# THE ACADEMIC PERSONNEL PROCESS
## FOR SENATE FACULTY

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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
  - Teaching and mentorship: excellence is required
  - Service (university and public): a requirement
- Shared governance is a key UC value: **faculty** know best how to recognize excellence and outstanding performance

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# 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
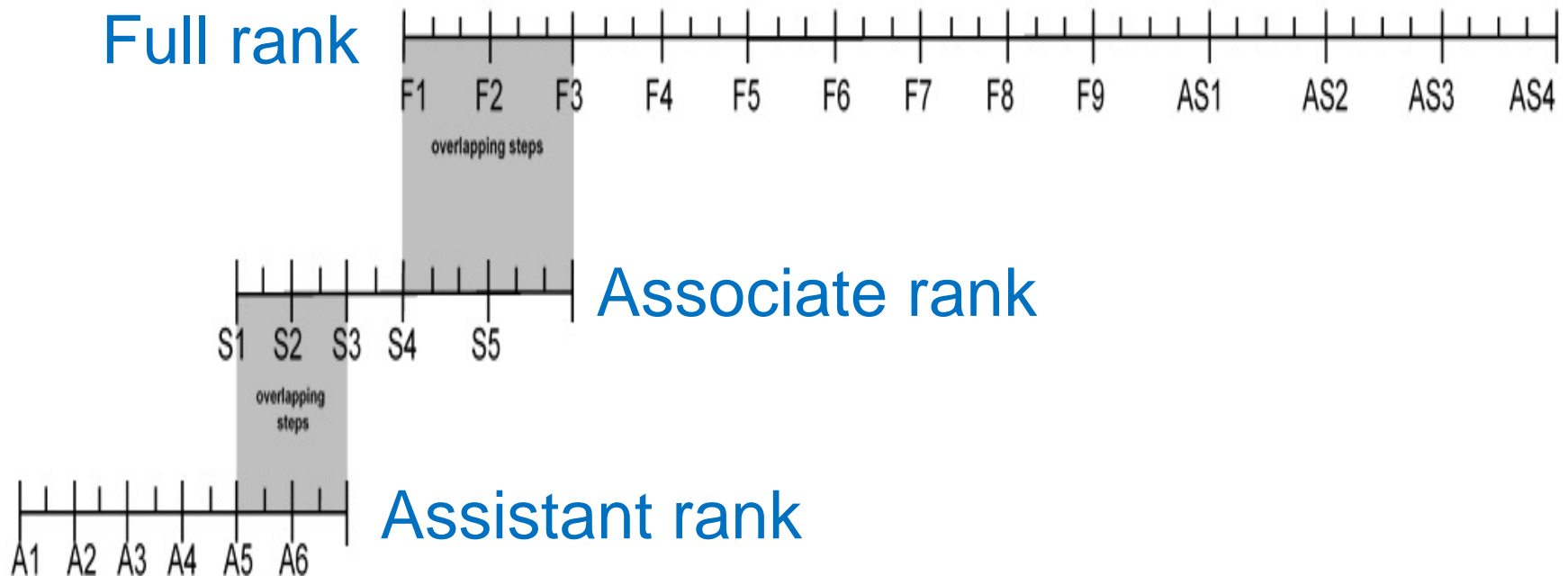


