

THE ACADEMIC PERSONNEL PROCESS

FOR SENATE FACULTY



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Academic Affairs
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Some key elements of UC Davis academic culture

- The University of California academic personnel advancement procedures operate by **peer review, shared governance, and consultation**
- Emphasis on collaboration, not competition
- Every faculty evaluation is built on:
 - Scholarship: excellence is required, but is also not sufficient
 - Service (university and public): a requirement
 - Teaching and mentorship: excellence is required
- Shared governance is a key value: **faculty know best how to recognize excellence and outstanding performance**



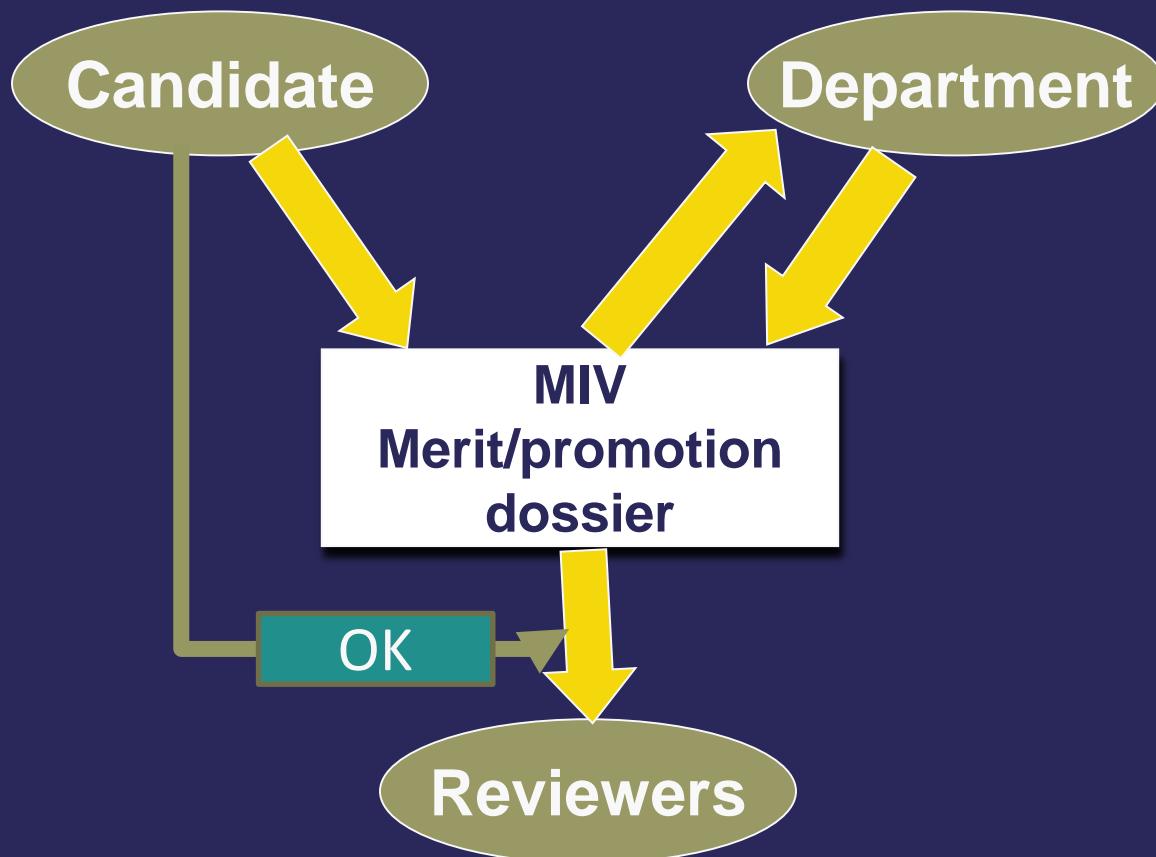
The UC Davis personnel process...

