



Associate Professor Advancement

April 19, 2018

**Philip Kass
Vice Provost
Office of Academic Affairs**

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."

COACHE 2012 Survey Findings

- Associate Professors perceive the least clarity in criteria for promotion
- Associate Professors are less likely to perceive expectations for promotion as reasonable.
- Associate professors are least likely to feel that their academic activities (teaching, mentoring, service, and scholarship/creative activity) are highly valued by peers.
- Associate professors perceive departmental support for work-life balance as weaker than do faculty at other ranks.
- Associate professors feel most over-burdened by service activities

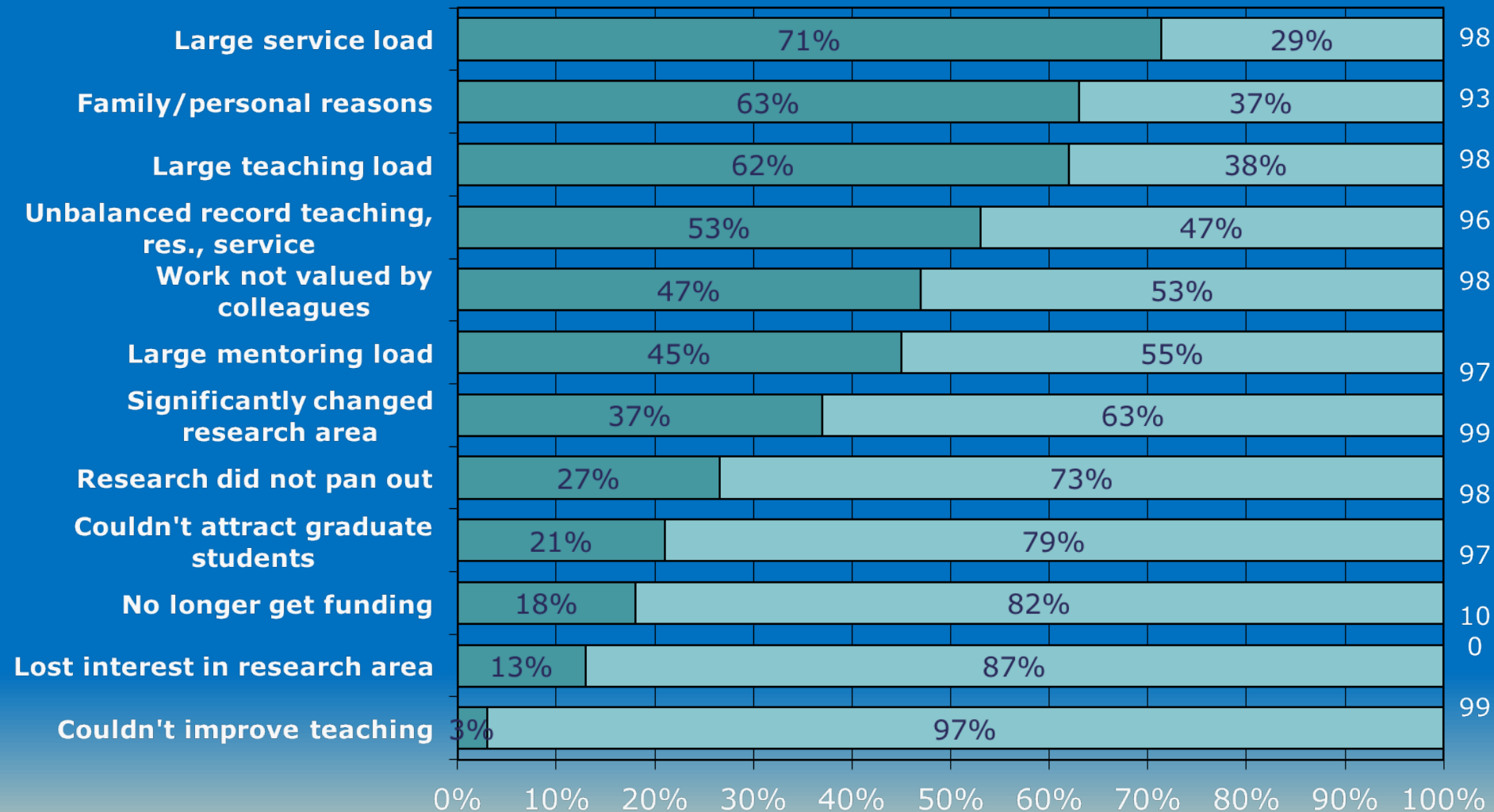
**All of these perceptions are more negative for women.
Many of these perceptions are more negative for faculty of color.**