**https://myinfovault.ucdavis.edu/**
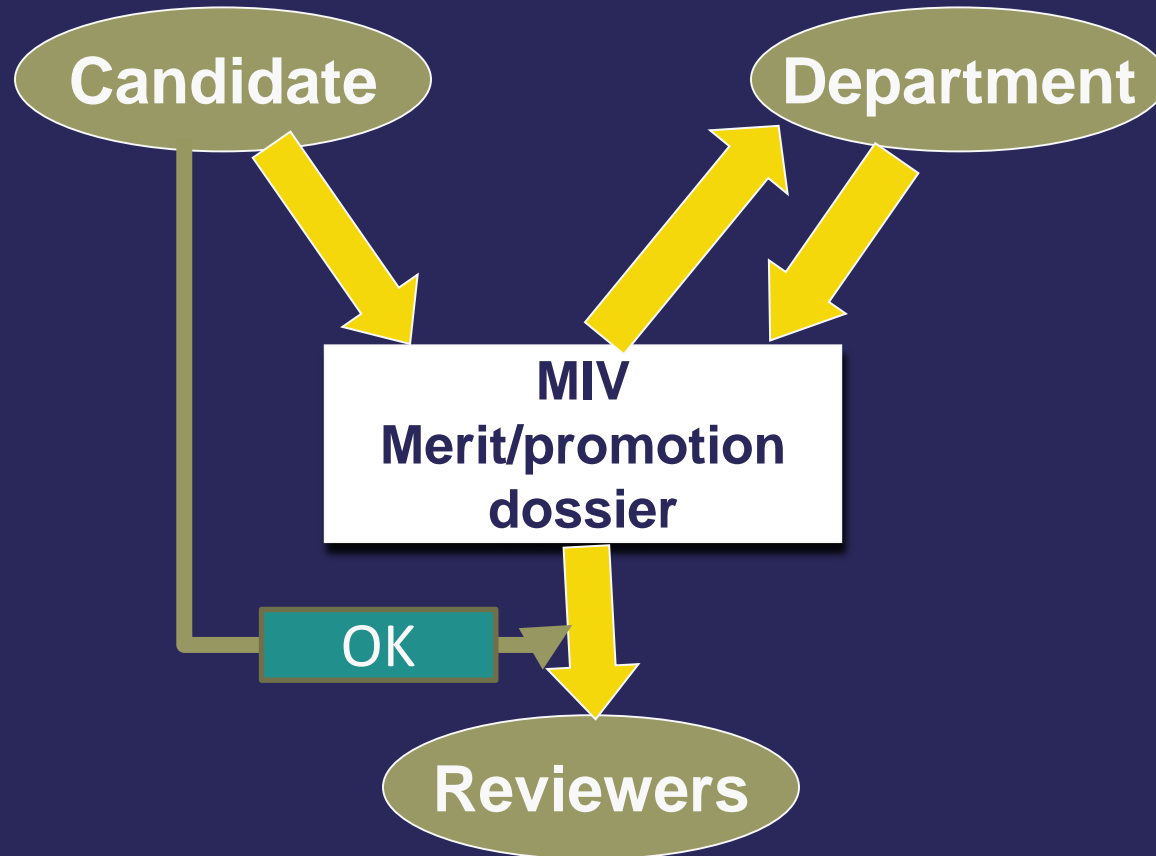
# THE UC RANKS & STEPS

- **Promotions** occur when you move to the next rank
  - Assistant Prof. →Associate Prof. → Full Prof.
  - Lecturer with Potential Security of Employment (LPSOE) → Lecturer Security of Employment (LSOE) → 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, with optional external letters
  - Professor "with salary above-scale" (4 years after Step 9) - requires international impact and external letters