- is very transparent
- strives extremely hard to be fair
- rewards the faculty member *throughout their career*
- keeps peers in touch with your achievements

... and requires hard work at all levels – nothing short of excellence is expected for advancement



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

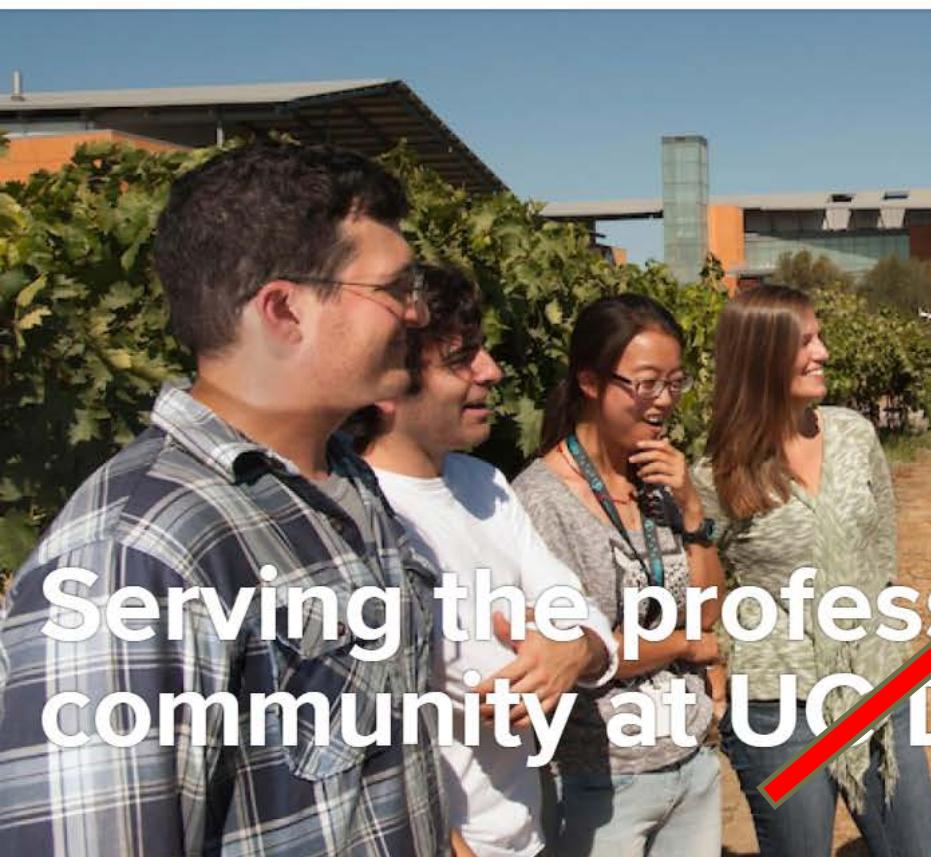


<http://myinfovault.ucdavis.edu/>



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Academic Personnel
History & Information
Database (APHID)

Demographic Data

E-Verify

Faculty Satisfaction
Survey Reports
(COACHE)

Forms Online

Grant Writing Links and
Resources

Hiring Goals & History

MyInfoVault (MIV)

Position Planning Tool

RECRUIT

STEM Faculty Data



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THE UC RANKS & STEPS

- **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 and external review
- **Merit advancements** occur when you move up in step within each rank; most “merits” require only internal review
- **Two additional “barrier step” merits** occur within the **full Professor** rank
 - Professor Step 6 (requires national impact, maybe external letters)
 - Professor Above Scale (requires international impact and external letters)



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UC Ranks & Steps: “Normative time” at each step

Assistant Professor

Step 1 – Step 6.5: 2 years

Associate Professor

Step 1 – Step 3.5: 2 years

Step 4 – Step 5.5: 3 years

Professor

Step 1 – Step 5.5: 3 years

Professor (senior levels)

Step 6 – Step 8.5: 3 years

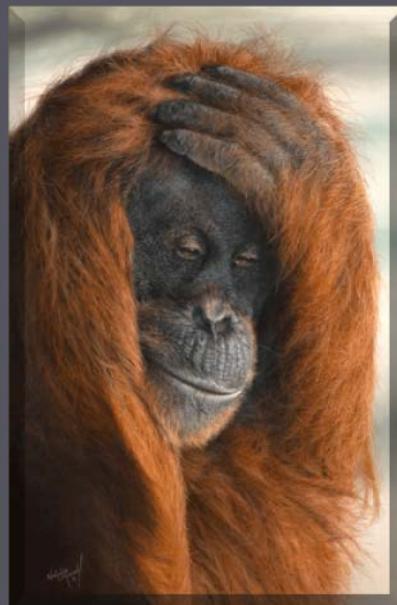
Step 9, 9.5, and AS*: 4 years +

* AS = “above scale”

