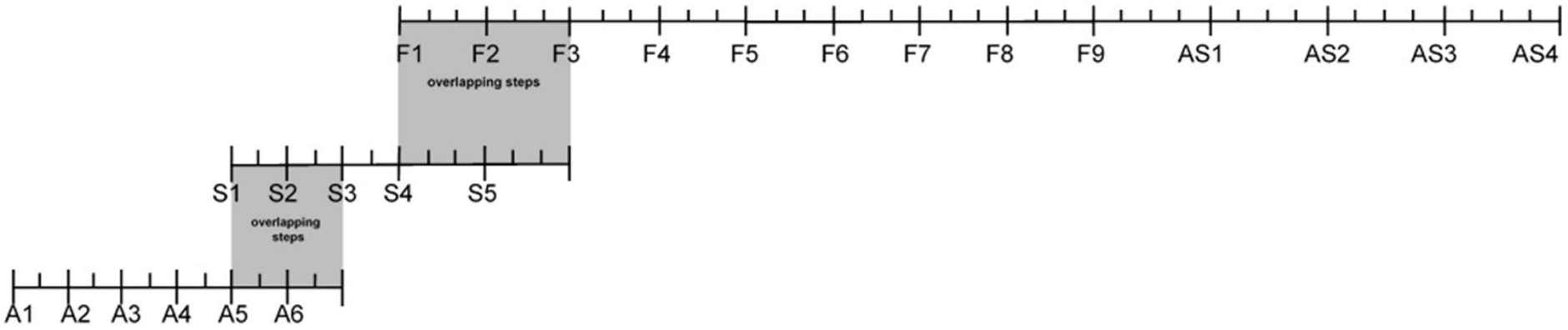
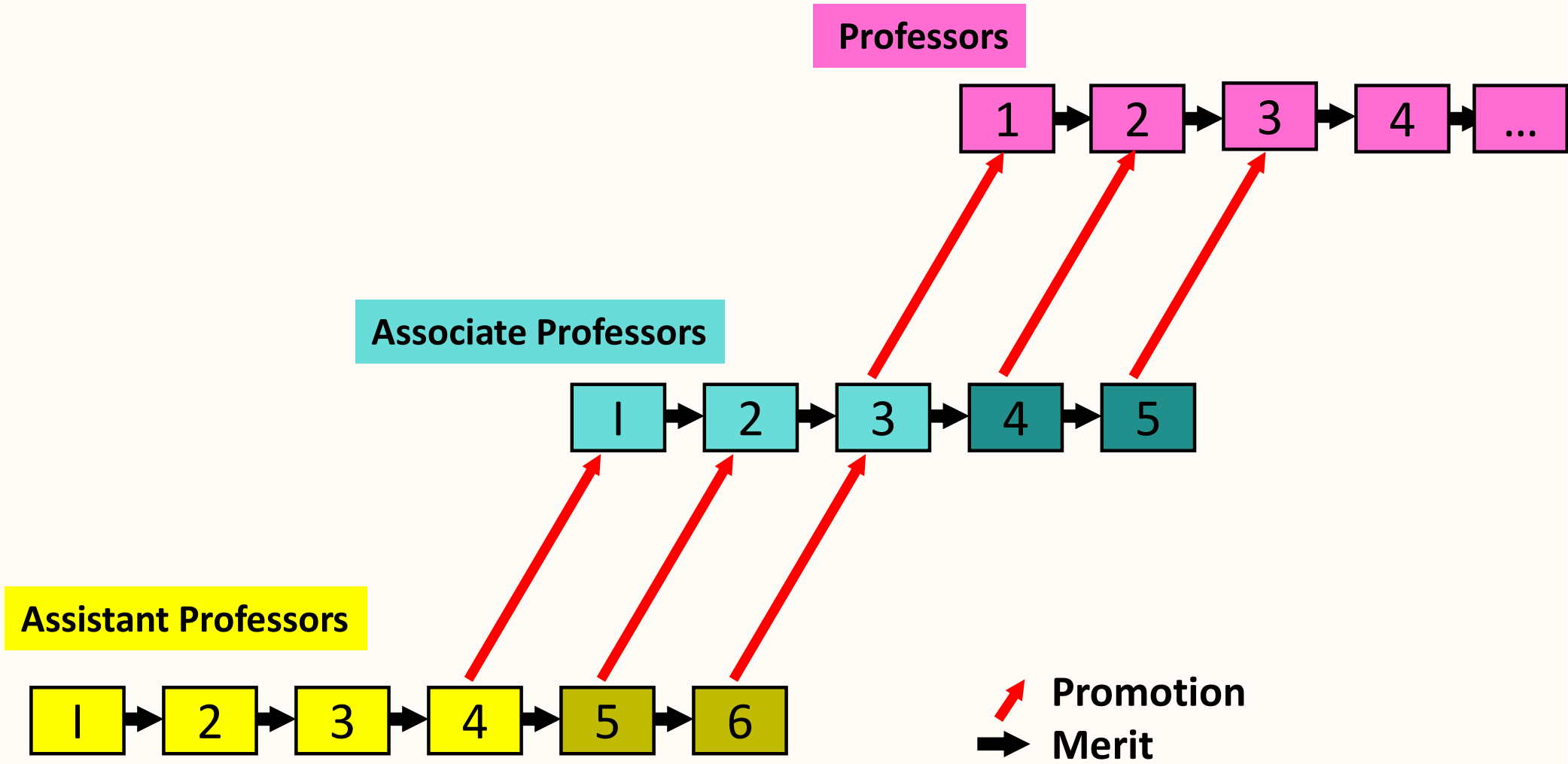


Each *line* represents a *rank* of Professor: A = Assistant; S = Associate; F= Full; AS = Above Scale
Each *digit* represents a *step* at that rank: for example, A3 = Assistant Professor step 3
Each *small tick* represents a year and each *large tick* represents a merit review, while moving from one rank to the next is a promotion. For Assistant and Associate Professors (up to Associate step 4), reviews normally occur every two years; for Associate step 4 through Full step 8, reviews normally occur every three years; for advancement from Full step 9 to Above Scale and Further Above Scale steps, reviews occur at four year intervals at the earliest.

