

# THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY

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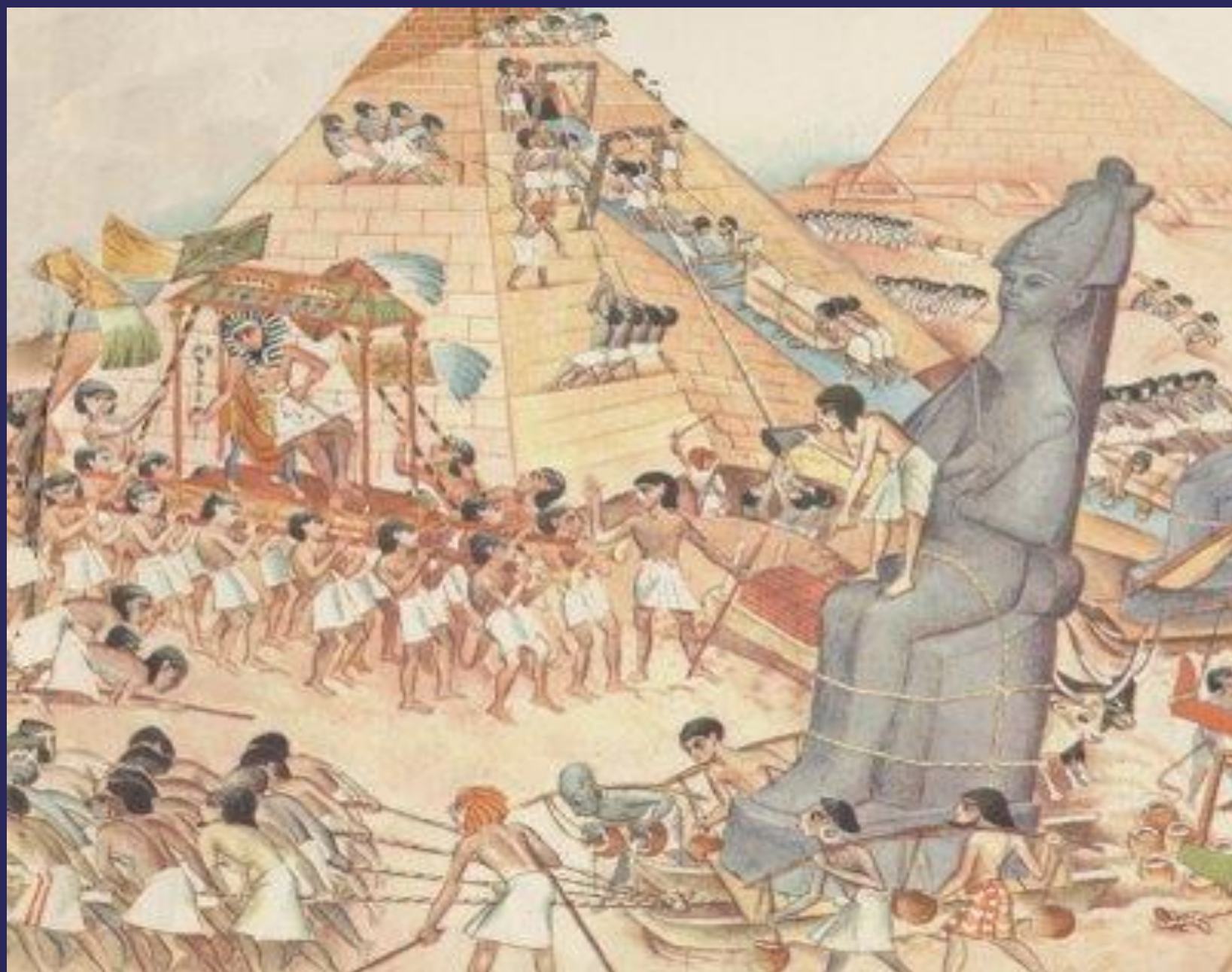
Vice-Provost – Academic Affairs

