

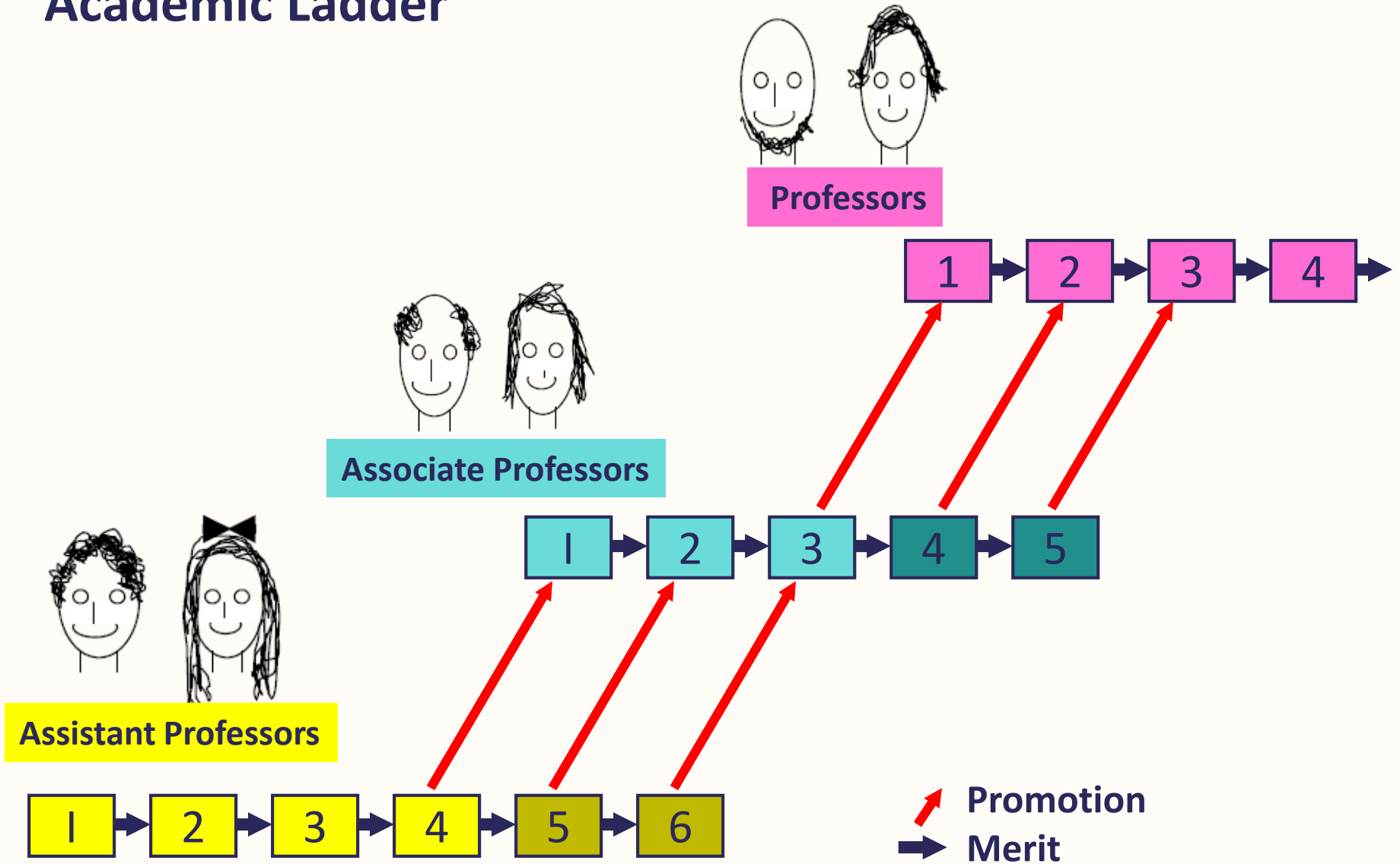
**DOSSIER PREPARATION**  
**FOR MERITS and PROMOTIONS**

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**Maureen Stanton**  
**Vice Provost – Academic Affairs**  
**Professor – Evolution & Ecology**



# Progression up the UC Academic Ladder



# 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

## Professor

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

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## Associate Professor/Tenure