# A snapshot of our ranks and steps



Full rank

F1 F2 F3 F4 F5 F6 F7 F8 F9 AS1 AS2 AS3 AS4

overlapping steps

Associate rank

S1 S2 S3 S4 S5

overlapping steps

Assistant rank

A1 A2 A3 A4 A5 A6

# UC Ranks & Steps:
# "Normative time" at each step

**Assistant Professor**
**Lecturer PSOE**
Step 1 – Step 6.5: 2 years

**Associate Professor**
**Lecturer SOE**
Step 1 – Step 3.5: 2 years
Step 4 – Step 5.5: 3 years

**Professor**
**Senior Lecturer SOE**
Step 1 – Step 5.5: 3 years

**Professor (senior levels)**
**Senior Lecturer SOE**
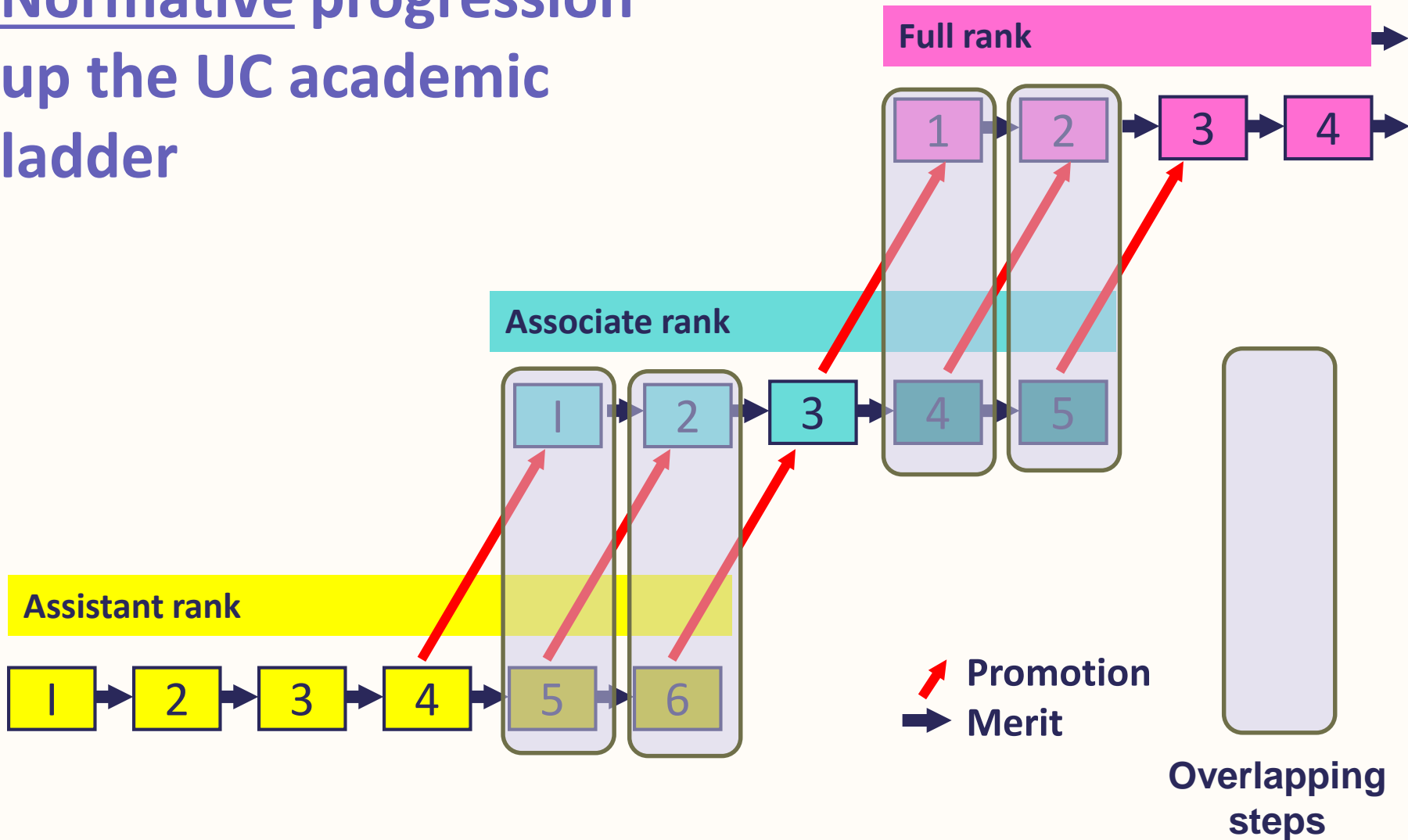Step 6 – Step 8.5: 3 years
Step 9, 9.5, and AS*: 4 years
* AS = "above-scale"

