

THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY

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Vice-Provost – Academic Affairs

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Welcome to the UC Davis community!!





CAP
FPC

MIV

EVC

VP-AA

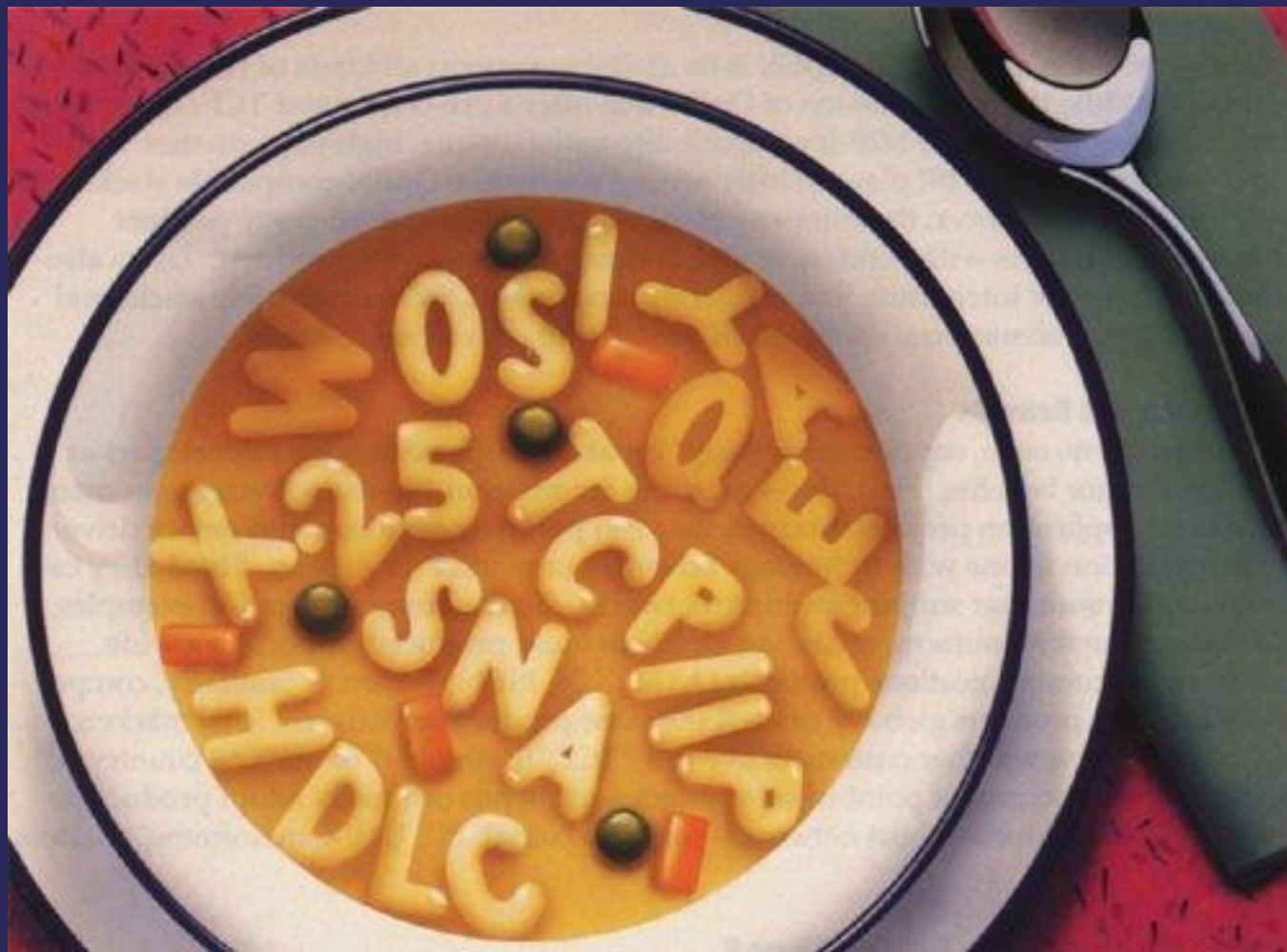
ASMD

APM
LPSOE

CAP-AC

LSOE

MOU



ROADMAP

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



Some key elements of UC Davis culture