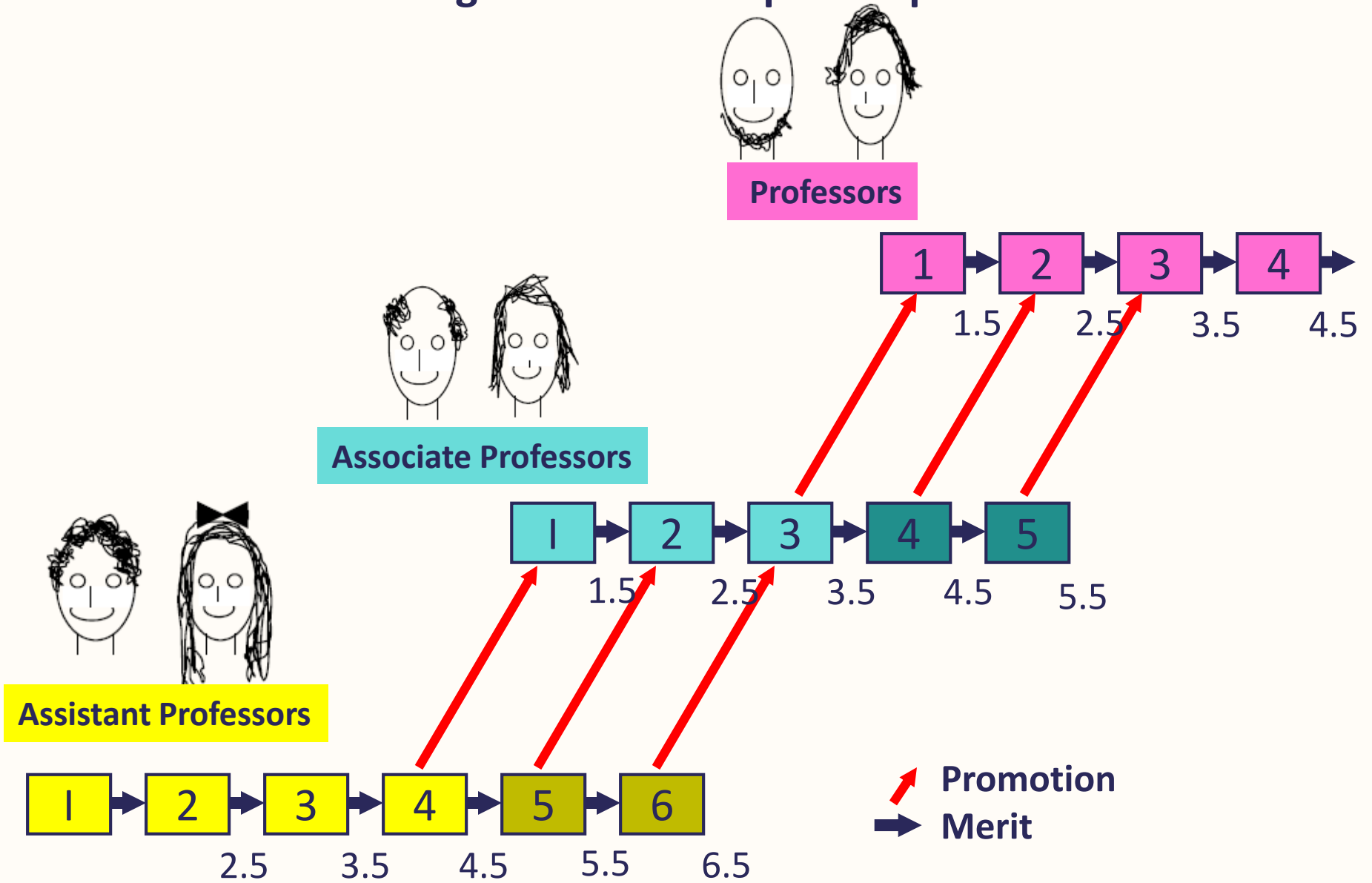
Step 1*	2 yrs
Step 2	2 yrs
Step 3	2 yrs
(Step 4)	3 yrs
(Step 5)	3 yrs

## 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 based on greater-than-expected performance



# 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)
  - A candidate can “go up” the following year after:
    - An approved deferral action
    - A denied merit/promotion action
    - A 5-year review without advancement
- **Promotion** to the Associate or Full rank can occur at any time
- Each merit/promotion dossier will be considered for accelerated advancement
  - “regular advancement” is 1.0 step
  - accelerations may be 1.5, 2.0, or (VERY rarely) > 2.0 steps