COACHE 2012 Survey Actions

- We launched an Associate Professor Bag Lunch series
- We have increased opportunities for focused mentoring, e.g. through the Faculty Success Program at the National Center for Faculty Development and Diversity
- We are working harder to educate chairs about work-life programs and running inclusive departments
- We are listening and trying to take steps!!
- Are now analyzing COACHE 2017 data.

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

Very or somewhat important Not important*



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 |
| Step 3 | 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

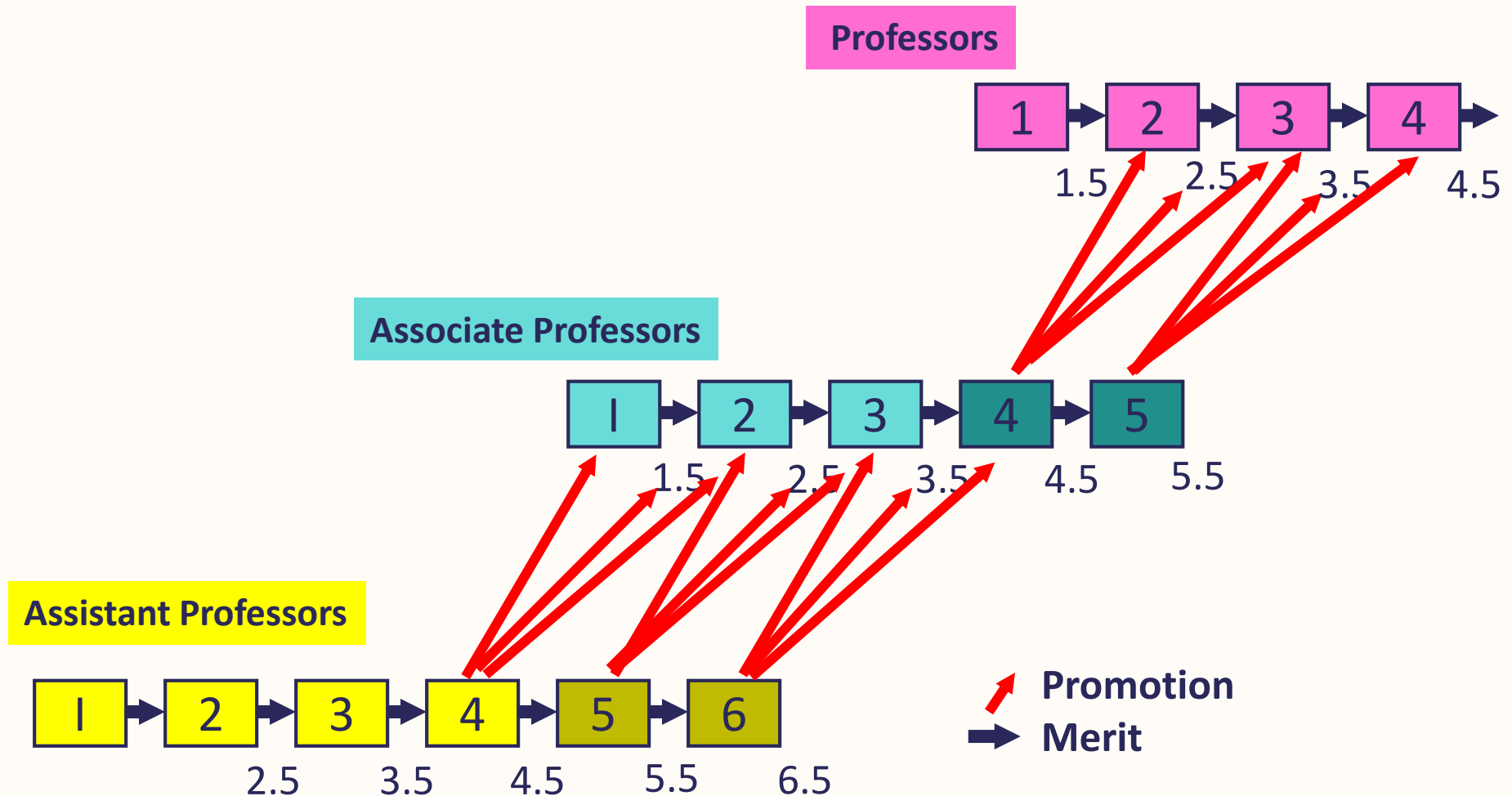
| | |
|--------|-------------|
| Step 1 | 3 yrs |
| Step 2 | 3 yrs |
| Step 3 | 3 yrs |
| Step 4 | 3 yrs |
| Step 5 | 3 yrs/Indef |
| ----- | |