September 29, 2014



# Welcome to the UC Davis community!!







CAP

MOU

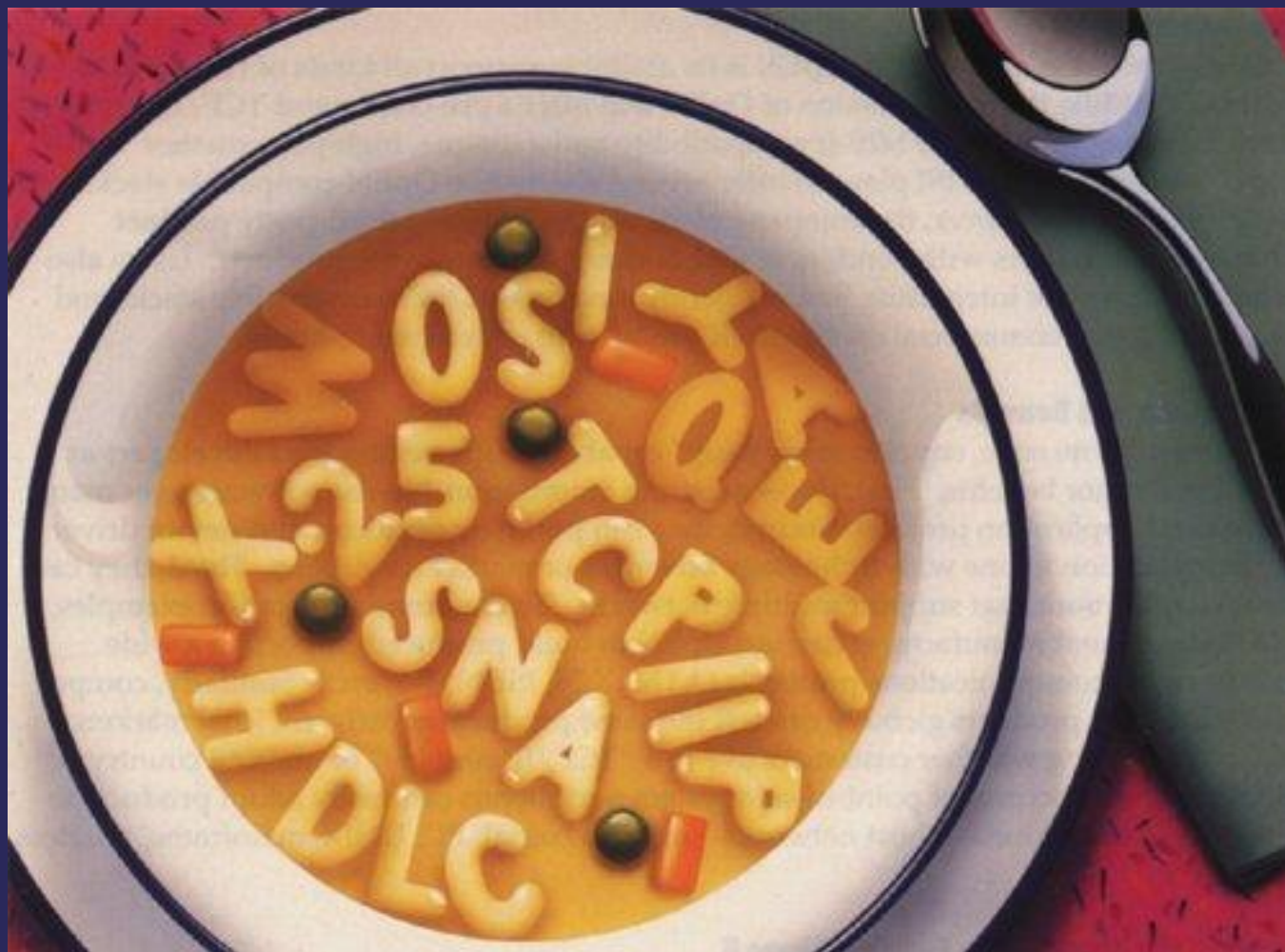
FPC

MIV

VP-AA

APM

ASMD



# ROADMAP

- Campus culture/expectations
- A few nuts & bolts of the UC merit/promotion system