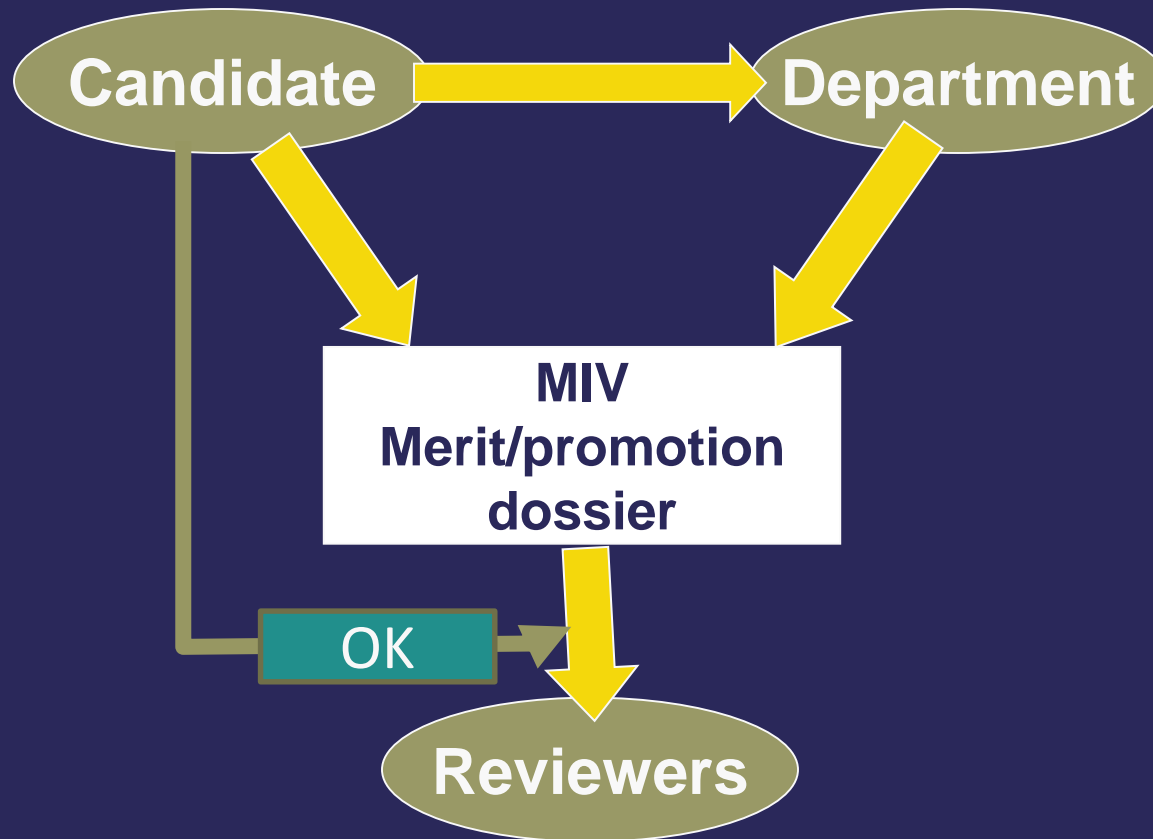
- High expectations within a system of peer review and shared governance
- Emphasis on collaboration, not competition
- Scholarly excellence is required, but is also not sufficient
- Faculty are expected to serve the University, their profession and the public... outstanding service is rewarded
- Outstanding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

The UC Davis personnel process...