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

# Faculty series:

**Normative** progression up the UC academic ladder

Full rank

Associate rank

Assistant rank

Promotion
Merit

Overlapping steps

*The* **UC Davis Step Plus system** also allows faculty to advance 1.0, 1.5, 2.0 steps based on outstanding performance. For example:
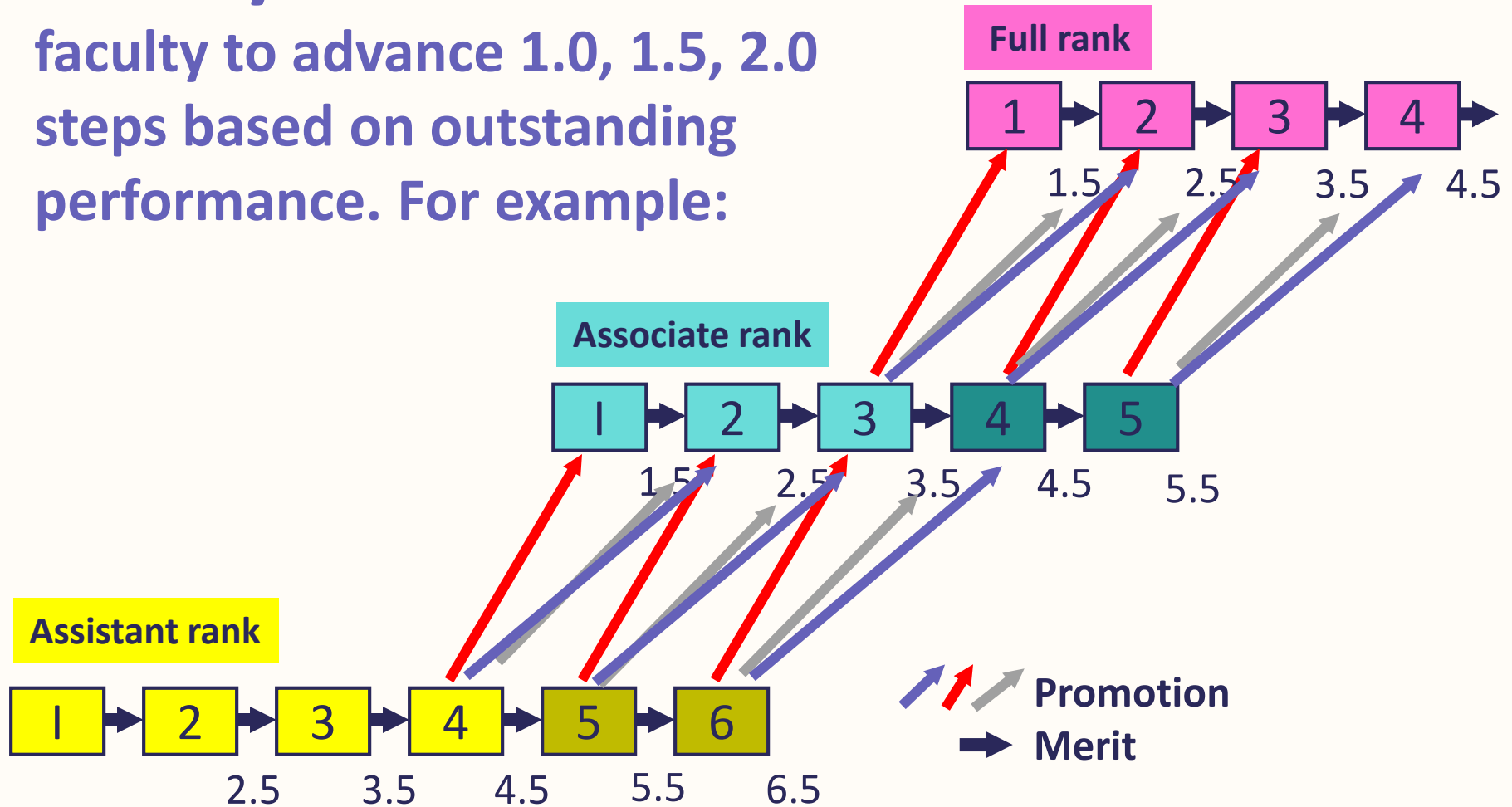
# A Primer on the UC Davis Step Plus system