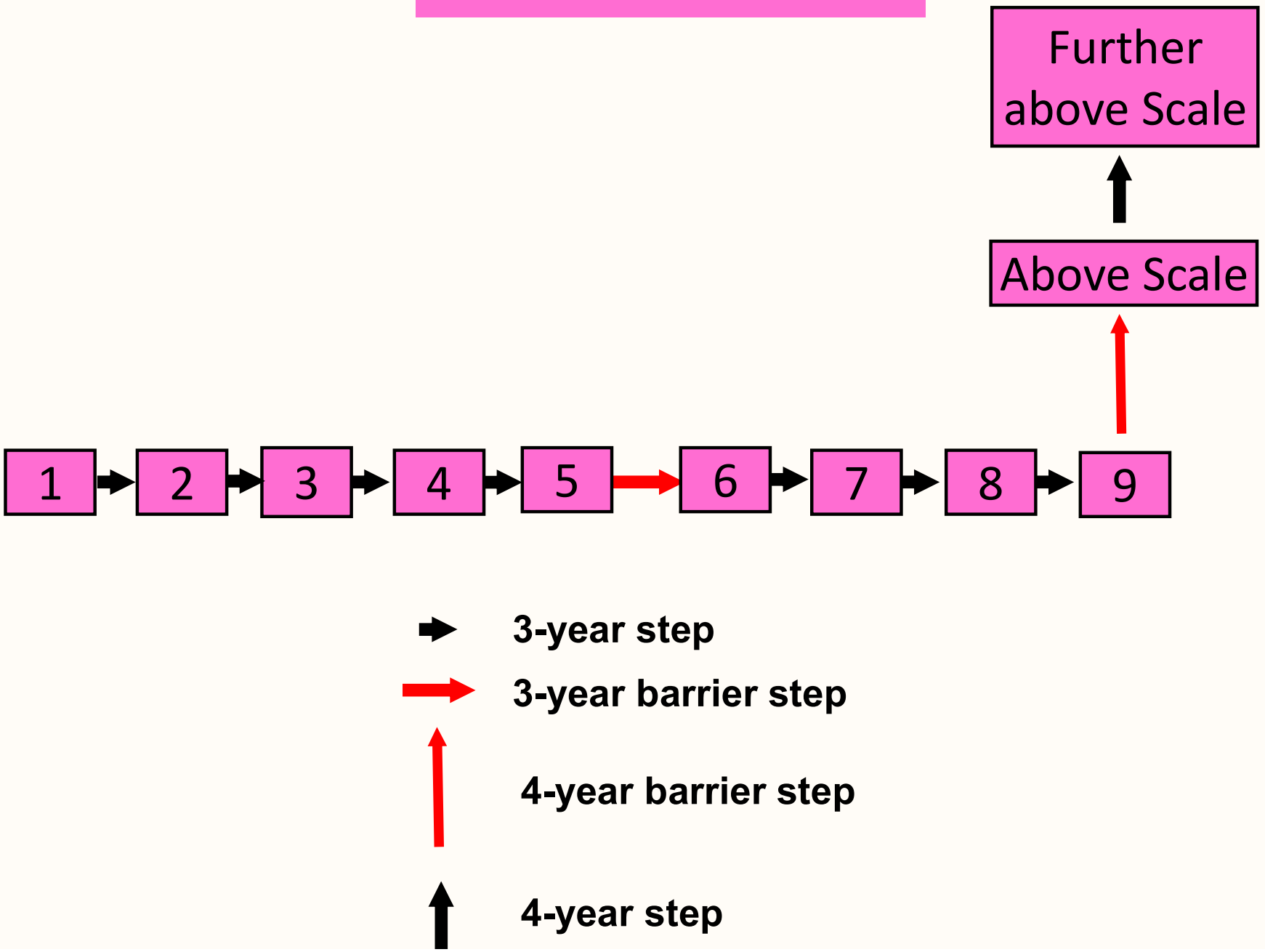
A candidate may defer or postpone a merit or promotion review, and actions not deferred can receive an advancement of 0.0, 1.0, 1.5 or 2.0 steps under the UC Davis Step Plus system. At Professor step 5 and above an individual may choose to remain at step without deferrals, but all individuals without any merit or promotion review after five years will undergo a 5-year review.

The shaded areas in the diagram represent *overlapping steps*: Assistant steps 5 and 6 (A5, A6) overlap with Associate steps 1 and 2 (S1, S2), and Associate steps 4 and 5 (A4, A5) overlap with Full steps 1 and 2 (F1, F2). Overlapping steps at a lower rank earn $100 less than the equivalent step at a higher rank, and they allow for extra time if needed and if permitted at the lower rank while a candidate prepares for promotion to the higher rank.

The *most simplistic* progression up the UC Academic Ladder (not accounting for Step Plus)



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

UC RANKS & STEPS WITHIN RANKS: "NORMATIVE TIME" AT EACH STEP FOR LADDER RANK AND LSOE FACULTY

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/indefinite

Professor (senior levels)

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

Professor Above Scale

4 yrs/indefinite

UC RANKS & STEPS WITHIN RANKS: "NORMATIVE TIME" AT EACH STEP FOR LADDER RANK AND LSOE FACULTY

Important!

All Academic Senate faculty are required to advance in rank and step until they reach Professor, Step 5.

Faculty may not remain as Associate Professors indefinitely.

Professor

Step 5 3 yrs/indefinite

Professor (senior levels)