Professor (senior levels)

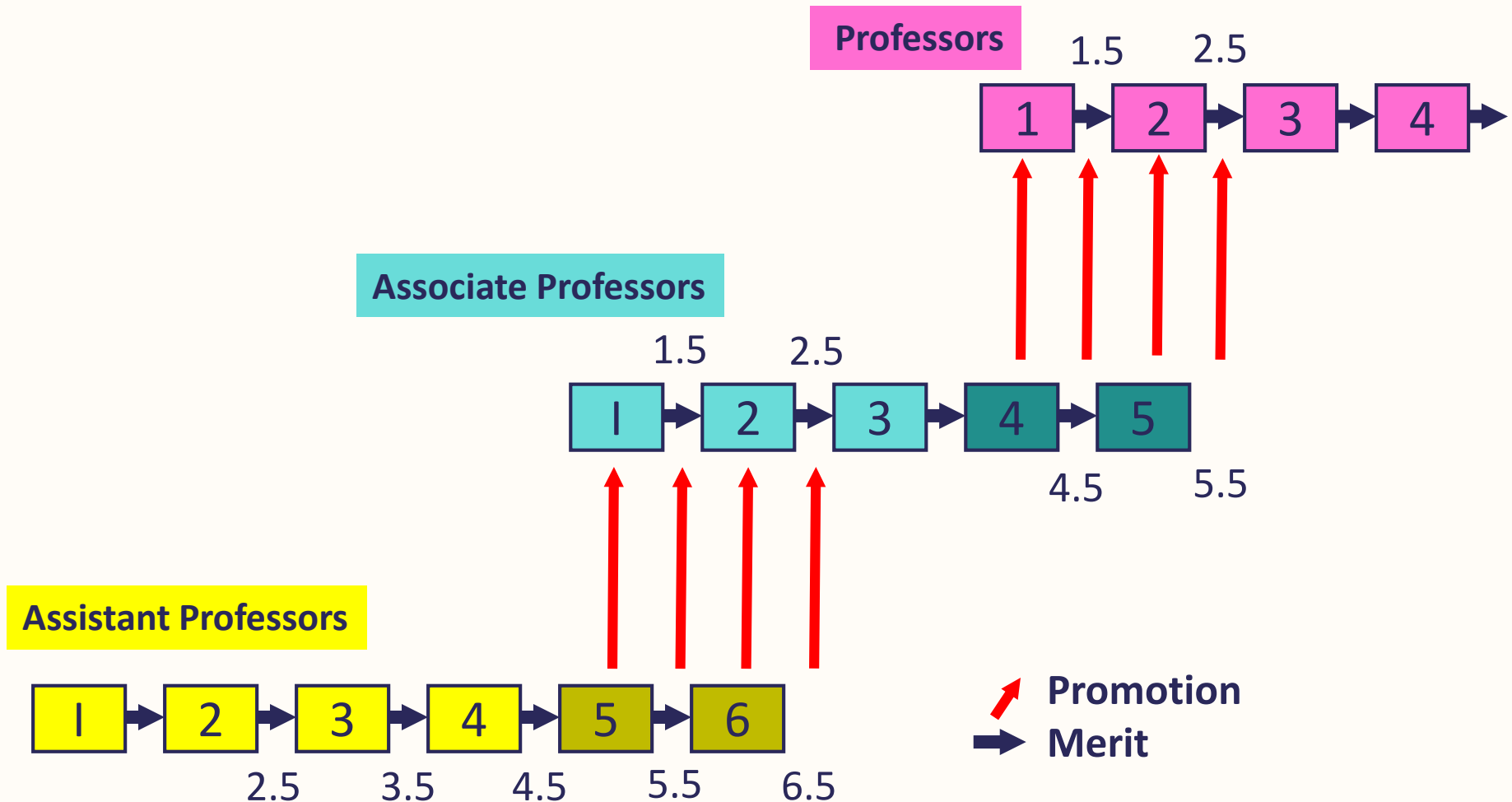
| | |
|--------|-------------|
| Step 6 | 3 yrs/Indef |
| Step 7 | 3 yrs/Indef |
| Step 8 | 3 yrs/Indef |
| Step 9 | 4 yrs/Indef |