- is very transparent,
- strives extremely hard to be fair,
- Rewards the “complete” faculty member *throughout the career*,
- keeps peers in touch with your achievements
- ... **and requires hard work at all levels!**



MyInfoVault (MIV): 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 Prof. → Associate Prof. → Full Prof.
 - Lecturer PSOE → Lecturer SOE → Senior LSOE
 - 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:

“Normative time” at each step

Assistant Professor

Step 1 – Step 6: 2 years

Associate Professor

Step 1 – Step 3: 2 years

Step 4 – Step 5: 3 years

Professor

Step 1 – Step 5: 3 years

Professor (senior levels)

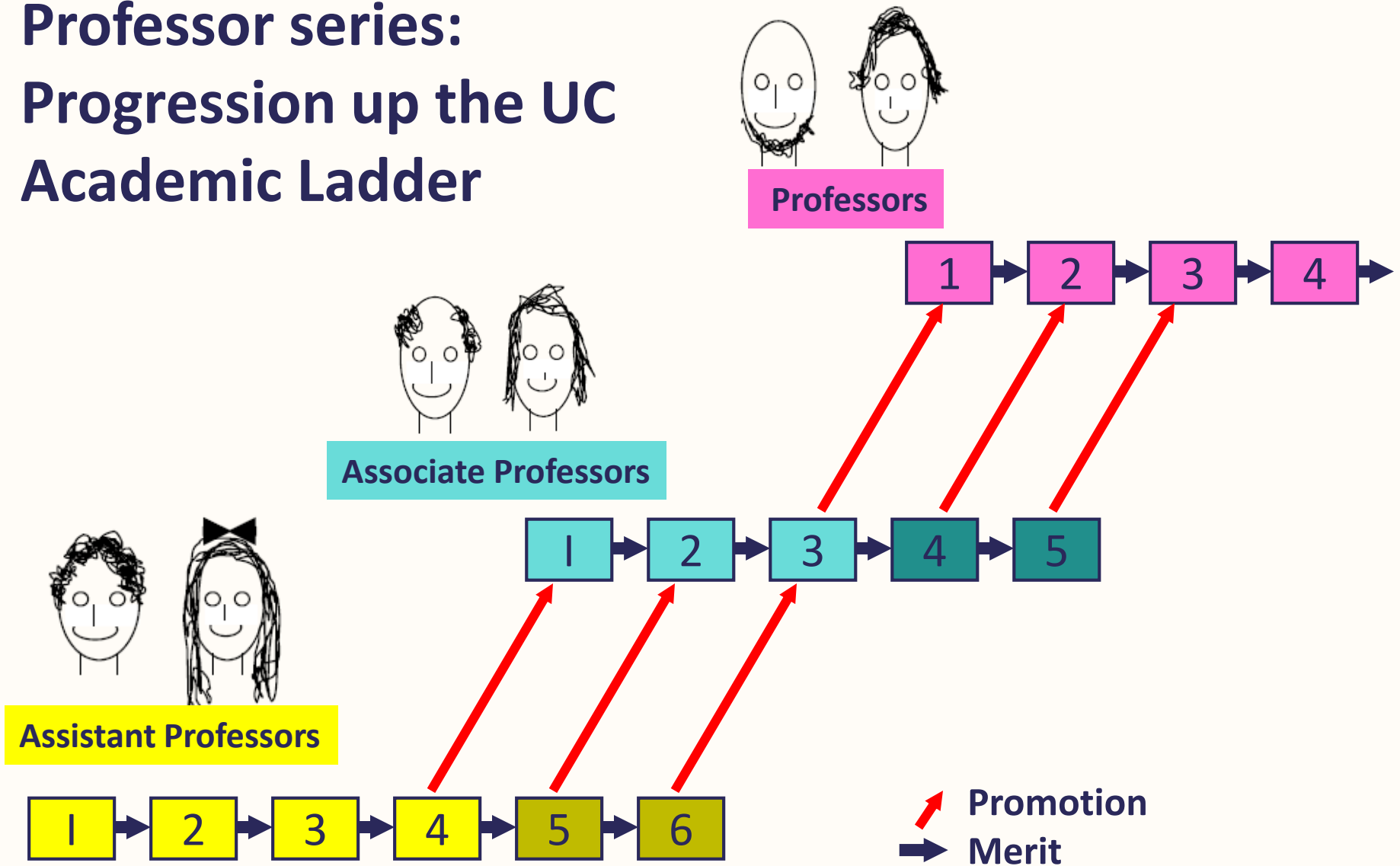
Step 6 – Step 8: 3 years +

Step 9 and A/S: 4 years +

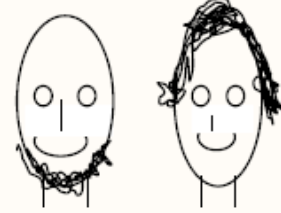
Lecturer with Potential Security of Employment: 2 years

Lecturer with Security of Employment: 3 years

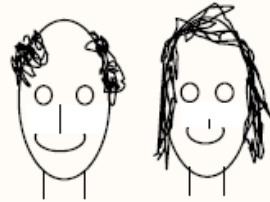
Professor series: Progression up the UC Academic Ladder



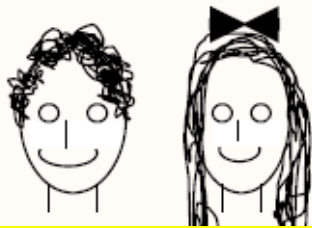
Senate Lecturer SOE series progression



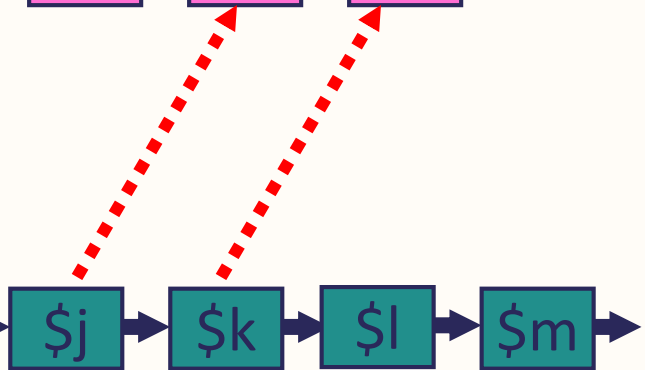
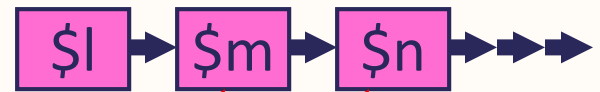
Senior Lecturers with
Security of Employment
(SLSOEs)



Lecturers with
Security of
Employment (LSOEs)