# Guidelines for advancement under Step Plus



- 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.
- Accelerated, 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

- Accelerated, 2.0-step advancement
  - Requires a **strong record in all 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 other areas**.
- At Above Scale, criteria for acceleration are very stringent





## How do you find out what “normal” expectations are?

- Criteria and expectations vary greatly among disciplines
  - e.g. the “book disciplines”
  - the arts
  - STEM disciplines
- Teaching expectations (and teaching loads) vary among disciplines
- Talk to your senior colleagues!
- Talk to your chair!
- Encourage your department to prepare written guidelines





# Your dossier establishes the case for a particular advancement outcome



✓ Good, solid, satisfactory 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

# MERIT ACTIONS: MAJOR

## COMPONENTS OF SUBMITTED DOSSIER

- Candidate's statements (overall activity + contributions to diversity)
- Courses taught (DESII), student evaluation scores and comments
- Teaching, advising and curriculum development
- Service activities
- Publications
- Contributions to jointly authored works
- Extramural support

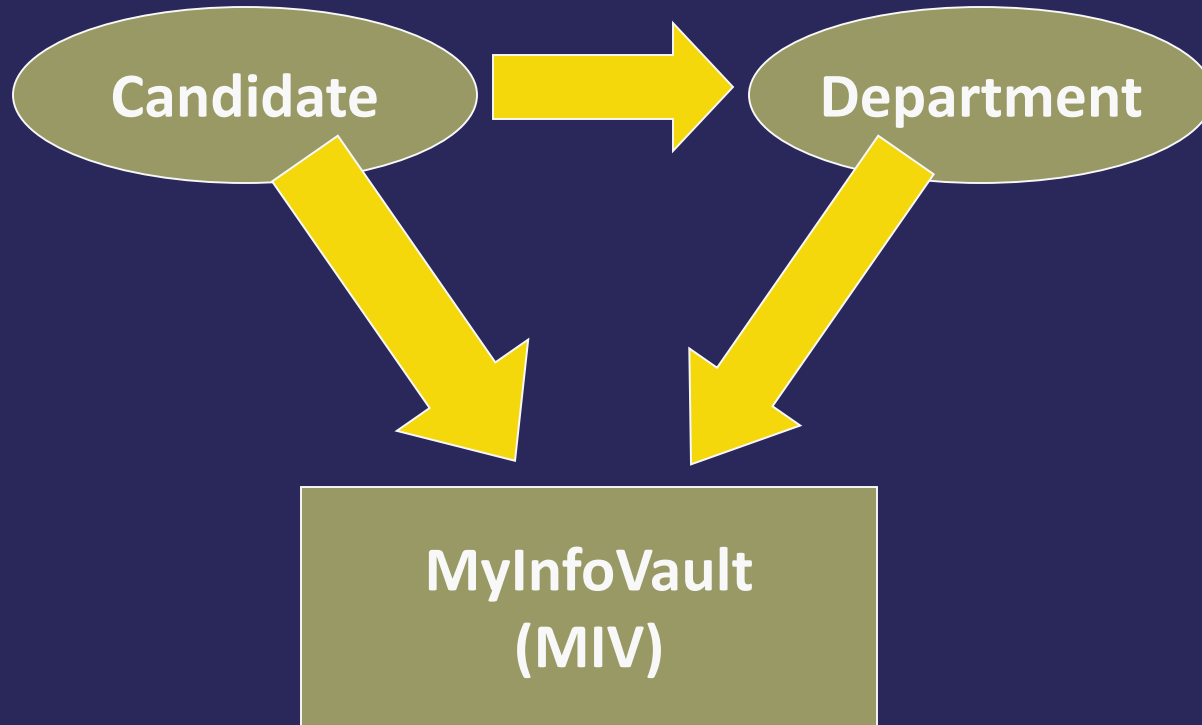


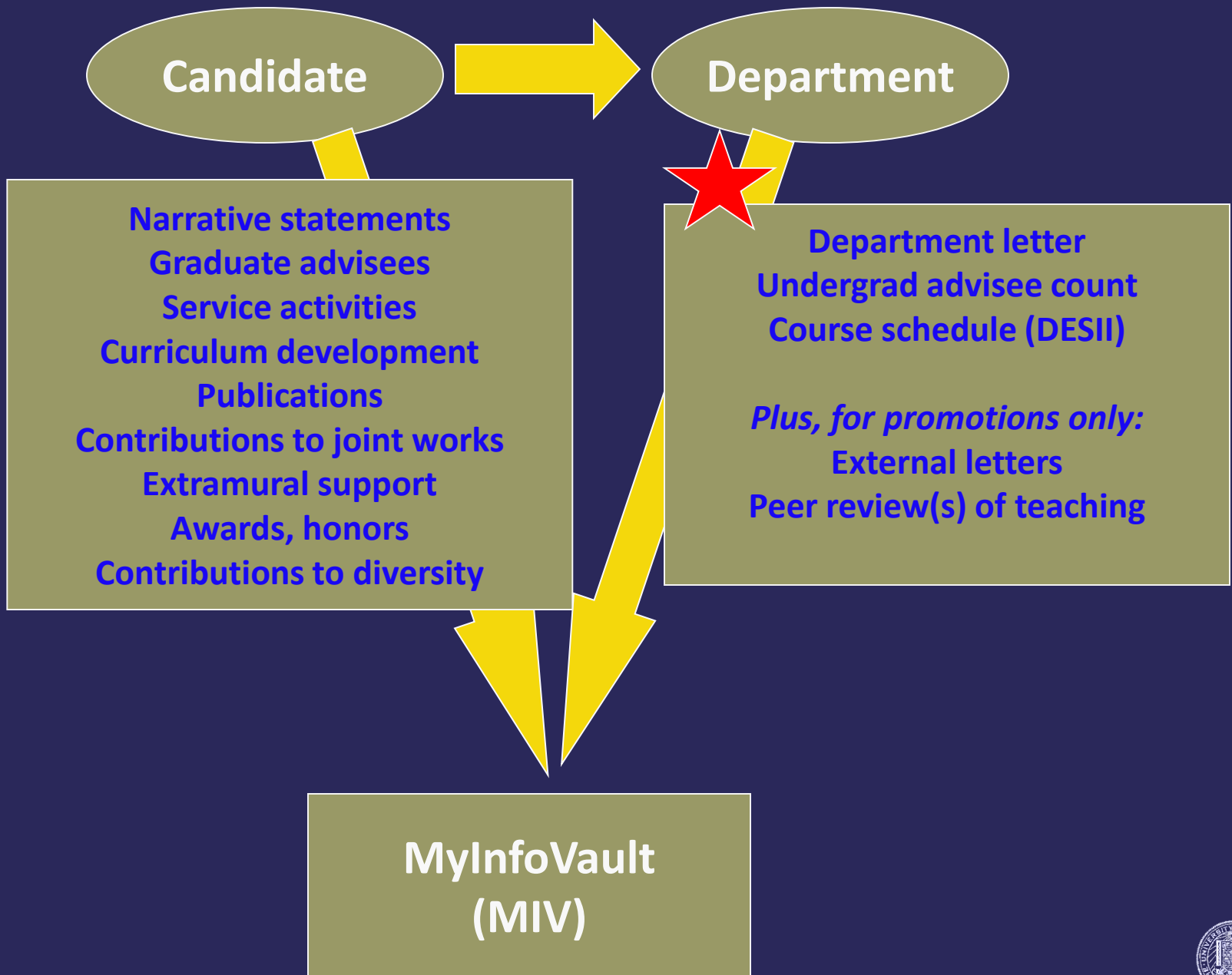
# PROMOTIONS: *ADDITIONAL* COMPONENTS OF DOSSIER

- Letters from external referees
- Peer teaching evaluations
- Summary of record since terminal degree (for tenure promotion) or since last promotion
  - Dossier review by the Committee on Academic Personnel (CAP) will emphasize activities/achievements since the most recent review