Step 6 3 yrs/indefinite

Step 7 3 yrs/indefinite

Step 8 3 yrs/indefinite

Step 9 4 yrs/indefinite

Professor Above Scale

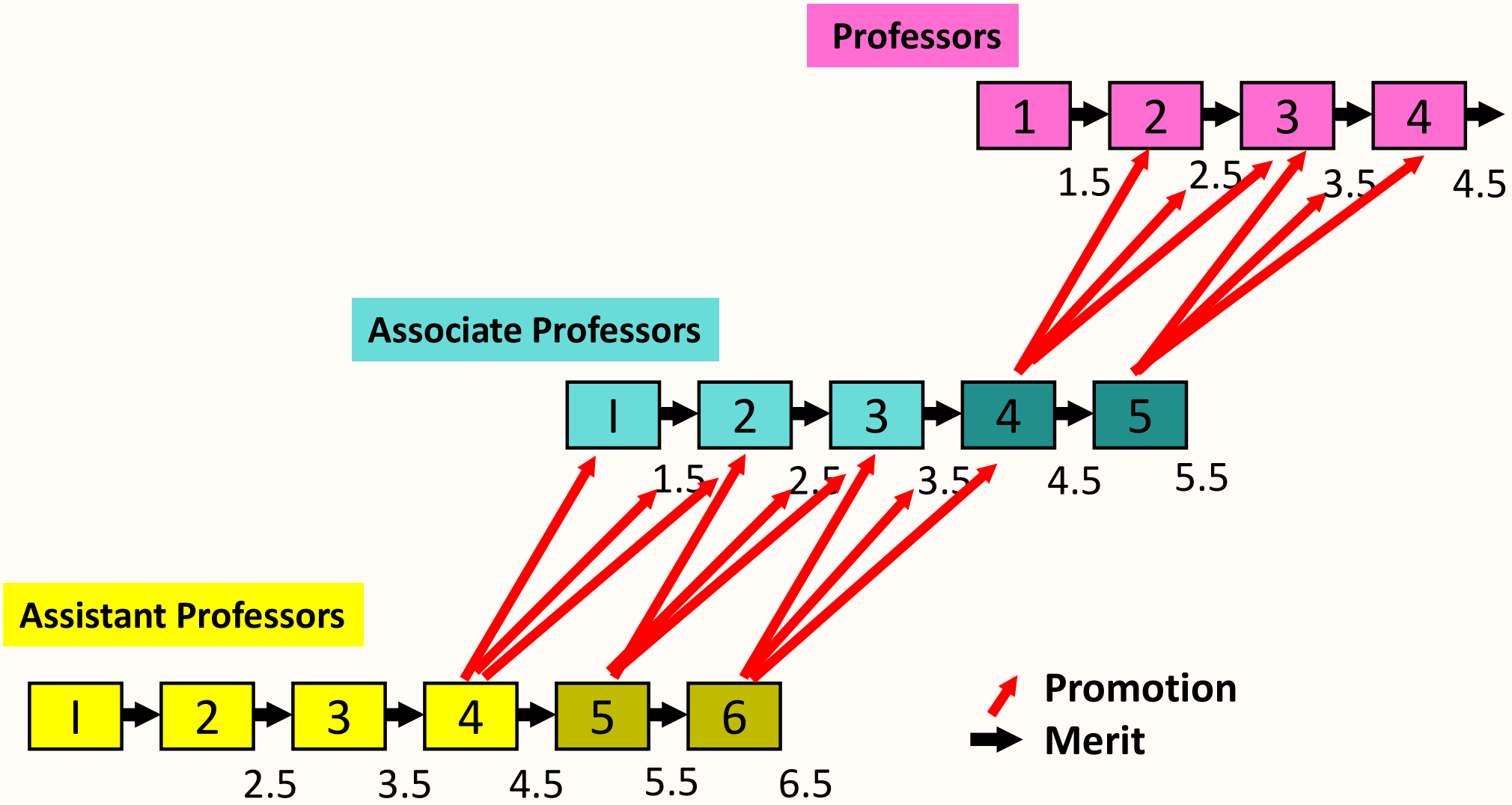
4 yrs/indefinite

STEP PLUS ADVANCEMENTS!

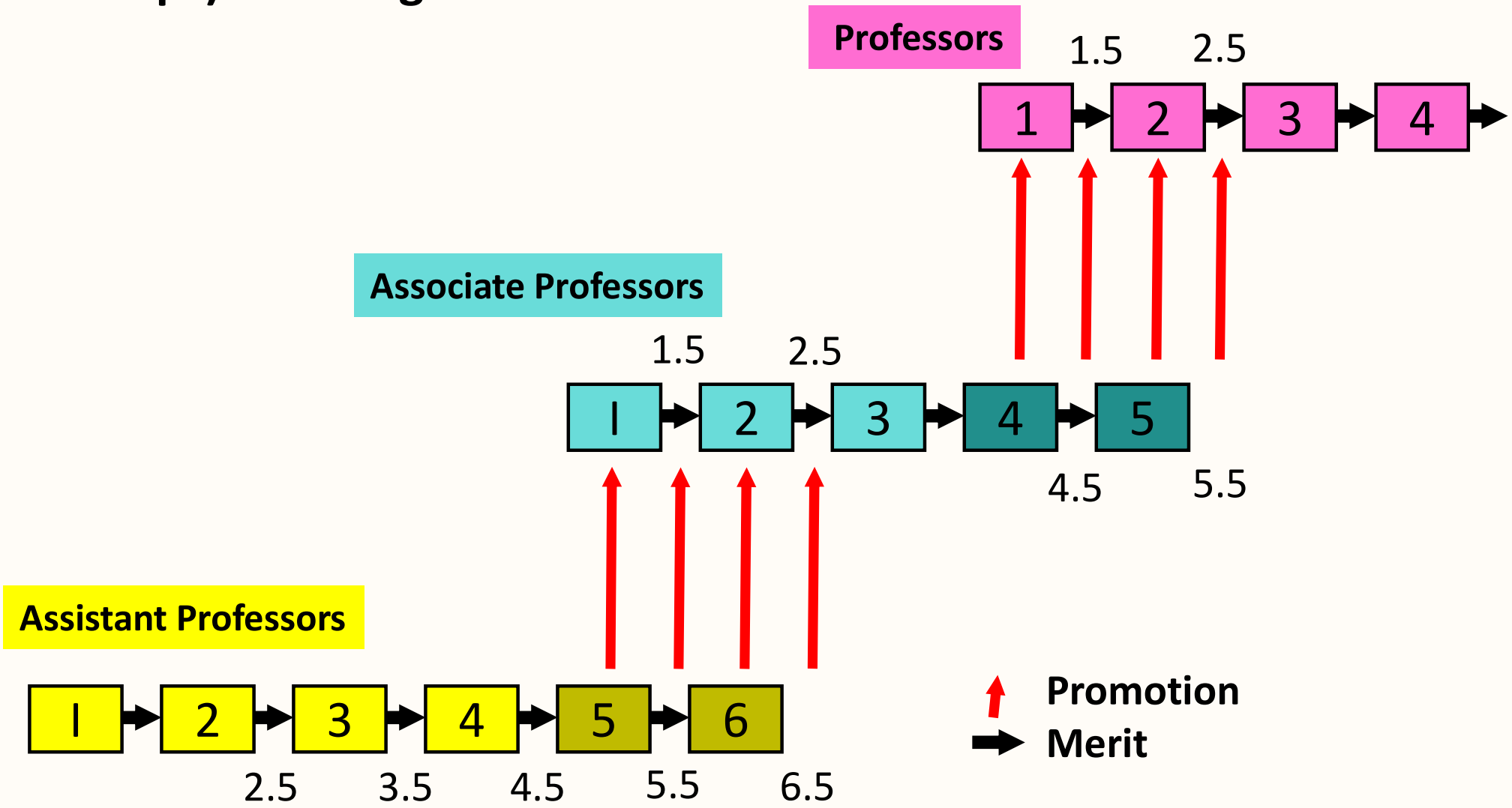
“Clear? Huh! Why a four-year-old child could understand this report!