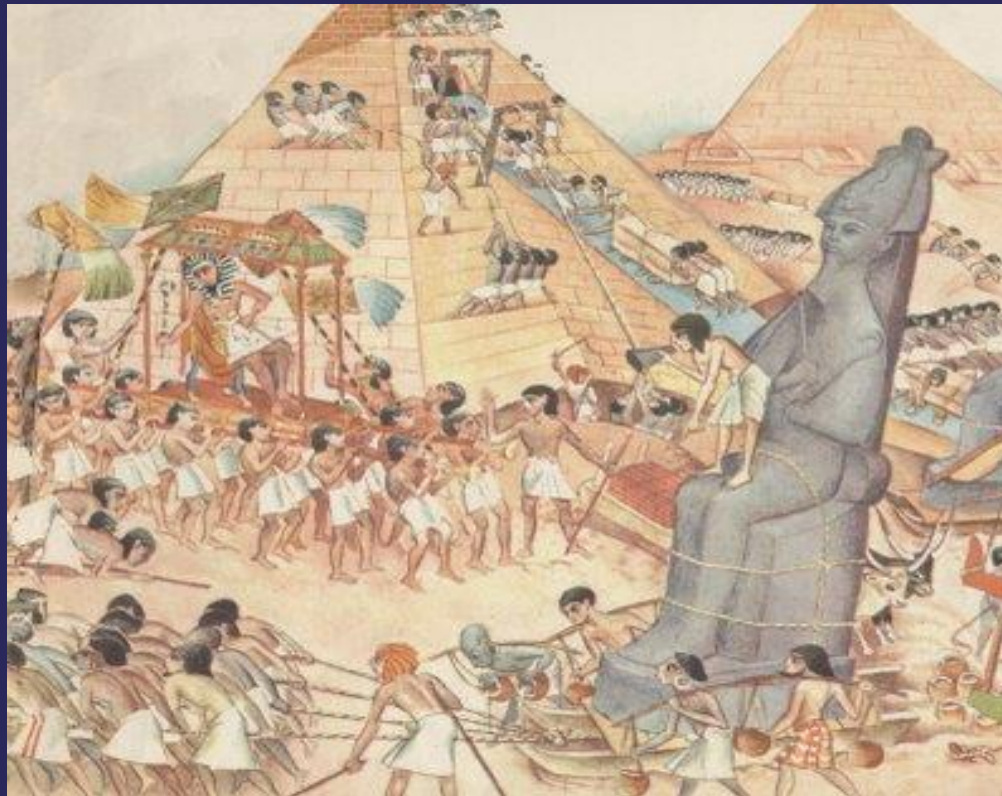


# Some key elements of UC Davis culture

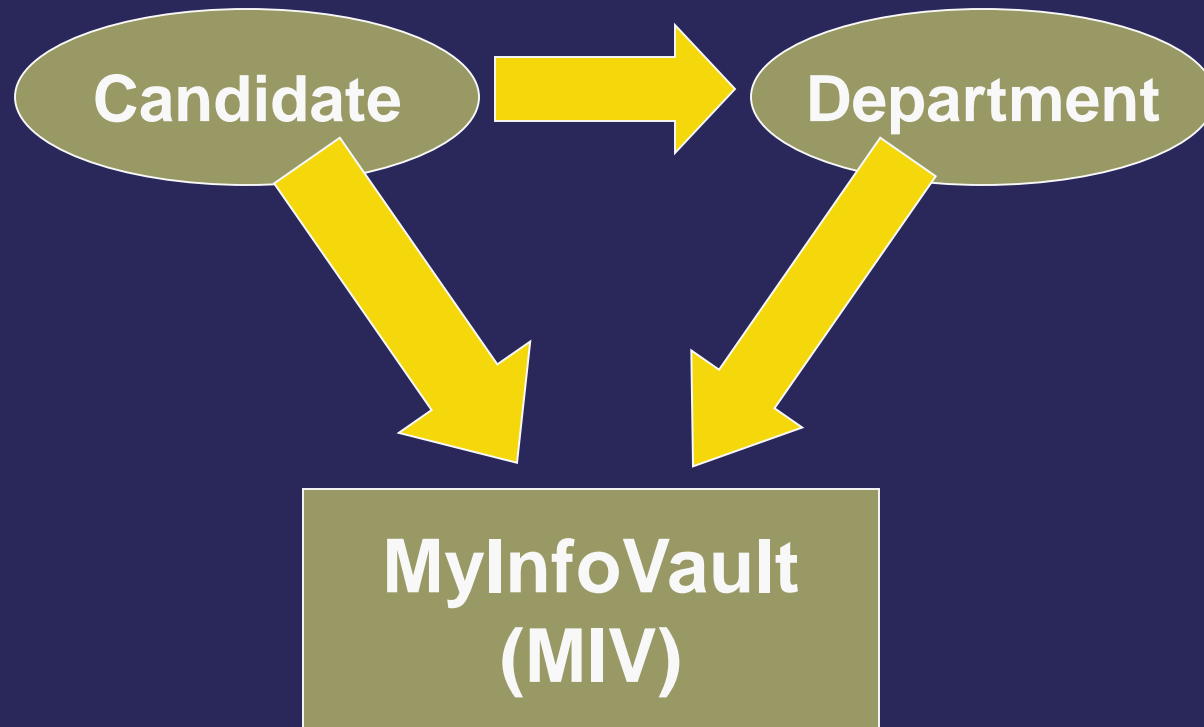
- High expectations within a system of peer review and shared governance
- Emphasis on collaboration, not competition
- Scholarly excellence is required, but is also not sufficient
- Faculty are expected to serve the University, their profession and the public
- Very good teaching and mentorship are valued and rewarded
- Shared governance is a key value

# The UC Davis personnel process

- is very transparent
- is remarkably fair
- keeps peers in touch with your achievements
- ... and requires hard work at all levels