# MyInfoVault: UCD's digital dossier management system







# 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

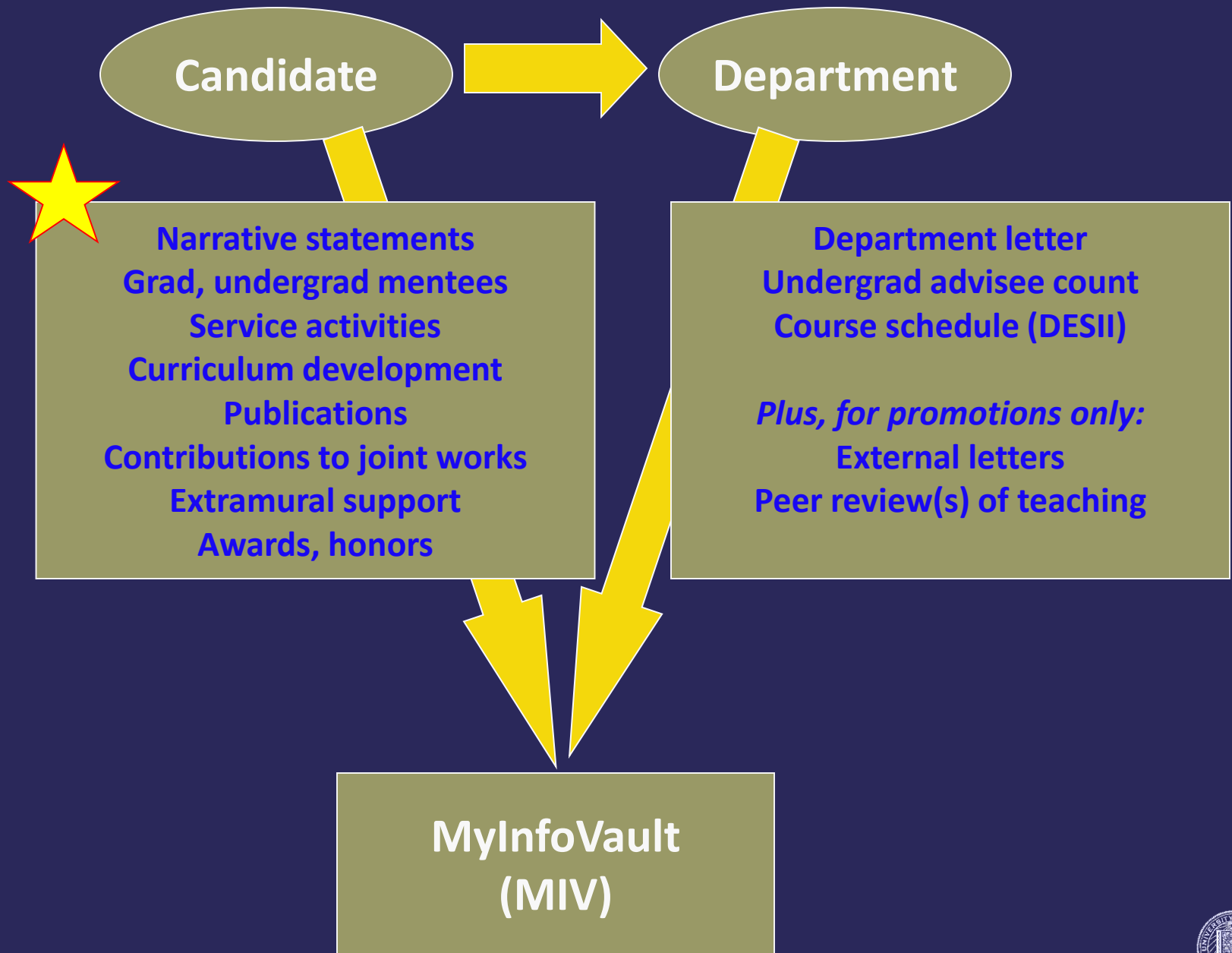




## DEPARTMENT: DOCUMENTATION OF TEACHING

- Official list of all courses taught (DESII listing)
  - ✓ *Remember to report guest lectures!*
- Student evaluations:
  - ✓ Complete set of original evaluations from 2 courses (preferably high enrollment)
  - ✓ Numerical summaries for all courses (department letter discusses all courses)
- Peer evaluation letter (promotions and high-level merits to Prof VI and Prof A/S only)
- Numbers of undergraduate student advisees









## CANDIDATE:

### DESCRIPTION OF TEACHING ACTIVITIES

- Statement of teaching philosophy (part of optional Candidate's Statement)
  - ✓ Description of curriculum development activities
    - New courses developed
    - New assignments, activities, pedagogical tools, application of new technology
  - ✓ Special advising activities
  - ✓ Teaching activities that make contributions to diversity, principles of community
- “Optional binder” *for department review only* – syllabi, lecture slides/handouts, homework assignments, etc.