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

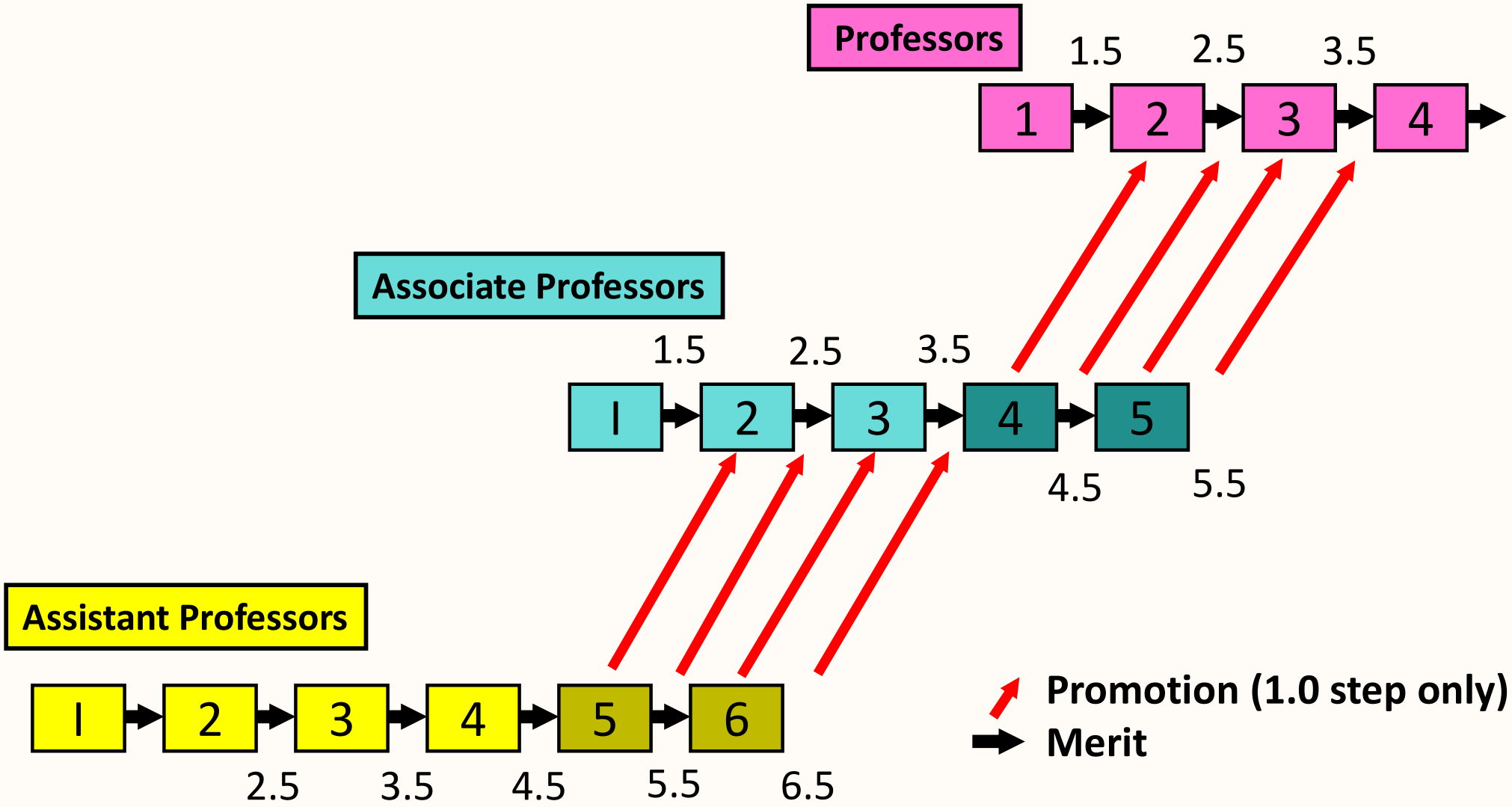
The UC Davis Step Plus system allows faculty to move faster (1.5 or 2.0 steps) based on greater-than-expected performance



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 when promoting to Associate or full Professor, but only 1.0 step is allowed. No accelerations in time for high-level merits to Step 6 or Above Scale.



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 is eligible for advancement the following year
  - After denial or a 5-year review without advancement, candidate is eligible for advancement the following year; period of review continues to begin with last successful advancement.
- Promotion (to Associate Prof., full Prof., "LSOE", "SLSOE") can occur before normative time has elapsed, 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*** rarely) > 2.0 steps

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The three legs of the academic "stool": foundations for performance evaluation (APM 210)