# MyInfoVault: UCD's digital dossier management system



- <https://academicaffairs.ucdavis.edu/tools/miv-information/index.html>



# THE UC RANK & STEP SERIES

- **Promotions** occur when you move to the next rank
  - Assistant → Associate → Full
  - Promotion requires both internal & external review
- **Merit advancements** occur when you move up in step within each rank; most “merits” require only internal review
- Two additional “benchmark” merits occur within the senior Professor rank
  - Professor Step 6 (requires national impact)
  - Professor Above Scale (requires international impact and external letters)



# UC Ranks & Steps within ranks; “Normative time” at each step

## Assistant Professor

Step I	2 yrs
Step II	2 yrs
Step III	2 yrs
Step IV	2 yrs
(Step V)	2 yrs
(Step VI)	2 yrs

## Associate Professor/Tenure

Step I*	2 yrs
Step II	2 yrs
Step III	2 yrs
(Step IV)	3 yrs
(Step V)	3 yrs

## Professor

Step I*	3 yrs
Step II	3 yrs
Step III	3 yrs
Step IV	3 yrs
Step V	3 yrs/Indef

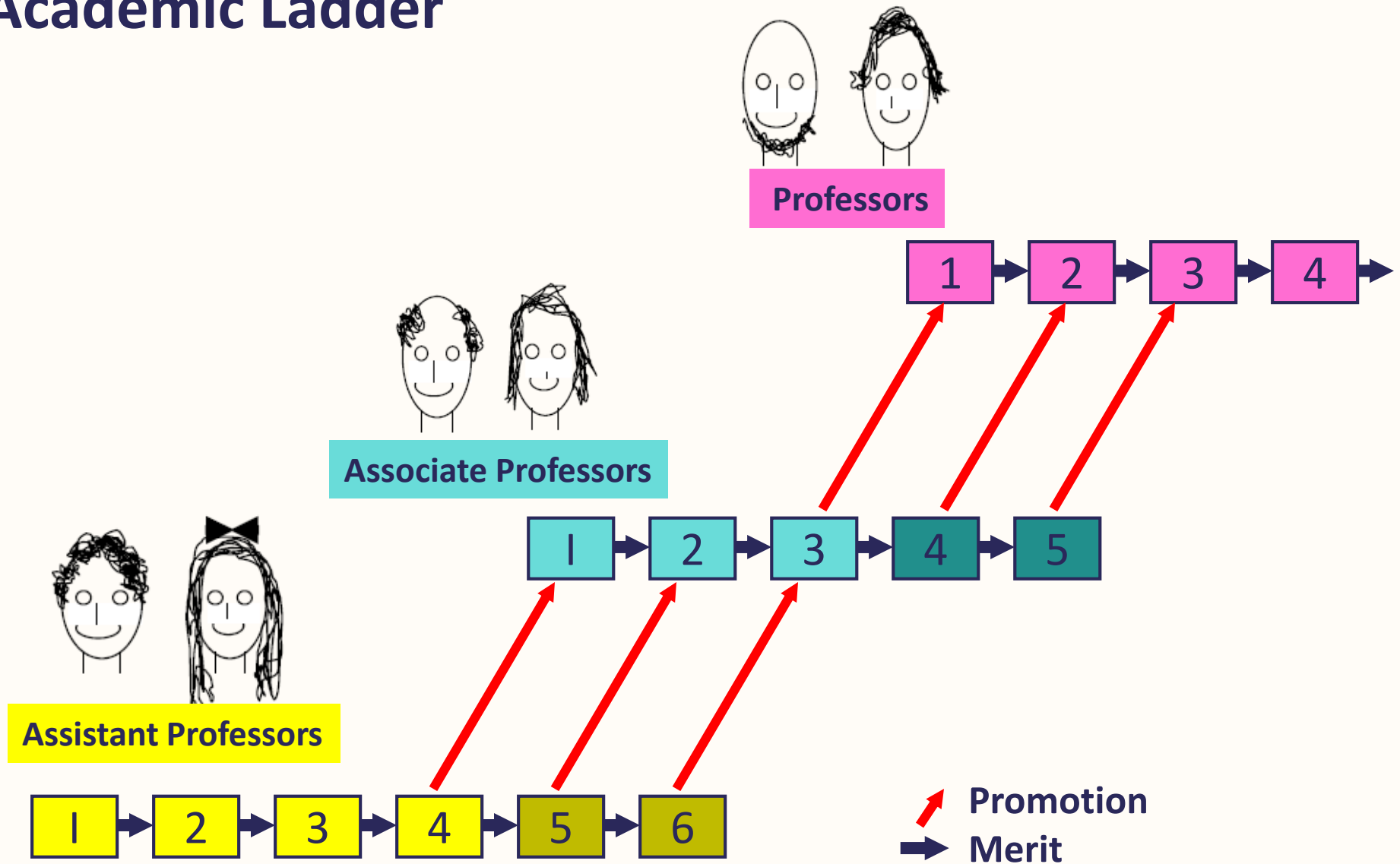
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## Professor (senior levels)