Lecturer with Potential Security of Employment: 2 years

Lecturer/Senior Lecturer with Security of Employment: 3 years or 4 years (at senior levels)

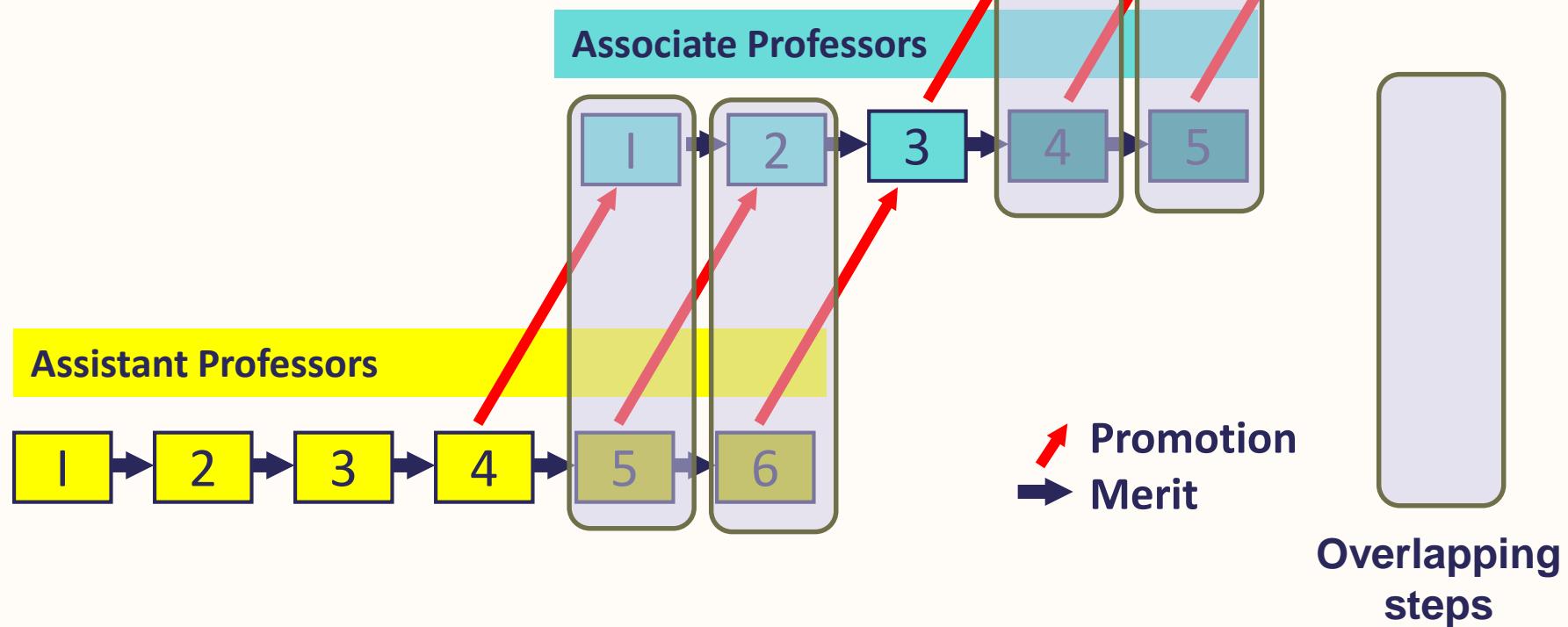
Regardless of rank, *every* faculty member must be reviewed at intervals of no greater than 5 years since last review