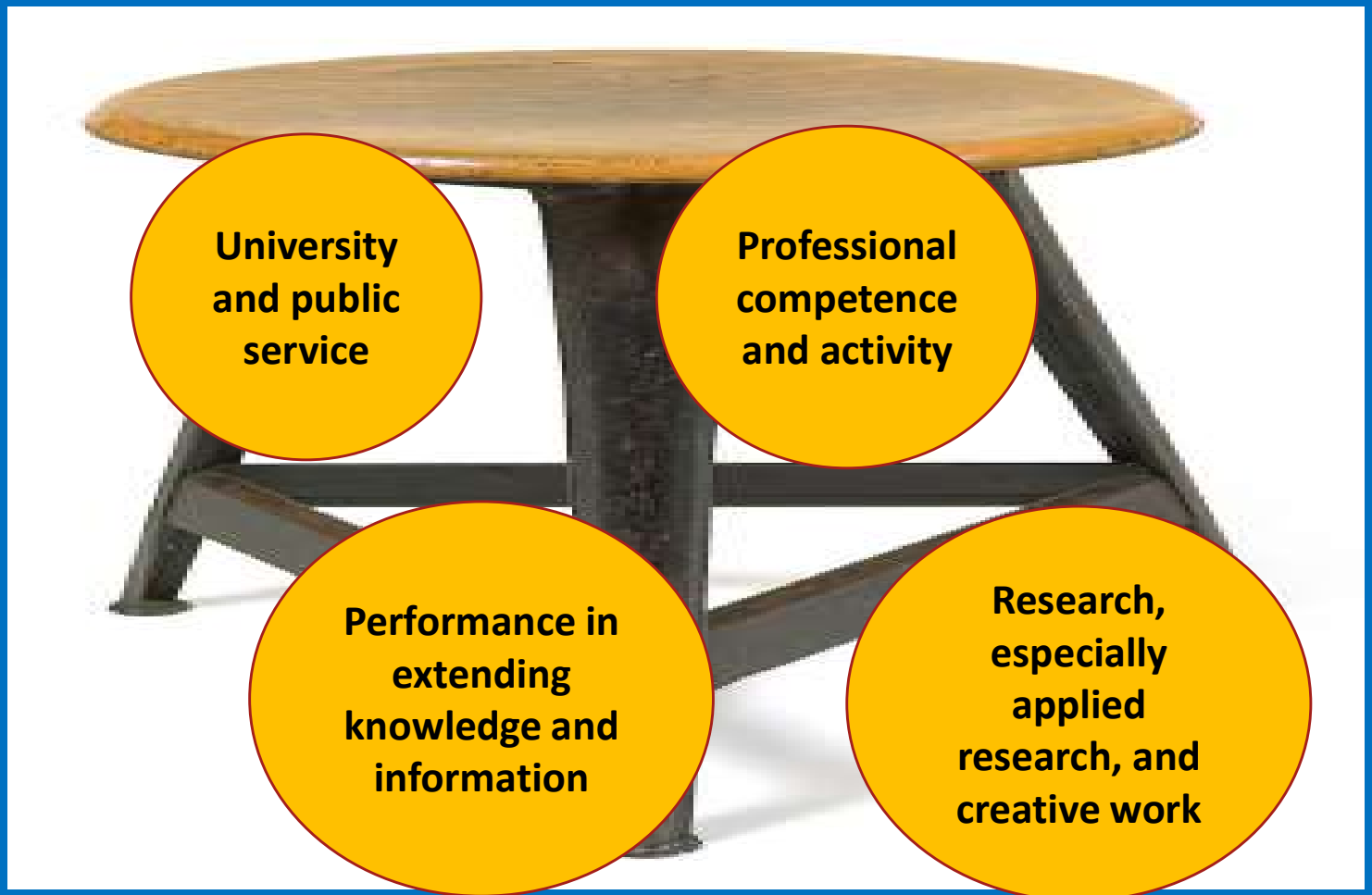
Ladder-rank faculty (APM 210/220)*

* Also professional competence and activity in certain professional school settings

L/P/SOE faculty (APM 210/285)

The four legs of the Specialists in Cooperative Extension "stool":

foundations for performance evaluation (APM 334)



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

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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 extramural 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

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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**

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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

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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)

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DISCUSSION (MORE DETAILED INFORMATION TO FOLLOW)

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*

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 **meritorious 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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Guidelines for advancement under Step Plus: LPSOE/LSOE/SLSOE Senate faculty

- **Regular, 1.0-step advancement**
  - Requires a **balanced record**, with evidence of **meritorious 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**
  - In addition to excellent teaching, requires a **strong record** with **outstanding** achievement in at least one area of review across teaching excellence and educational innovation, professional [and/or scholarly] achievement and activity, and university and public service.

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Guidelines for advancement under Step Plus:
LPSOE/LSOE/SLSOE Senate faculty

- 2.0-step advancement
  - In addition to excellent teaching, requires a strong record in all three areas of review, with outstanding performance in at least two areas.
- > 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 teaching excellence and educational innovation).
- At Above Scale (available for Senior Lecturers SOE only), the criteria for acceleration are very stringent

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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Your dossier establishes the case for a particular advancement outcome

✓ Good, strong contributions that meet expectations for normal advancement

✗ Substantial weaknesses, contributions well below expectations

★ Outstanding performance, contributions *well above* expectations

Possibly no promotion or no merit

1.0 step

1.5 steps

2.0 steps

Which department members vote on your merit or promotion dossier?

- Only Senate faculty can vote on Senate personnel actions.
  - Most common series: Professor (also called "ladder-rank faculty"), Lecturer __SOE, Professor of Clinical ___, Professor in Residence
- Each department has specific voting rules that determine:
  - Whether junior faculty vote on appointments or advancements at higher ranks
  - Whether *non-ladder rank* Senate faculty (e.g. LSOE series, Clin ___, etc. can vote on *ladder rank* Senate personnel actions
  - Whether emeriti can vote (uncommon)
- Review your department's voting rules with your Chair
- Your dossier communicates your record to your voters!!!

MERIT ACTIONS:

MAJOR COMPONENTS OF SUBMITTED DOSSIER

- Candidate's statement (teaching, mentoring, research, service)
- Optional one-page statement on COVID-related impacts
- Courses taught, student evaluation scores and comments
- Teaching, advising and curriculum development
- Mentoring record
- Statement of Contributions to Diversity, Equity, and Inclusion
- Service activities (department, college, professional, public)
- Publications or creative works of various types
- **Contributions to jointly authored works!!!**
- Extramural support

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PROMOTIONS: *ADDITIONAL* COMPONENTS OF DOSSIER

- Letters from external referees
- Peer teaching evaluation
- Summary of record since terminal degree (for tenure promotion) or since last promotion, with achievements since last review identified
  - Dossier review by the Committee on Academic Personnel – Oversight Subcommittee (CAP) and the VP-AA will emphasize activities/achievements since the most recent review, while also considering the longer review period
  - If more than one step is being requested for outstanding work in one or more areas, *reviewers will consider whether that work has previously been awarded*