Professor Above Scale*
4 yrs/Indef

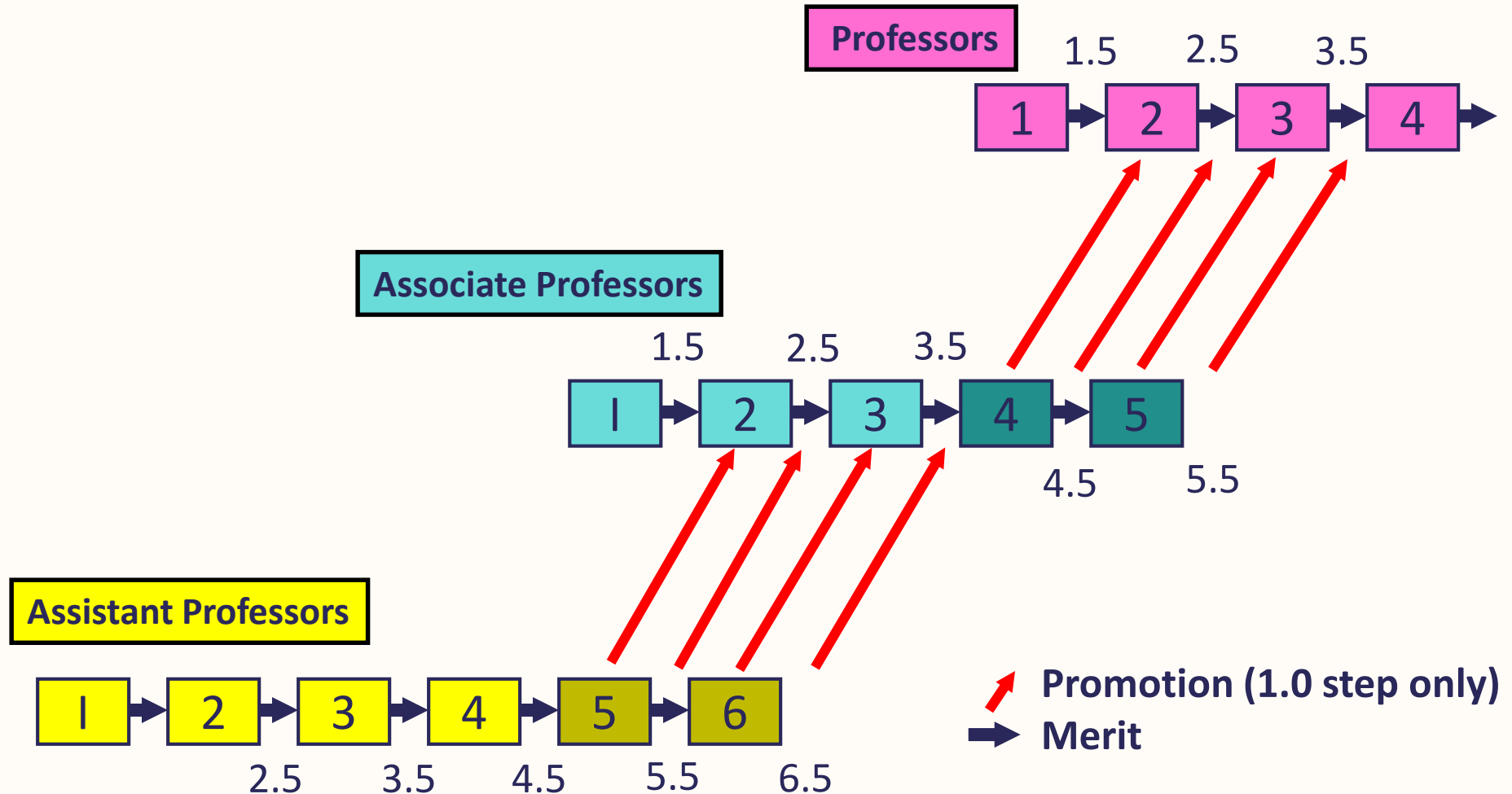
The UC Davis **Step Plus system** allows faculty to move faster (1.5 or 2.0 steps) based on greater-than-expected performance