- A faculty member is eligible for **merit** advancement after serving *normative time* at their current step (2, 3, or 4 years)

  - Every merit dossier will be considered for advancement under Step Plus, so more than 1.0 step is possible

  - "Regular advancement" – the "standard of 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 can occur early ("acceleration in time" - before normative time has elapsed)

  - Early promotions are **<u>not</u>** considered for advancement of >1.0 step

  - "Lateral" promotion can occur at overlapping steps

# The three legs of the academic "stool": foundations for performance

## Ladder-rank faculty



- University and public service
- Teaching (including mentorship)
- Research, creative work

## L(P)SOE faculty



- University and public service
- Professional and/or scholarly achievement and activity (including creative activity)
- Teaching excellence

# Advancement (merits and promotions):

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

- **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.

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# Guidelines for advancement under Step Plus

- **2.0-step advancement**

  - Requires a **strong record in all three areas of review, with <u>outstanding</u> 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 *exceedingly* stringent

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

- **Read APM 210, APM 220, and APM UCD 220 (professorial series) and APM 210 and APM 285 (LSOE series)**

- **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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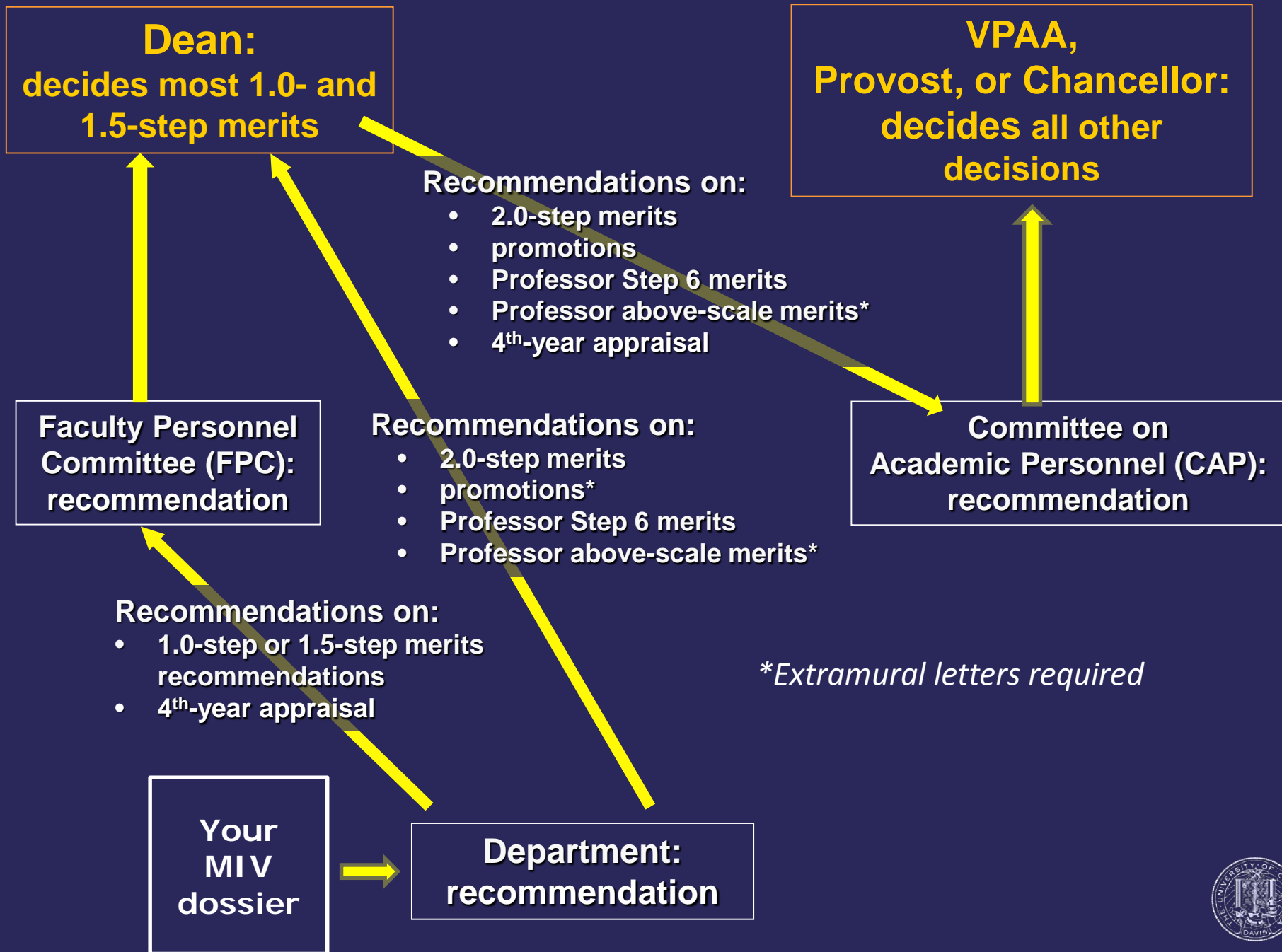# Which department members vote on your merit or promotion dossier?