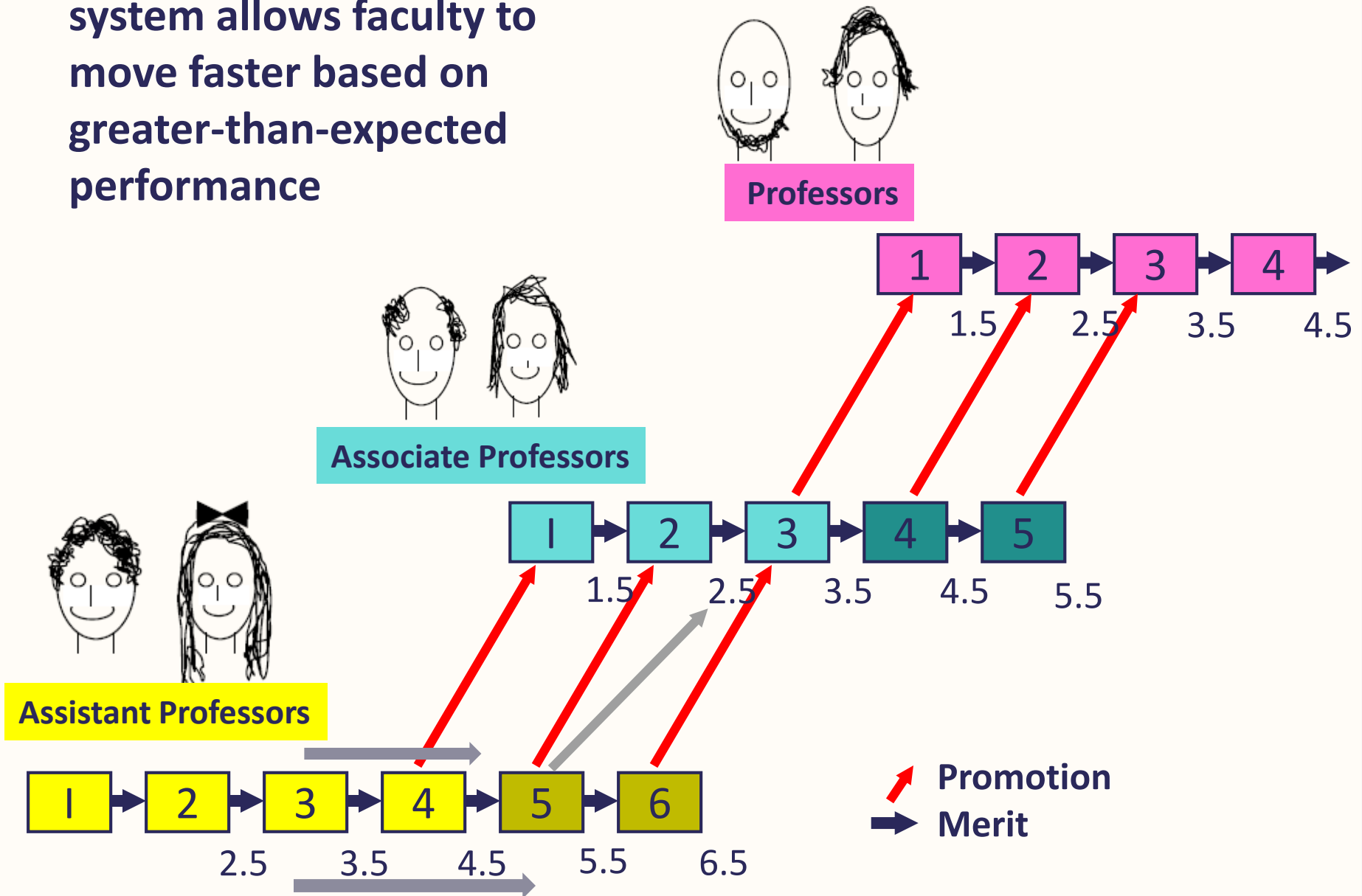


Lecturers with
Potential Security of
Employment (LPSOEs)



 Promotion
 Merit

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 Associate Prof., full Prof., LSOE, SLSOE) 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



The three legs of the academic “stool”: foundations for performance

Ladder-rank faculty



LP/SOE faculty





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





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

- Regular, 1.0-step advancement
 - Requires a **balanced record**, 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
 - In addition to excellent teaching, requires a **strong record** with outstanding achievement in at least one area of review across **teaching and learning, professional achievement creative work, and service**.



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 and learning).**
- 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 vary among disciplines!
 - E.g. the “book disciplines”
 - the arts
 - STEM disciplines
- Teaching expectations (and teaching loads) vary among disciplines
- Encourage your department to prepare written guidelines

Step Plus is new, and we are in the second year of 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.
- Faculty at UC Davis prior to 2014 may elect to go up for early merit advancements *one time only*.



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 Senate faculty can vote on ladder-rank personnel actions
 - Whether emeritae can vote (uncommon)
- Review your department’s voting rules with your Chair

Your merit or promotion dossier goes forward— Who decides?