Professor

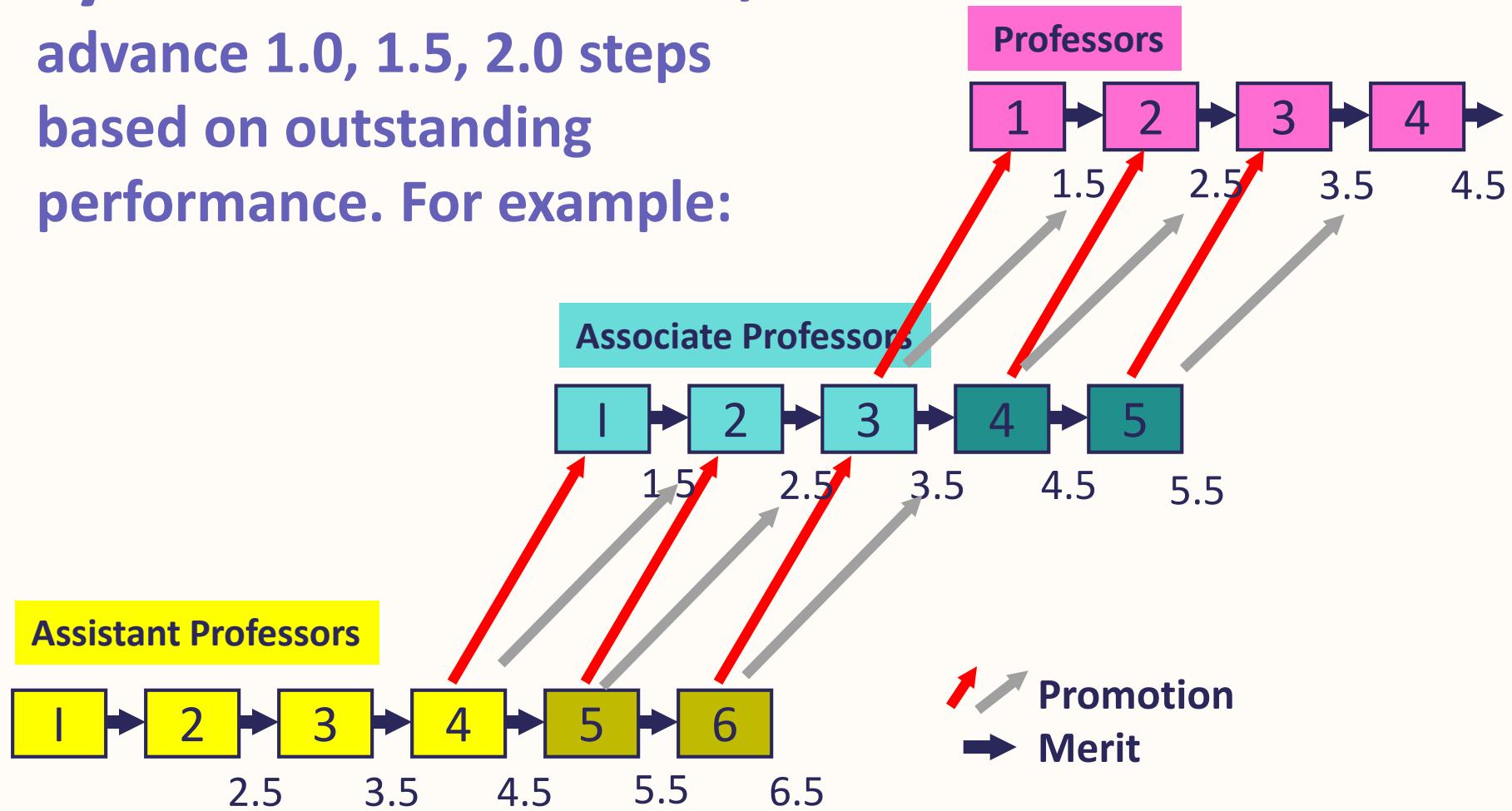
series:

Progression up the UC
Academic Ladder



The UC Davis Step Plus

system also allows faculty to advance 1.0, 1.5, 2.0 steps based on outstanding performance. For example:



A Primer on the UC Davis Step Plus system

- A faculty member is eligible for **merit advancement** after serving *normative time* at their current step (2, 3, or 4 years)
 - After deferral, candidate can still advance the following year
 - After denial or a 5-year review without advancement, candidate can still advance the following year
 - Each merit dossier will be considered for advancement under Step Plus, so more than 1.0 step is possible
 - “Regular advancement” – the “gold standard” for excellence - is 1.0 step
 - Step Plus advancement may also be 1.5 or 2.0 steps if the record is particularly outstanding in one or more areas.
- **Promotion** (to Associate Prof., full Prof., LSOE, SLSOE) can occur early (“acceleration in time” - before normative time has elapsed)
 - Early promotions are not considered for advancement of >1.0 step



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

Ladder-rank faculty



LP/SOE faculty



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Advancement (merits and promotions):

Step Plus is now in its 5th year since transition from our earlier system

- All new faculty come in under the Step Plus system
- Step Plus is designed to:
 - reduce the number of actions per year in departments
 - reward outstanding achievement in all areas of academic work
 - promote equity and faculty progress



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 **excellent accomplishments in most or all areas of review**. Most 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 of excellence.