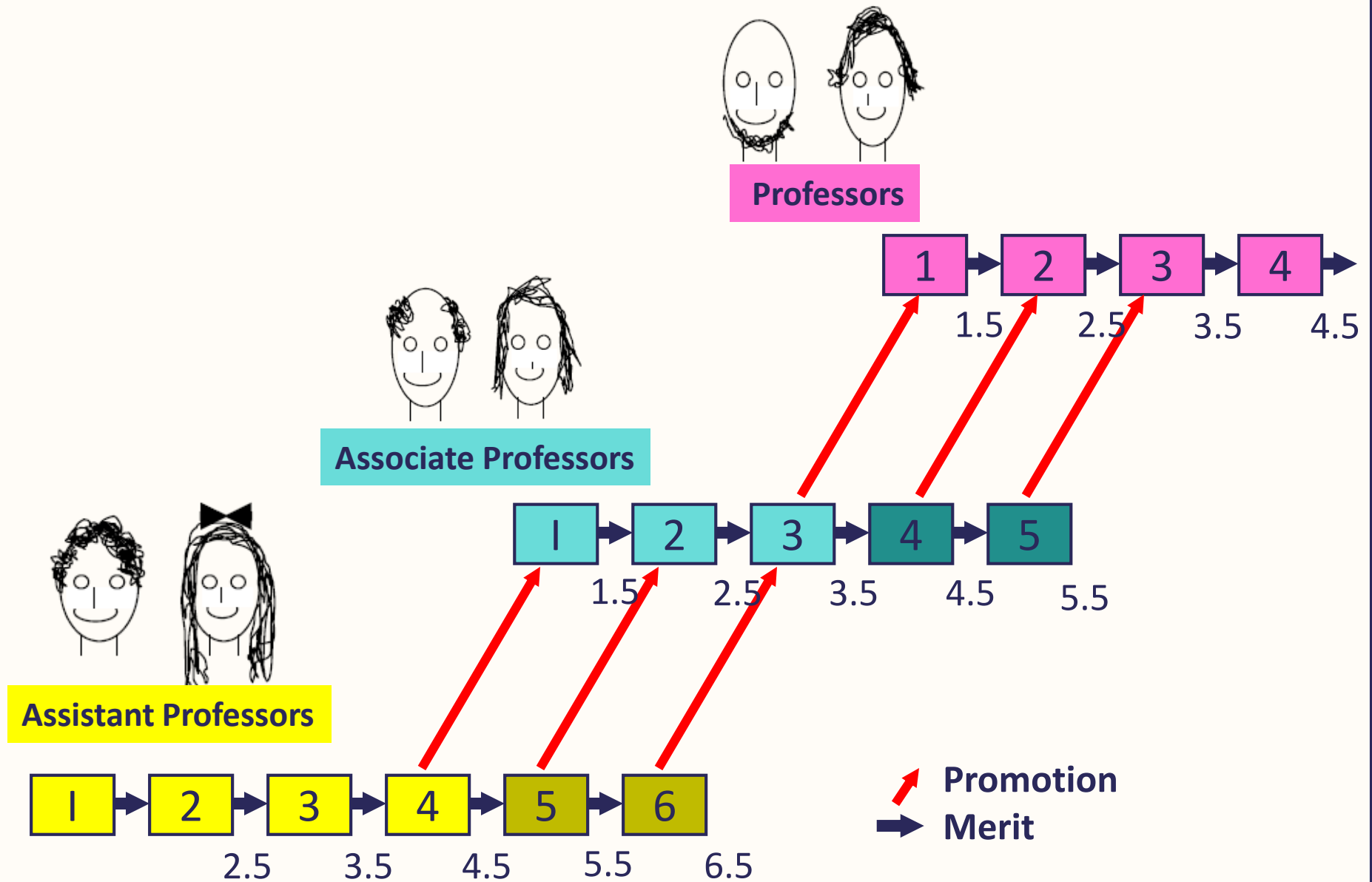
Step VI*	3 yrs/Indef
Step VII	3 yrs/Indef
Step VIII	3 yrs/Indef
Step IX	4 yrs/Indef

## Professor Above Scale\*

# Progression up the UC Academic Ladder



# 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)
  - After deferral, candidate can “go up” the following year
  - After denial or a 5-year review without advancement, candidate can “go up” the following year
- **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: Ladder-rank Senate faculty

- **Regular, one-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: Ladder-rank faculty

- **Accelerated, 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 “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



# Step Plus is new, and we are beginning a 3-year transition from our old system



- All new faculty are coming in under the Step Plus system
- Step Plus is designed to be
  - more efficient
  - more equitable
  - at least as progressive for faculty
- Some faculty previously at UC Davis may elect to go up for early merit advancements *one time*
- All departments must establish Step Plus voting procedures in early Fall!!