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STEP PLUS HAS COMPLICATED REVIEWS WITHIN 2 STEPS OF A PROMOTION OF HIGH-LEVEL MERIT BARRIER STEP

- A dossier submitted for promotion may instead be considered for merit advancement to an overlapping step if a key criterion for promotion has not been met
- A dossier submitted for a merit may gain support from the department, dean or FPC for promotion or for advancement past a high-level barrier step (Professor Step 6 or Professor Above Scale); if so, the dossier will need to be updated and a new review conducted
- If >1.0 step is being requested for outstanding work in one or more areas, reviewers will consider whether that work has previously been awarded

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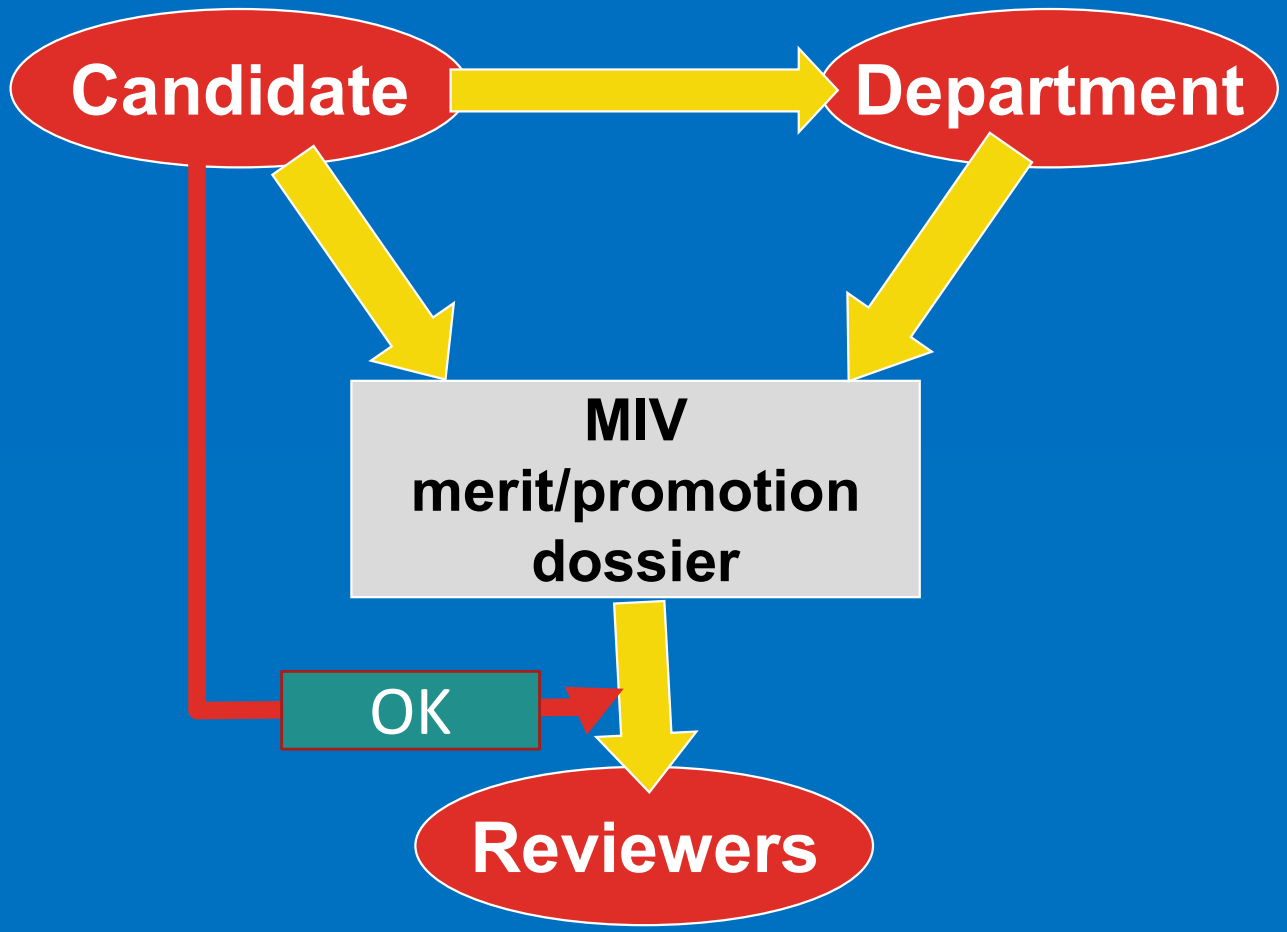
MyInfoVault (MIV): UCD's digital dossier management system