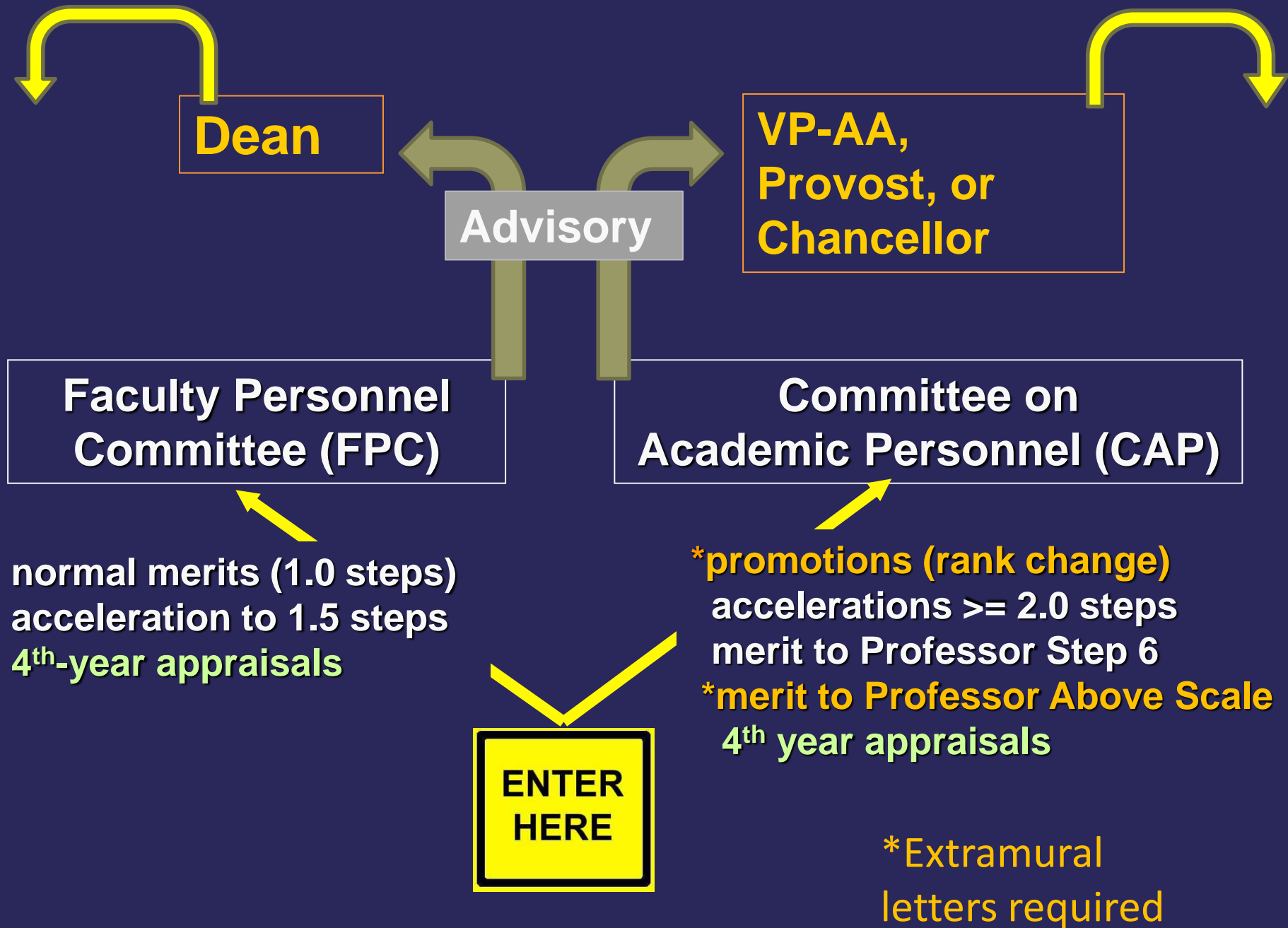
The Administration... after consultation with the
Academic Senate