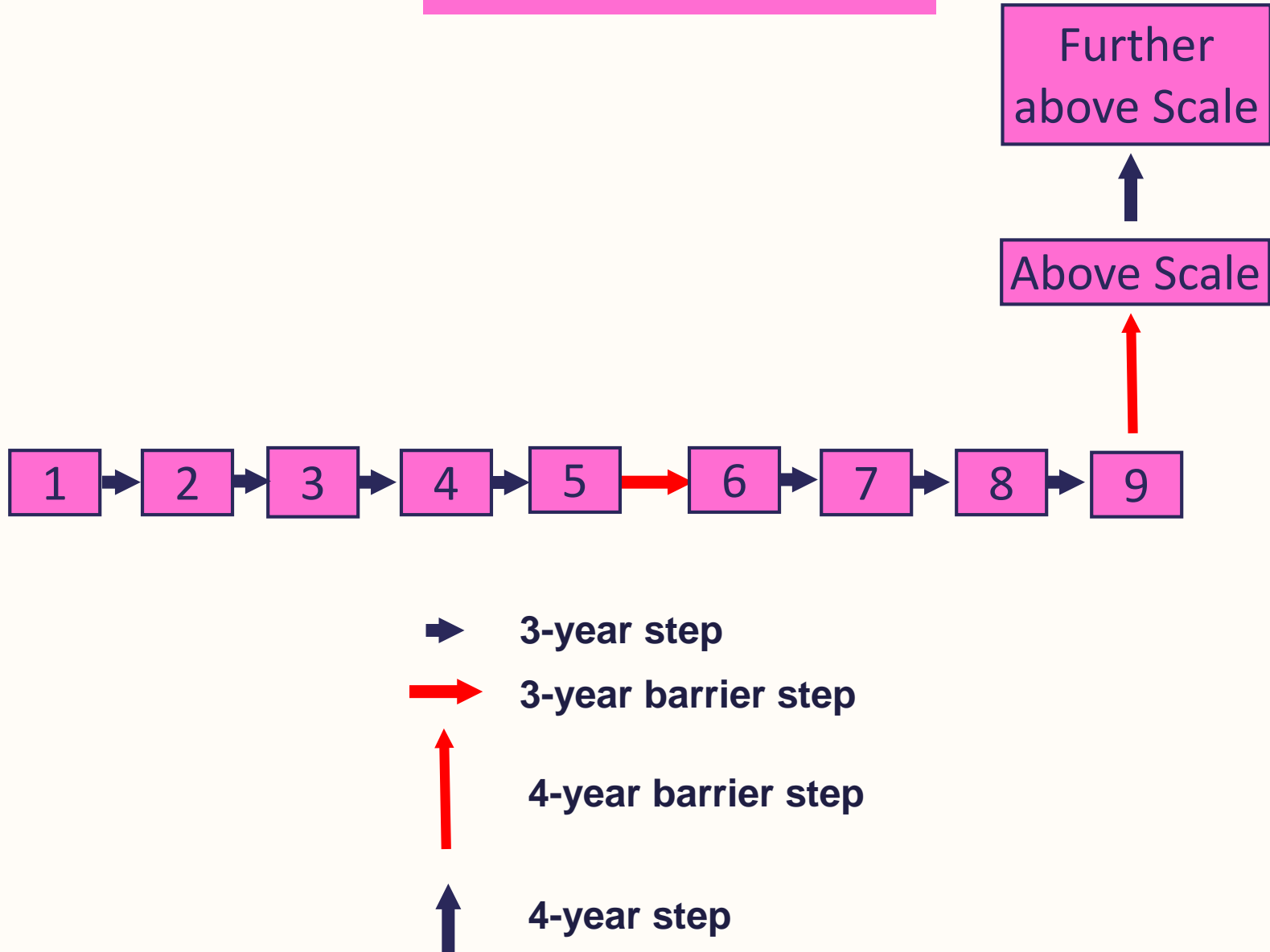
The UC Davis **Step Plus system also** allows faculty at overlapping steps to laterally promote without loss of time at both ranks/steps (applies to whole and half steps) counting toward next merit action



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



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** rarely) > 2.0 steps



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.