- http://myinfovault.ucdavis.edu/

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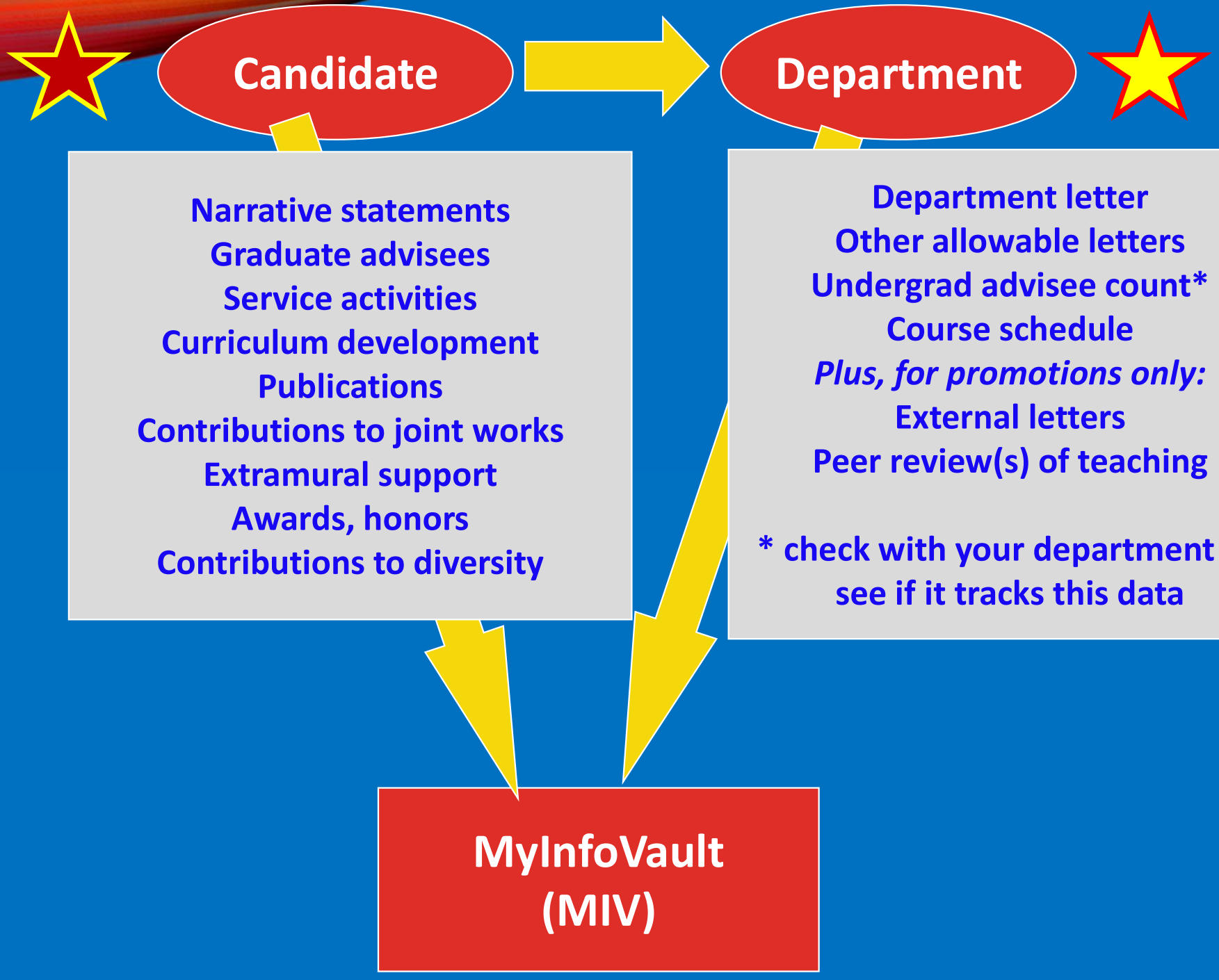
Candidate
Department
Narrative statements
Graduate advisees
Service activities
Curriculum development
Publications
Contributions to joint works
Extramural support
Awards, honors
Contributions to diversity
Department letter
Other allowable letters
Undergrad advisee count*
Course schedule
Plus, for promotions only:
External letters
Peer review(s) of teaching
* check with your department to see if it tracks this data
MyInfoVault (MIV)

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KEY COMPONENTS OF DEPARTMENT LETTER

- Nature & extent of consultation with department faculty & faculty vote
- *Evaluation* of teaching effectiveness, comments on student/peer evaluations
- *Analysis* of quality, productivity and impact of research/creative activities
- *Evaluation* of service contributions
- *Evaluation* of professional competence
- *Evaluation* of contributions to diversity

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DEPARTMENT:

DOCUMENTATION OF TEACHING

- Official list of all courses taught
- *Remember to report guest lectures!*
- Student evaluations:
  - ✓ Complete set of original evaluations from 2 courses (preferably recent courses and one with high enrollment). *Note: this may change next year to include all courses*
  - ✓ Numerical summaries for all courses (department letter discusses all courses)
- Peer evaluation letter (promotions and optional for other advancements)
- Numbers of undergraduate student advisees, special advising and mentoring

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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).

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COVID19 Contribution Matrix Addendum for CV

Vineet Arora MD MAPP, Mark Shapiro MD, Avital O'Glasser MD FACP FHM, Charlie Wray DO MS, Shikha Jain MD FACP

Category	Description	Potential Items to Include
Clinical	Direct clinical contributions to patient care during Covid-19 pandemic	• Frontline care for Covid + or PUI+ or other (list setting ie ICU, ER, Clinic, Hospital tc) for (add time frame i..e x weeks) • Redeployed to serve in (use format above but also add what capacity and any training hours needed for redeployment) • Telehealth for x patients per week (include any preparation for telehealth)
Research	Status of research and research related output ongoing during Covid-19 pandemic	Covid-affected • Halted (study name) due to shelter-in-place orders (add any special communications required to funders i.e. NIH etc) • Conference presentations that were cancelled or unable to attend due to Covid Ongoing and not affected by Covid • Study name, any funding, and progress New Covid-related • Submission of a grant (add title and whether it is focused on pandemic or related topic) • Collaboration on a new study (specify role, title and whether launched or in preparation) • Author of paper (full citation) that is covid-related and status (in preparation, submitted, pre-print?) New Covid-unrelated • New studies started
Education	Teaching and preparation for teaching during Covid-19 pandemic	Covid-affected • Courses /lectures/conference teaching that affected and how (transition to virtual learning for course- include # hours and any learning/testing required) Ongoing and not affected by Covid • Highlight course hours and # learners New Covid-related New Covid-unrelated
Service	Volunteer service related to Covid-19	Examples (to name a few) • PPE donations, making, etc • Mobilizing community donations (cloth masks) • Food /shelter for homeless or others

CONSIDERATIONS FOR COVID OPPORTUNITIES AND IMPACT STATEMENT:

THE WOMEN IN MEDICINE SUMMIT AND EXPLORE THE SPACE IN COLLABORATION WITH SEVERAL PHYSICIAN LEADERS HAVE CREATED A COVID19 CONTRIBUTION MATRIX FOR YOUR CURRICULUM VITAE. YOUR DOSSIER SHOULD REFLECT WHAT YOU HAVE ACCOMPLISHED, AND ALSO CAPTURE THE OPPORTUNITIES IMPACTED DUE TO THE PANDEMIC. HTTPS://SHIKHAJAINMD.COM/HOME/RESEARCH/

FROM THE UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW) AND THE UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION, DIVERSITY, AND EQUITY (UCAADE): JANUARY 26, 2021

"If "COVID impact statements" are to be encouraged and used during merit and promotion review, then **faculty should not feel pressured to divulge personal details or circumstances** in their files. It is strongly preferred that "COVID impact statements" provide merely a detailed accounting of **lost opportunities in the professional domain** (e.g., weeks of lost productivity due to campus closures, grants not submitted, manuscript submissions delayed; students not graduated; performances cancelled, etc.), rather than a description of personal impacts. **In other words, faculty should not be required to describe personal details and circumstances, such as family or personal illnesses or demands of dependent care duties, etc., in their files). Excluding such personal details could help mitigate concerns over implicit bias, but may not eliminate them completely."**

CANDIDATE:

DESCRIPTION OF TEACHING ACTIVITIES

- Statement of teaching philosophy (part of Candidate's Statement)

- Description of curriculum and pedagogical development activities
  - New courses developed
  - New assignments, e.g. to build teamwork, critical thinking skills
  - Active learning innovation and pedagogical tools
  - Application of new technology
  - Advances in assessing learning

- Special advising activities

- Teaching activities that make contributions to diversity, principles of community
- Possible links to syllabi, lecture slides/handouts, homework assignments, etc.