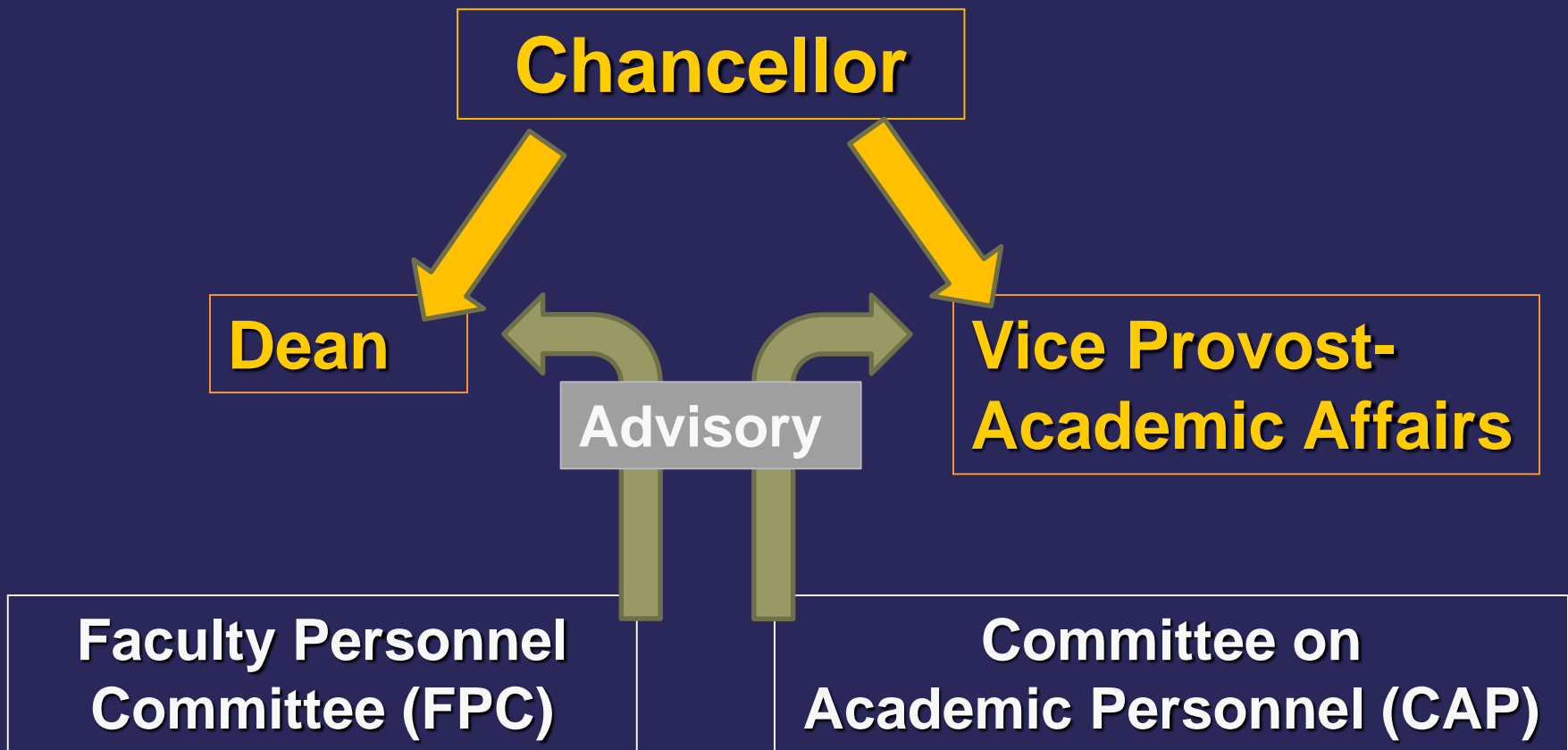
# Your merit or promotion dossier goes forward— Who decides?



The Administration... after consultation with the  
Academic Senate





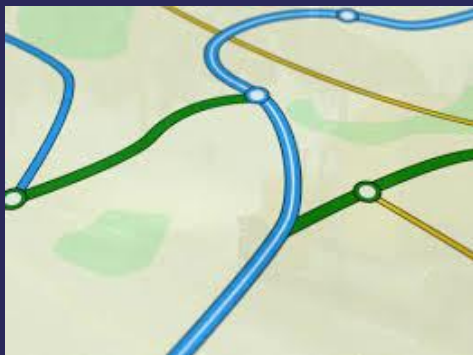


normal merits (1.0 steps)  
acceleration to 1.5 steps  
4<sup>th</sup>-year appraisals

