

THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY



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September 2020



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**

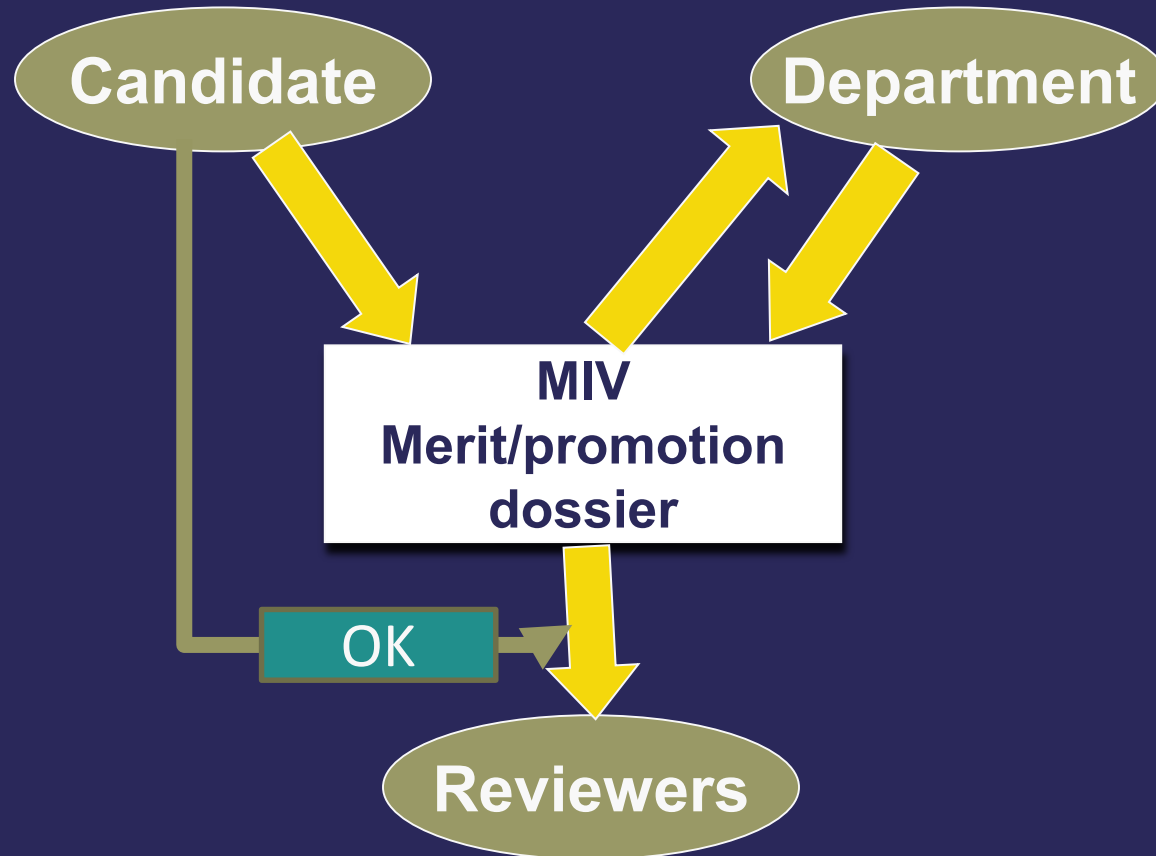


The UC Davis personnel process...