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CANDIDATE:

DESCRIPTION OF MENTORING ACTIVITIES

- Summary of graduate / undergraduate mentoring
  - ✓ Students advised
  - ✓ Your advising capacity (committee chair, member)
  - ✓ Current status of former graduate students
  - ✓ In Candidate's Statement – describe special achievements, unusual advising methods or activities
- In Candidate's Statement and in MIV, describe other special advising, training and mentorship, e.g. of rotation students, post-doctoral or international scholars
- Report advising and mentorship activities that contribute to diversity and principles of community

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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, editorial board memberships (include web links)
  - ✓ Service to government agencies
- Public service and outreach

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CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 1

- Narrative in Candidate's Statement
  - ✓ Be concise: *total* statement should be ≤ 5 pages!!!
  - ✓ *Note: you are allowed one additional page devoted strictly to COVID-related impacts on your academic record*
  - ✓ Summarize major published findings and refer to published or in-press works by number (in MIV record)
  - ✓ Briefly recap promising new findings
  - ✓ Indicate new directions, challenges and goals
  - ✓ Remember – your statement should be understandable to non-specialists
  - ✓ Consider including citation statistics; e.g. from Google Scholar Citations

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CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 2

- Indicate all publications & created works that occurred during the review period
  - ✓ Peer-reviewed publications of broad distribution are most critical
  - ✓ Use MyInfoVault annotations to indicate if refereed, especially important, etc.
  - ✓ Publications of other types – books, book chapters, limited distribution, technical reports, reviews, etc.
  - ✓ Other created works include: patents, exhibits, performances, etc.
- In-press publications *may* be included *with an acceptance letter or galley proof dated no later than September 30 of the year of review. One exception: if you are not recommended for advancement, you can include publications up to December 31 of the year of review.*
- Submitted papers, chapters or book contracts do *not* count as evidence of publication
- Work in progress, especially on books and other major works, may be given some weight in merit actions, but are ***not*** generally considered for promotion

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CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 3

- Describe contributions to jointly authored works in MIV
  - ✓ This is extremely important to do well
  - ✓ Describe your own role in substantive detail, being especially careful to indicate intellectual/conceptual leadership role, if any
  - ✓ Also, briefly describe the significance of the jointly authored paper in this section
  - ✓ Do not assign a percentage to your contribution

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CANDIDATE: EVIDENCE OF PROFESSIONAL COMPETENCE

- Invitations to review manuscripts/grants
- Invitations to present at national/international meetings, to organize symposia/sessions/meetings, to chair sessions
- Invitations to write scholarly articles/reviews– *but beware of putting too much time into chapters in edited books!*
- Invitations to write book reviews
- Awards, honors, competitive fellowships
- Election to professional society leadership positions
- Serving in expert capacity for government agencies

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EFFORTS TO ENHANCE DIVERSITY AT THE UC ARE CONSIDERED POSITIVELY FOR MERITS AND PROMOTIONS

UC APM 210:

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.

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CANDIDATE: Efforts to support diversity and equal opportunity (optional statement 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

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CANDIDATE: Efforts to support diversity and equal opportunity (optional statement 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

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CANDIDATE: Efforts to support diversity and equal opportunity (optional statement 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

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CANDIDATE: EXTRAMURAL GRANT ACTIVITY

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

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Merit advancement expectations

- Although reviewers are expected to exercise reasonable flexibility in assessing any one review period, continued advancement requires meritorious 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

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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, but published research in pedagogy is not yet required at UC Davis
- For LSOE promotion to SLSOE, provide evidence for national leadership and recognition for work on pedagogy

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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

UCDAVIS

Academic Personnel Manual

Table of Contents

Quick Links

Office of the Chancellor
Office of the Provost
Academic Affairs
Directives
Principles of Community

Search the Policy Manuals

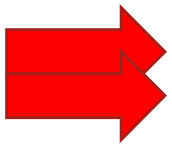
Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures 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.

IN THIS SECTION

I, General University Policy Regarding Academic Appointees
II, Appointment and Promotion
III, Recruitment
IV, Salary Administration
V, Benefits and Privileges

I. General University Policy Regarding Academic Appointees	
APM 005	Privileges and Duties of Members of the Faculty
APM 010	Academic Freedom
APM 015	The Faculty Code of Conduct
	UCD-015, Procedures for Faculty Misconduct Allegations
	Exhibit A, Examples of Unacceptable Faculty Conduct
	Exhibit B, Allegations of Misconduct Request for Review
APM 016	University Policy on Faculty Conduct and the Administration of Discipline
	UCD-016, Procedures for Faculty Discipline
APM 020	Special Services to Individuals and Organizations



	UCD-191, Endowed Chairs (6/3/05, rev. 9/5/08)

Back to top

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 (8/8/03, revised 7/9/04; IV F.10 rev. 5/18/05, 6/27/05)
	Procedure 1, Appraisal, Merit, Promotion, and Preliminary Assessment
	Procedure 2, Deferral Request
	Procedure 3, Joint Appointments (10/11/04)
	Procedure 4, Five-Year Review (revised 11/10/03)
	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 (revised 7/9/04 & 7/14/05)
	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 (1/17/04, revised 7/9/04)
	Procedure 1, General Procedure for Merit or Promotion
	Exhibit A, Criteria Used for Evaluating Performance When Soliciting Extramural Evaluations
	Exhibit B, Model Format for Letters Soliciting Extramural Evaluations for Academic Federation Promotions
	Exhibit C, Sample Departmental Letters--Academic Federation

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

Discussion