**\*Promotions (rank change)**  
Accelerations  $\geq 2.0$  steps  
Merit to Professor Step 6  
**\*Merit to Professor Above Scale**  
4<sup>th</sup> year appraisals

**\*Extramural letters required**





## ACTIONS “REDELEGATED” TO THE DEAN

- Department reviews dossier; faculty vote
- Chair writes department letter:
  - Evaluative summary of dossier
  - Faculty vote & faculty comments
  - Faculty candidate can write rebuttal letter
- Faculty Personnel Committee (FPC) reviews dossier; makes recommendation to the Dean
- Dean decides
- Appeal by candidate can be made within 30 days



## **ACTIONS *NOT* DELEGATED TO THE DEAN (1)**

- Dossier sent by the Chair to external experts in the field for evaluation (for promotion to tenure, promotion to Full, merit advancement to Professor Above Scale)
- Faculty member can view redacted letters and write rebuttal
- Department reviews dossier; Senate faculty vote
- Chair writes evaluative department letter, including faculty vote and comments
- Faculty member can write a rejoinder letter
- Dean reviews dossier, writes evaluative letter
- Dossier reviewed by CAP, which makes recommendation





## ACTIONS *NOT* DELEGATED TO THE DEAN (2)

- CAP may recommend *ad hoc* committee to review dossier (1 from dept, 2 from outside dept);
  - Vice Provost- Academic Affairs appoints *ad hoc* committee
  - *Ad hoc* committee evaluates dossier
- CAP reviews dossier & *ad hoc* committee report; recommends action to Vice Provost
- Decision by Vice Provost, Provost or Chancellor (tenure)
- Candidate can appeal within 30 days



# APPRAISALS

- Evaluation of whether you are on track for promotion to Associate rank
- Generally occurs in your 4th year as Assistant Professor (unless you're being considered for promotion to Associate rank that year)
- Provides feedback & collegial advice in time for the advice to be useful
- Process involves feedback from your department, the FPC, the Dean, CAP, & the Vice Provost





# Promotion #1:

## ASSISTANT TO ASSOCIATE PROFESSOR

- Maximum of 8 years at Assistant rank at UC
- Decision must be made by end of 7<sup>th</sup> year
- Extension on the “tenure clock” is granted for each birth/adoption event
- Maximum extension for any reason is 2 years
- No minimum time at Assistant rank (generally occurs after 6 years at rank or after 2 years at Assistant Professor Step 4)
- Based on scholarly record since terminal degree, *especially peer-reviewed work*, UC Davis teaching and service



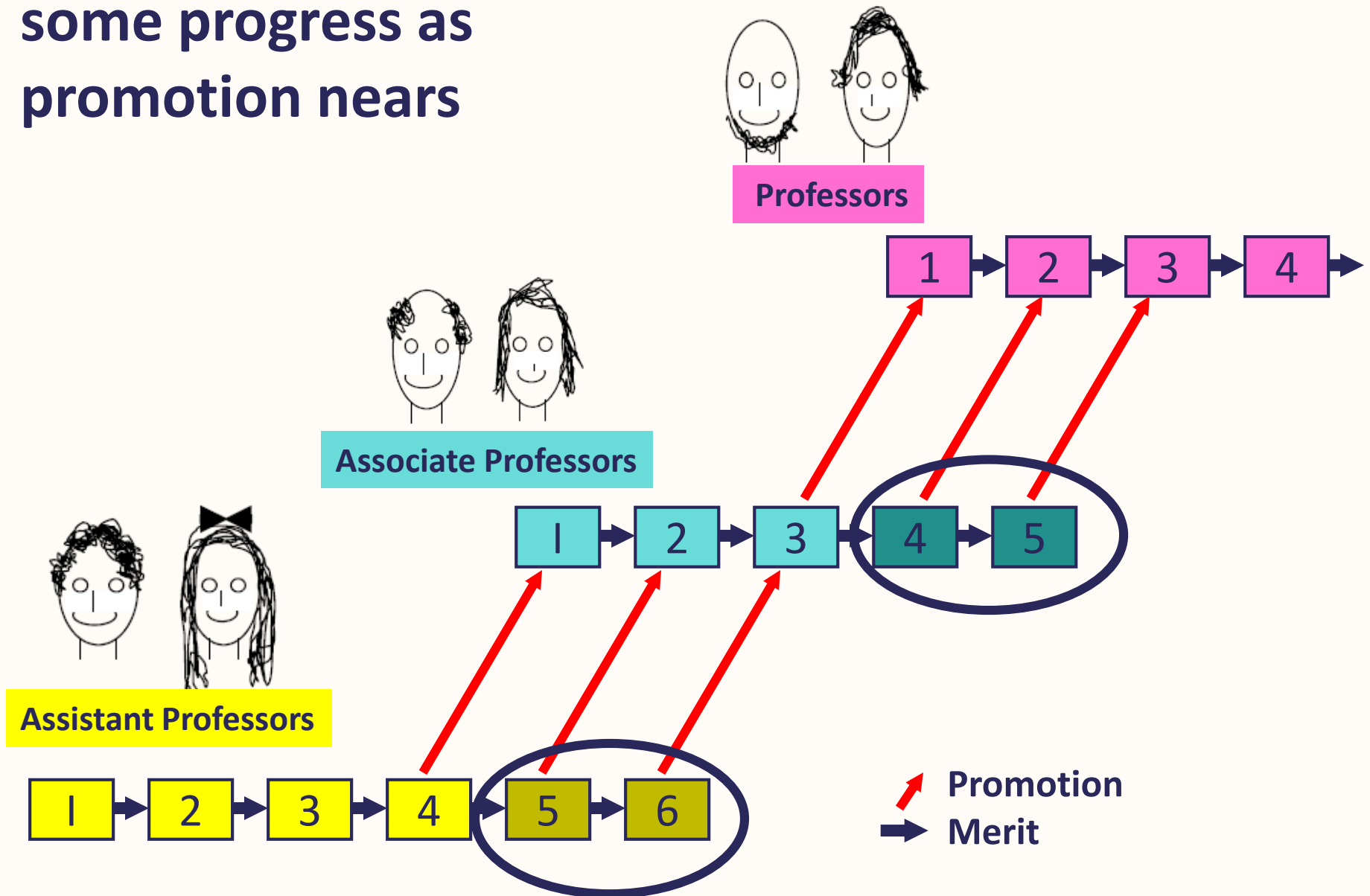
## Promotion #2:

# ASSOCIATE PROFESSOR TO PROFESSOR

- Generally occurs after 6 years at Associate rank or after 2 years as Associate Professor, Step 3
- Considers scholarly record since promotion to Associate Professor
- **Step 4 and Step 5** (the overlapping steps)
  - are often used when appointment occurred at mid-rank
  - are used occasionally when the faculty member is on track for promotion but not quite ready
  - merits to Step 4 or 5 are reviewed by CAP if the candidate will have been at Associate rank for six years or more



# Overlapping steps allow some progress as promotion nears



# ROLE OF THE ADMINISTRATION

- Chancellor/Chancellor's designee has final decision on all advancements
- At UC Davis, most advancements needing only internal review are delegated to Deans for decision
- Most advancements needing external & internal review are delegated to Vice Provost- Academic Affairs for decision
- TENURE decision remains the Provost's and Chancellor's
  - Provost has final say on "yes"
  - Chancellor has final say on "no"



# ROLE OF THE ACADEMIC SENATE

**Senate faculty play major advisory roles in personnel actions for Senate faculty**

- Senate colleagues in your department review file & vote on personnel actions
- Senate committees review all personnel actions and advise the administration
- Deans are advised by unit Faculty Personnel Committees (subcommittees of the CAP)
- Vice Provost/Provost/Chancellor are advised by CAP





# COMMUNICATE WITH YOUR CHAIR

- Review criteria for advancement and process
- Discuss content of dossier and deadlines
- Identify your role, especially with regard to intellectual leadership, in jointly authored publications
- For promotions:
  - Help develop lists of potential extramural referees (some from candidate/some from department)
  - Decide on publications to send to referees
  - Provide draft of your Candidate's Narrative

# Academic Affairs

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[Academic Personnel Manual](#)  
[Annual Call](#)  
[Attributes Chart](#)  
[Deans, Directors & Department Chairs List](#)  
[Delegations of Authority](#)  
[FAQs](#)  
[MOUs](#)  
[Salary Scales](#)  
[UCD Policy & Procedures Manual \(PPM\)](#)

Academic Affairs  
Fifth Floor  
Mrak Hall  
University of California,  
Davis



Work Life - balancing work and life for Academics



## Upcoming Events

[Chair Brown Bag Series](#)  
[New Faculty Brown Bag Series](#)

## Academic Advisories sent to the Deans

[AA2013-01 - Incomplete Dossiers \(2/7/13\)](#)

## What's New

[Faculty Search Committee Workshop 2013: PDF Resources Package](#)  
[2013-14: Recommended Language for Department Solicitation Letter to External Reviewers \(include in all solicitation letters\)](#)  
[2013-14 Non Represented Academic Salary Increases](#)  
[UC Davis receives \\$1.5 million grant for early-career faculty awards](#)  
[Chancellor Katehi joins national initiative to promote faculty work-life balance](#)  
[2014-15 Call for Chancellor's Postdoctoral Fellow Applications](#)  
[2013-14 New Faculty Brown Bag](#)