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



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

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**

PERSONAL EXPERIENCES

- Professor Raul Aranovich,
Department of Linguistics, College
of Letters & Science
- Professor Ashley Hill, School of
Veterinary Medicine/California
Animal Health and Food Safety Lab

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:

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, 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

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

Academic Affairs

Serving the professional Academic Community at UC Davis

Home People ▸ Your Resources ▸ Policies ▸ Programs ▸ Tools ▸ Training ▸ Honors ▸ Diversity & Equity ▸

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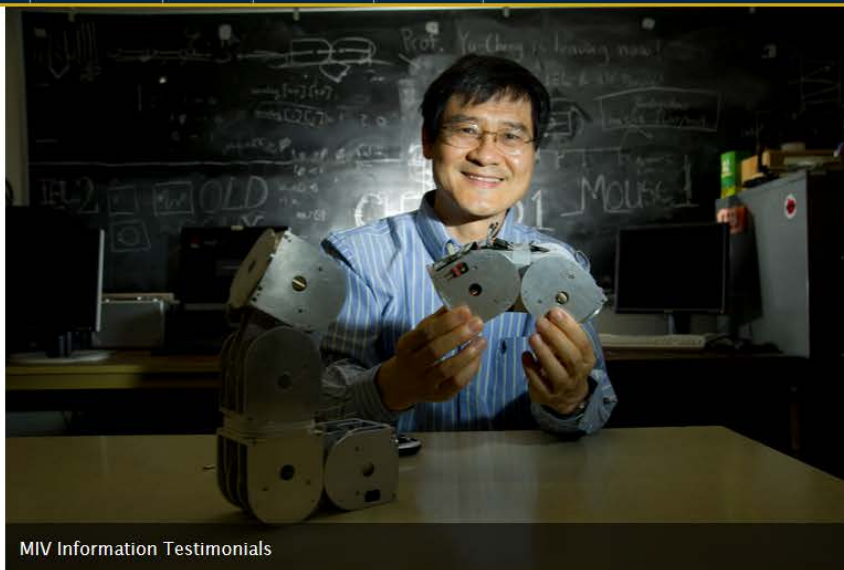
[Step Plus System](#)

[UCD Policy & Procedures Manual \(PPM\)](#)

Academic Affairs

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[Map](#)

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(530) 752-6250 fax



MIV Information Testimonials



Upcoming Events

[2015-16 New Faculty Brown Bag Schedule](#)

[2015-16 Department Chairs Brown Bag Schedule](#)

Recent Academic Advisories sent to the Deans

AA2016-01 - Changes to Junior Specialist

What's New

- [Proposed 2016 Retirement Program](#)
- [New Junior Specialist Forms and Checklists](#)
- [2015-16 Equity Adjustment](#)
- [2015-16 Annual Call for Academic Personnel Advancement Actions](#)
- [Step Plus PPS Data Entry Guidelines](#)
- [VP Stanton's Step Plus Presentation regarding voting and ballots \(PDF\)](#)
- [Ebola Advisory](#)
- [New Extramural Letter Requirements](#)
- [2014-15 Annual Call for Unit 18 Members](#)
- [Position Planning Tool](#)
- [Step Plus System](#)
- [Capital Resource Network](#)
- [Step Plus Orientation Presentation \(PDF\) March 5, 2014](#)
- [2014-15 Call for Chancellor's Postdoctoral Fellow Applications](#)
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Academic Personnel Manual

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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.

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](#)

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[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

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

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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 \(instructions to the deans\)](#)

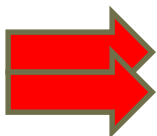
[UCD-220AF, Academic Federation Review and Advancement \(1/17/04, revised 7/9/04\)](#)

[Procedure 1, General Procedure for Merit or Promotion](#)

[Exhibit A, Criteria Used for Evaluating Performance When Soliciting Extramural Evaluations](#)

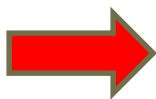
[Exhibit B, Model Format for Letters Soliciting Extramural Evaluations for Academic Federation Promotions](#)

[Exhibit C, Sample Departmental Letters--Academic Federation](#)





| | |
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| 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 |
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| | 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?