- **Only Senate faculty can vote on Senate personnel actions.**

  - Most common Senate series: Professor (also called "ladder-rank faculty"), Lecturer with 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 <u>non-ladder rank</u> Senate faculty can vote on <u>ladder-rank</u> Senate faculty personnel actions

  - Whether emeriti/emerita can have the vote extended to them

- **Review your department's voting procedures with your Chair**

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# 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 candidates 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-step merits), **Vice Provost-Academic Affairs** (promotions to full professor, 2.0-step actions, above scale), **Provost** (tenure approval), or **Chancellor** (tenure denial)
- Appeal by candidate can be made within 30 days of decision notification

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**Dean:**
decides most 1.0- and 1.5-step merits

**VPAA, Provost, or Chancellor:**
decides all other decisions

**Recommendations on:**
- 2.0-step merits
- promotions
- Professor Step 6 merits
- Professor above-scale merits*
- 4th-year appraisal

**Faculty Personnel Committee (FPC):**
recommendation

**Recommendations on:**
- 2.0-step merits
- promotions*
- Professor Step 6 merits
- Professor above-scale merits*

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

**Recommendations on:**
- 1.0-step or 1.5-step merits recommendations
- 4th-year appraisal

*Extramural letters required*

**Your MIV dossier**

**Department:**
recommendation

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# 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 college/school FPC, the Dean, CAP, and the Vice Provost-Academic Affairs

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# Promotion #1:

## Assistant ➔ Associate

- **Maximum** of 8 years at Assistant rank at UC, 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 two years

- Decision based on record **since terminal degree**
  - APM 210-1: Criteria for the Professor series
  - APM 210-2: Criteria for the Professor of Clinical X series
  - APM 210-3: Criteria for the Lecturer with Security of Employment series
  - APM 210-6: Criteria for the Health Sciences Clinical Professor series

- Service expectations are modest at this rank

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# Promotion #2:
## Associate ➜ Full

- Generally occurs after 6 years at Associate rank or after 2 years as Associate Professor or LSOE, Step 3.0, but can be more or less

- Based on scholarly record since promotion to Associate rank

- 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 <u>quite</u> ready

  - merits to Step 4 or 5 are reviewed by CAP if the candidate has been at the 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

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# 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/teaching-related achievements to send to referees

  ➢ Provide draft of your Candidate's Statement

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Thank you – any questions?

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