## CANDIDATE:

# DESCRIPTION OF MENTORING ACTIVITIES

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





## CANDIDATE:

### DESCRIPTION OF SERVICE ACTIVITIES

- University service
  - ✓ List by level – i.e., department, college, graduate program, Academic Senate, Administrative, etc.
  - ✓ Indicate role (member, chair) and your contributions
  - ✓ Briefly state outcome/impact of committee in Candidate's statement
- Other professional service that “counts”
  - ✓ Reviewing grants and manuscripts
  - ✓ Professional society committees, officer positions
  - ✓ Service to Government agencies
- Public service and outreach





# CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 1

- Narrative in Candidate's Statement
  - ✓ Be concise: *total* statement should be < 5 pages
  - ✓ Summarize major published findings and refer to published or in-press works by number
  - ✓ 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





## CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 2

- Indicate all publications & created works that occurred during the review period
  - ✓ Publications of broad distribution
  - ✓ Use MyInfoVault annotations to indicate if refereed, especially important, etc.
  - ✓ Publications of other types – books, book chapters, limited distribution, technical reports, reviews, patents, etc.
  - ✓ Other created works include: exhibits, performances, etc.
- In-press publications *may* be included *with an acceptance letter or galley proof*
- 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





# CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 3

- Describe contributions to jointly authored works
  - ✓ This is extremely important to do well!
  - ✓ Describe your own role in substantive detail, being especially careful to indicate intellectual 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



# EVALUATION OF RESEARCH, SCHOLARSHIP AND CREATIVITY

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





## 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





# **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.**



# EXAMPLES OF DIVERSITY EFFORTS

(reported in special MIV section on diversity)

## 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



# EXAMPLES OF DIVERSITY EFFORTS

(reported in special MIV section on diversity)

## 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



# EXAMPLES OF DIVERSITY EFFORTS

(reported in special MIV section on diversity)

## 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 vs. PROMOTION EXPECTATIONS

- Based on the Step Plus criteria, you may use your candidate's statement to make the case for a regular (1.0-step) advancement or an accelerated advancement (1.5 or 2.0 steps)
  - Find program information and merit advancement criteria for all Senate titles at the Step Plus website:  
<http://academicaffairs.ucdavis.edu/policies/step-plus/index.html>
- Criteria for promotion involve the achievement of benchmarks in scholarship, teaching and service, and are separate from those for merit advancement
  - Review UC APM 210 and 220 carefully
  - Discuss discipline-specific expectations with your chair and colleagues!

## 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



## **MORE WORDS TO THE WISE**

- Write a compelling Candidate's Statement (5 pages max) that is as non-technical as possible
  - ✓ Provide your perspective on all areas under review
  - ✓ Include how your work fits together, "road map"; impact of your work; your successes; any problems that had to be overcome
  - ✓ Teaching philosophy; course development; any problems you had & how they resolved
  - ✓ Explain significance of any awards/honors
  - ✓ Efforts related to promotion of diversity
  - ✓ Discuss future plans





## YET MORE WORDS TO THE WISE

- 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 you with input from your peers about how well you are progressing towards tenure promotion



# WHAT HAPPENS TO YOUR DOSSIER AFTER IT LEAVES YOUR DIGITAL HANDS?

- This depends on whether the action is “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)
- Normal merits (and accelerated merits that do not skip a step) are redelegated
- URL for professorial series delegation of authority:  
[http://academicaffairs.ucdavis.edu/local\\_resources/docs/doa/Professor\\_InRes\\_Clinical\\_Action.pdf](http://academicaffairs.ucdavis.edu/local_resources/docs/doa/Professor_InRes_Clinical_Action.pdf)



## 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

- 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 or CAP-OC), which may recommend Ad Hoc review
- 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)



# USEFUL WEB SITES

**(<http://academicaffairs.ucdavis.edu/>)**

- ✓ **FAQ on academic personnel process:**  
[http://academicaffairs.ucdavis.edu/resources/senate/faq\\_senate\\_faculty.html](http://academicaffairs.ucdavis.edu/resources/senate/faq_senate_faculty.html)
- ✓ **Ad hoc committee appointments & instructions:**  
<http://academicaffairs.ucdavis.edu/policies/ad-hoc-committees>
- ✓ **System (APM 220) for merit/promotion process:**  
[http://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-220.pdf](http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-220.pdf)
- ✓ **Campus (UCD 220) for merit/promotion process:**  
<http://manuals.ucdavis.edu/apm/220.htm>
- ✓ **Appeals process if advancement is denied:**  
[http://manuals.ucdavis.edu/apm/220\\_Proc5.htm](http://manuals.ucdavis.edu/apm/220_Proc5.htm)



# Discussion