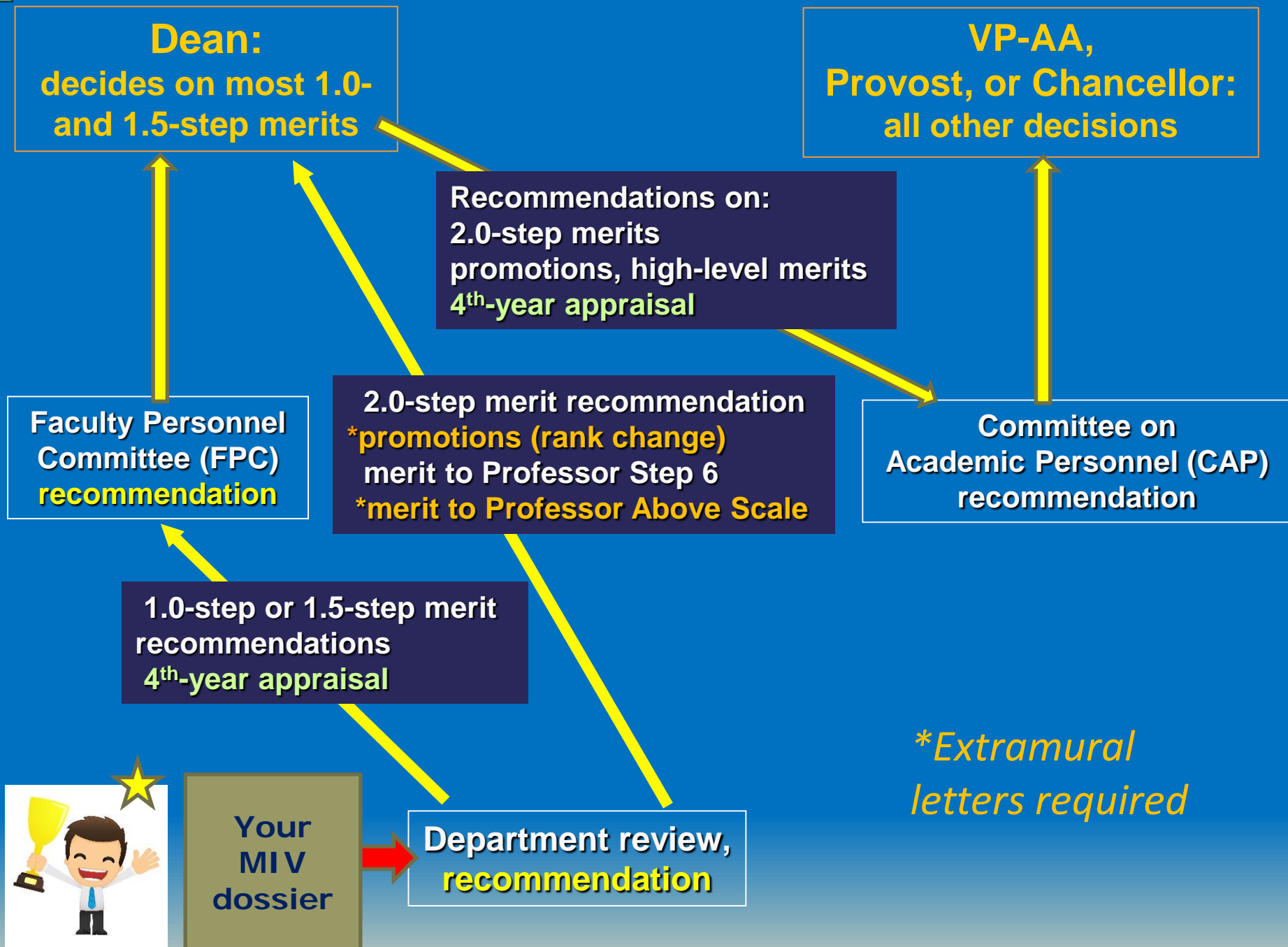
- This depends on whether the action is “redelegated” or “non-redelegated”
- If redelegated, your Dean makes the final decision
- If *not* redelegated, the Vice Provost – Academic Affairs makes the final decision (except for tenure decisions... these are made by the Provost or Chancellor)
- Non-barrier 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)



Discussion