Your merit or promotion dossier: many pathways to decision



- Department faculty review dossier, vote on 1, 1.5, 2.0 step options
- Chair writes department letter:
 - Evaluative summary of dossier
 - Faculty vote & faculty comments
- Faculty candidate can write rebuttal letter
 - Senate review committee (FPC or CAP) reviews dossier; makes recommendation
 - Decision on action made by dean, VP-AA, Provost or Chancellor
 - Appeal by candidate can be made within 30 days



4th year APPRAISALS

- Evaluation of whether you are on track for promotion to Associate or LSOE rank
- Generally occurs in your 4th year as Assistant Professor or LPSOE (unless you're being considered for promotion that year)
- Aims to provide 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-Academic Affairs



Promotion #1:

ASSISTANT TO ASSOCIATE PROFESSOR/ Lecturer PSOE to Lecturer SOE

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

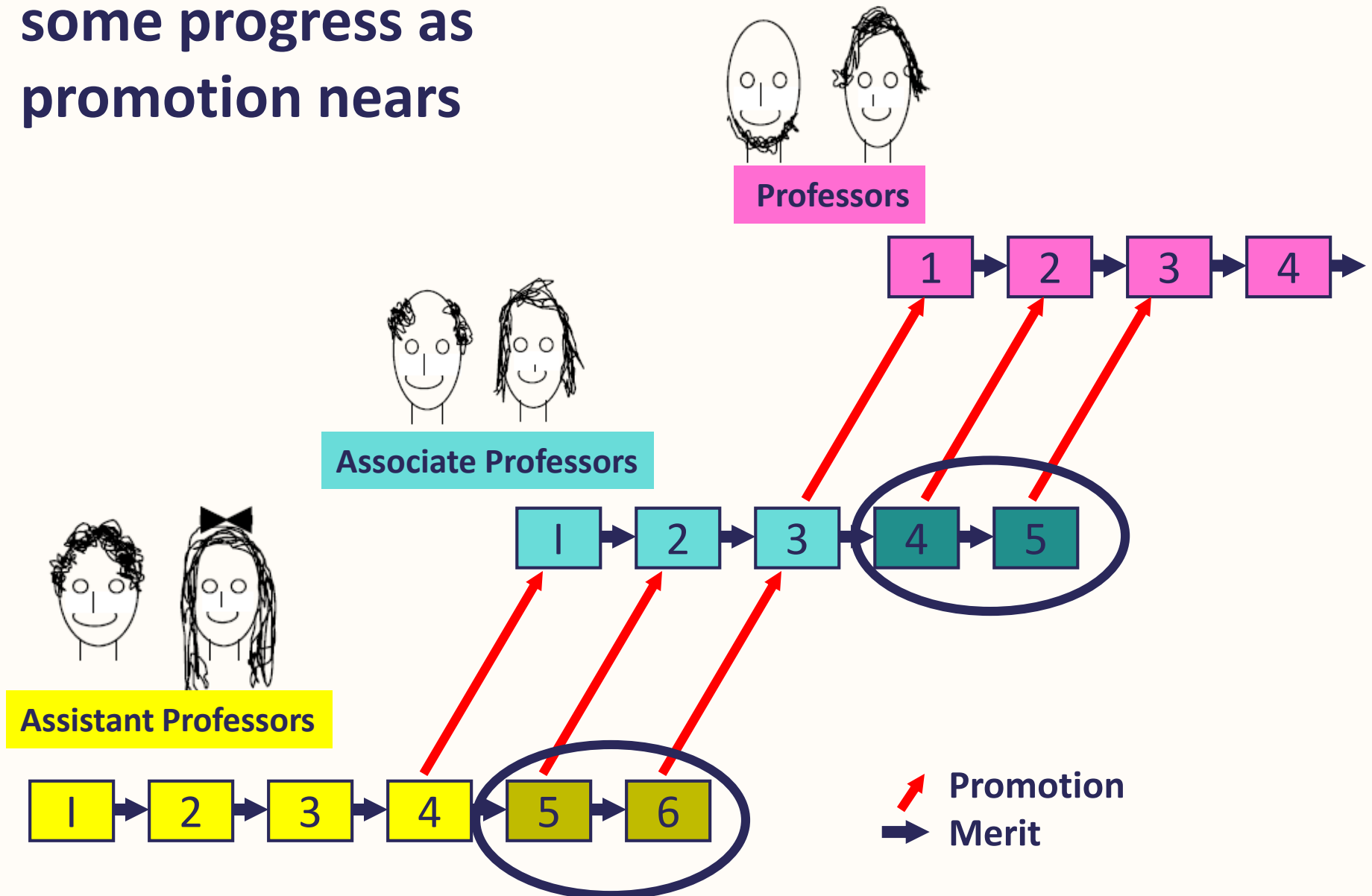


Professor series, Promotion #2: ASSOCIATE PROFESSOR TO PROFESSOR

- 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
- **Associate 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 6 years or more



Overlapping steps allow some progress as promotion nears



SOE series, Promotion #2:

Lecturer SOE to Senior Lecturer SOE

- There is currently no time limit on the time spent within the Lecturer SOE rank
- Promotion to Senior Lecturer SOE requires:
 - educational services of exceptional value to the University
 - professional accomplishments indicating leadership in education
 - National or international impact or influence in higher education teaching and learning



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/SOE 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 (FPCs are subcommittees of CAP, the Committee on Academic Personnel)
- Vice Provost/Provost/Chancellor are advised by CAP



COMMUNICATE WITH YOUR CHAIR— ask questions!!

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





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[Annual Call](#)

[Attributes Chart](#)

[Deans, Directors & Department Chairs List](#)

[Delegations of Authority](#)

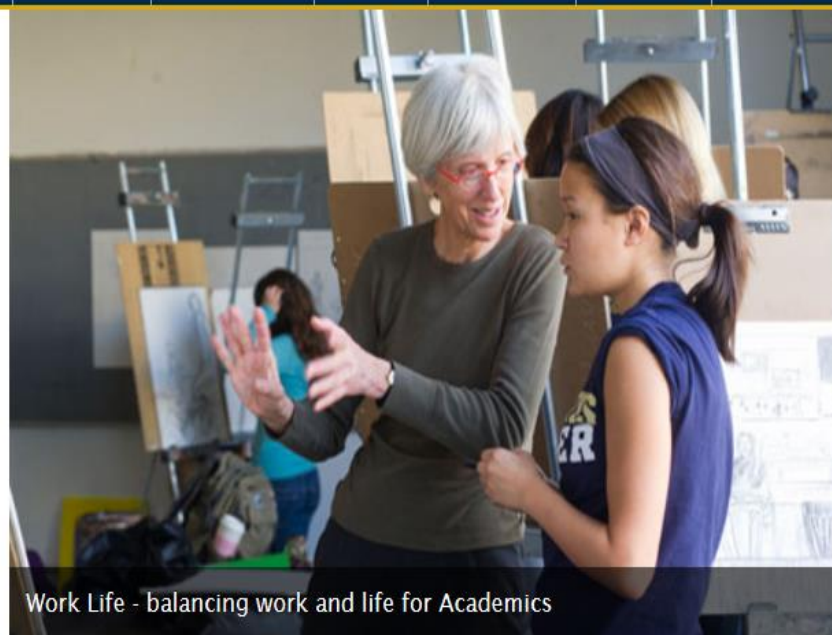
[FAQs](#)

[MOUs](#)

[Salary Scales](#)

[Step Plus System](#)

[UCD Policy & Procedures](#)



Work Life - balancing work and life for Academics



What's New

- [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](#)
- [2014-15 Annual Call for Academic Personnel Advancement Actions](#)
- [Step Plus System](#)