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, outstanding 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 advancement 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 excellent accomplishments in all areas of review, and in particular requires evidence of superior intellectual attainment in teaching and assessment of learning outcomes. 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 and activities, and university and public 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 advancement are *very stringent***



How do you find out what the expectations are for regular advancement?



- Read APM and UCD 210 and 220
- 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
- Ask if your department has prepared written guidelines



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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, Acting Professor of Law
- Each department has specific voting procedures that determine:
 - whether junior faculty vote on appointments or advancements at higher ranks
 - whether non-ladder rank Senate faculty can vote on ladder-rank personnel actions
 - Whether emeriti/emeritae can have the vote extended to them
- Review your department’s voting procedures with your Chair



Your merit or promotion dossier: many pathways to decision



- Department faculty review dossier, vote on 1, 1.5, 2.0 step options
 - For actions with extramural letters, faculty candidate can write a rebuttal letter to be included in the dossier for department review and vote
- Chair (with assistance) writes department letter:
 - Evaluative and analytic summary of dossier
 - Faculty vote, faculty comments, and Step Plus evaluation
 - Faculty candidate can write rejoinder letter
- Senate review committee (FPC or CAP) reviews dossier; makes recommendation
- **Decisions** on actions are made by **Dean** (first merit, 1.0 or 1.5 merits), **Vice Provost-Academic Affairs** (promotions to full professor, 2.0 actions, above scale), **Provost** (tenure approval), or **Chancellor** (tenure denial)
- Appeal by candidate can be made within 30 days



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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

2.0-step merit recommendation
***promotions (rank change)**
merit to Professor Step 6
***merit to Professor Above Scale**
merit to Professor further
Above Scale

**Faculty Personnel
Committee (FPC)
recommendation**

1.0-step or 1.5-step merit
recommendations
4th-year appraisal

**Department review,
recommendation**

Your
MIV
dossier



**Committee on
Academic Personnel (CAP)
recommendation**

**Extramural
letters required*



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 and collegial advice in time for the advice to be useful
- Recommendation can be positive, guarded, negative, or a combination
- Process involves feedback from your department, the FPC, the Dean, CAP, and the Vice Provost-Academic Affairs



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Academic Personnel
Manual

Step Plus System

Academic Advisories

Access to Records

Ad Hoc Committees

Annual Call

Appointment and
Advancement

Compensation

Leaves

Recruitments and
Removals

Retirements and
Recalls



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Professor series: Promotion #1: ASSISTANT → ASSOCIATE PROFESSOR

- **Maximum** of 8 years at Assistant rank at UC, decision must be made by end of 7th year
- **Extension on the “tenure clock”** is granted for each birth/adoption/foster event; maximum total extension is 2 years
- Decision based on record since **terminal degree, especially peer-reviewed work, UC Davis research, teaching and service**
 - APM 210: *Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion*
 - Service expectations are modest at this rank



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Professor series, Promotion #2: ASSOCIATE PROFESSOR → PROFESSOR

- Generally occurs after 6 years at Associate rank or after 2 years as Associate Professor, Step 3.0
- Based on scholarly record since promotion to Associate Professor
- Associate Step 4.0 and Step 5.0 (the overlapping steps)
 - are often used when appointment occurred at mid-rank
 - are used when the faculty member is clearly 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
- Expectations include continued professional growth and increasing scope and impact of teaching and scholarly/creative work, and service



LSOE series, Promotion #1:

Lecturer with Potential SOE → Lecturer SOE

- Maximum of 8 years at LPSOE rank, decision must be made by end of 7th year
- Extension on the “tenure/SOE clock” is granted for each birth/adoption/foster event; maximum total extension is 2 years
- Promotion to Lecturer SOE is based on:
 - superior intellectual attainment in teaching and assessment of learning outcomes
 - excellent teaching and pedagogical innovation
 - continued professional growth and enhancement of value to the institution and its instructional programs
- See: APM 210, APM 285, APM UCD 285, and Chairs Guidebook for LSOEs at Academic Affairs website



LSOE series, Promotion #2:

Lecturer SOE to Senior Lecturer SOE

- There is currently no time limit on the time spent within the Lecturer SOE rank; *this may change under new systemwide policies, currently under review.*
- 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



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) – preferably “arms length”
 - Decide on publications to send to referees
 - Provide draft of your Candidate’s Statement



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Thank you – any questions?



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