- 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/>

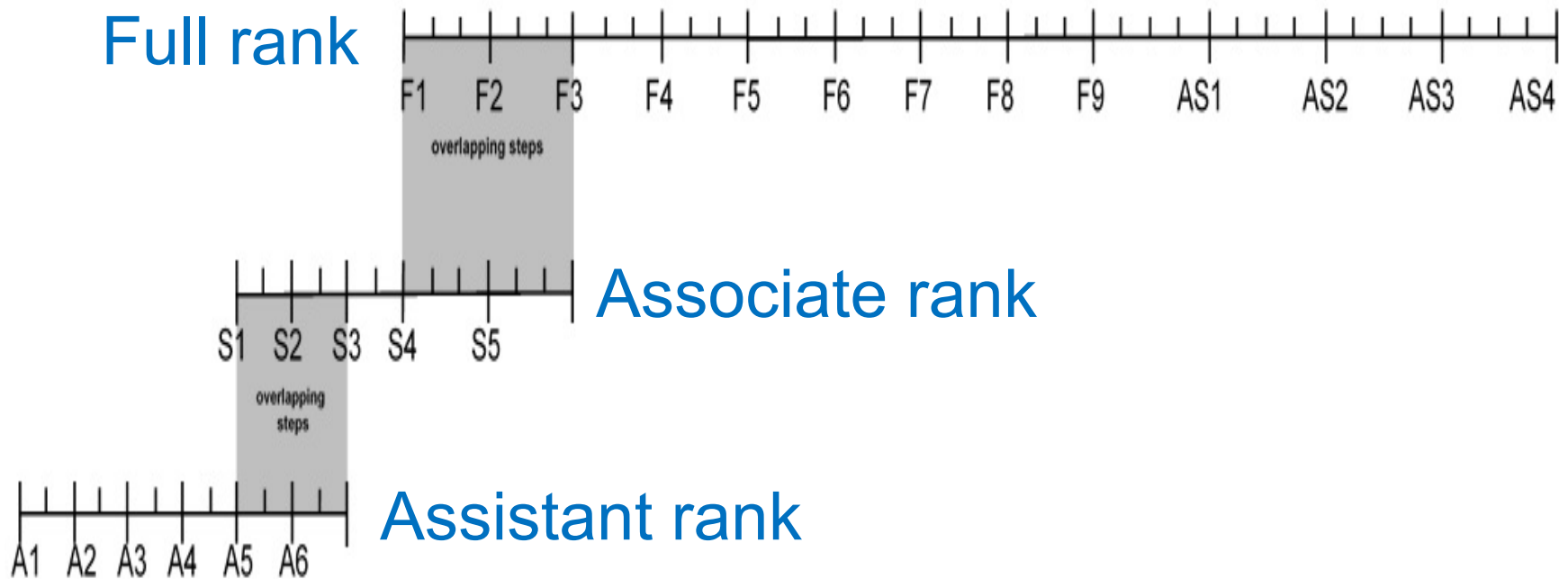
THE UC RANKS & STEPS



- **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



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

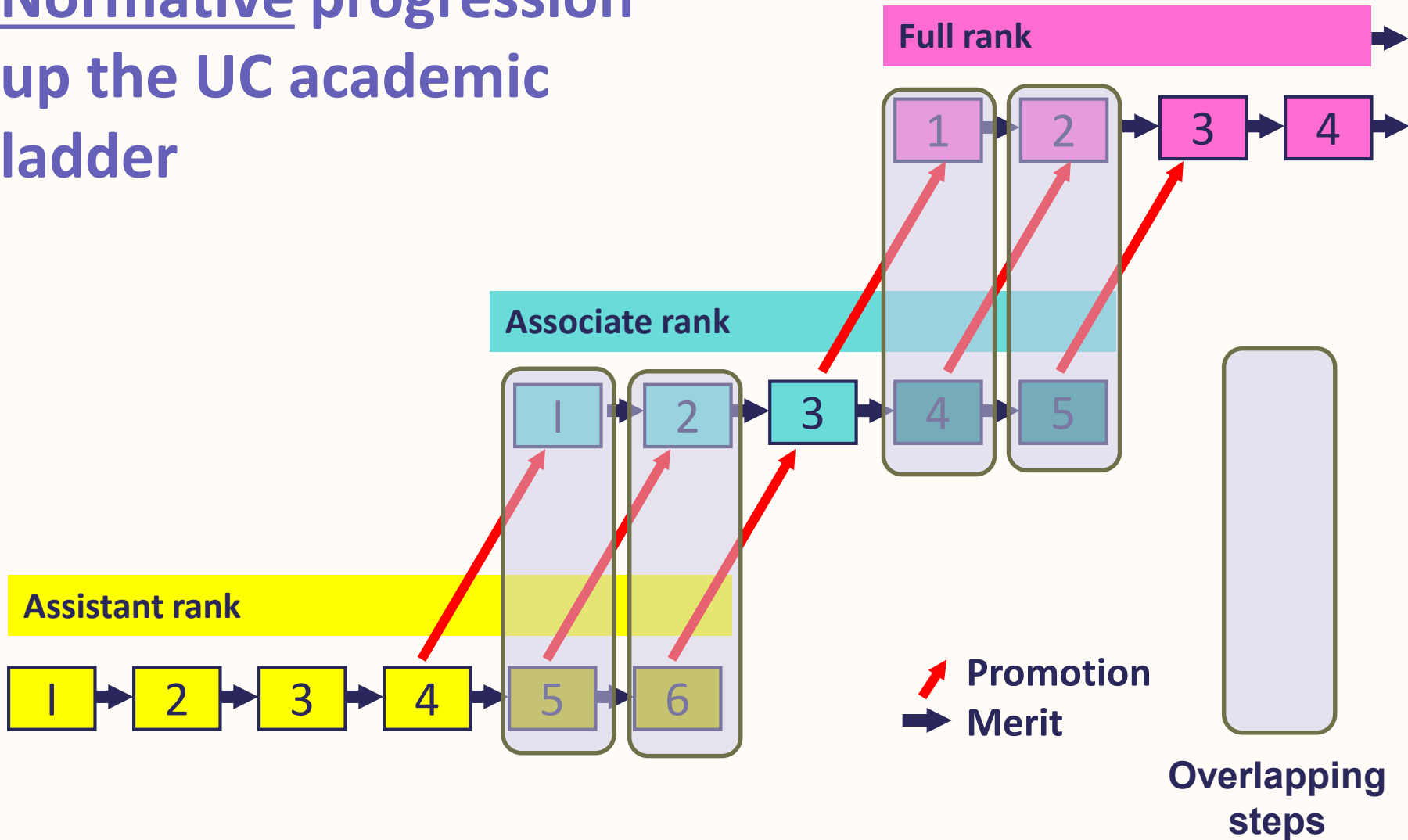
* AS = “above-scale”

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



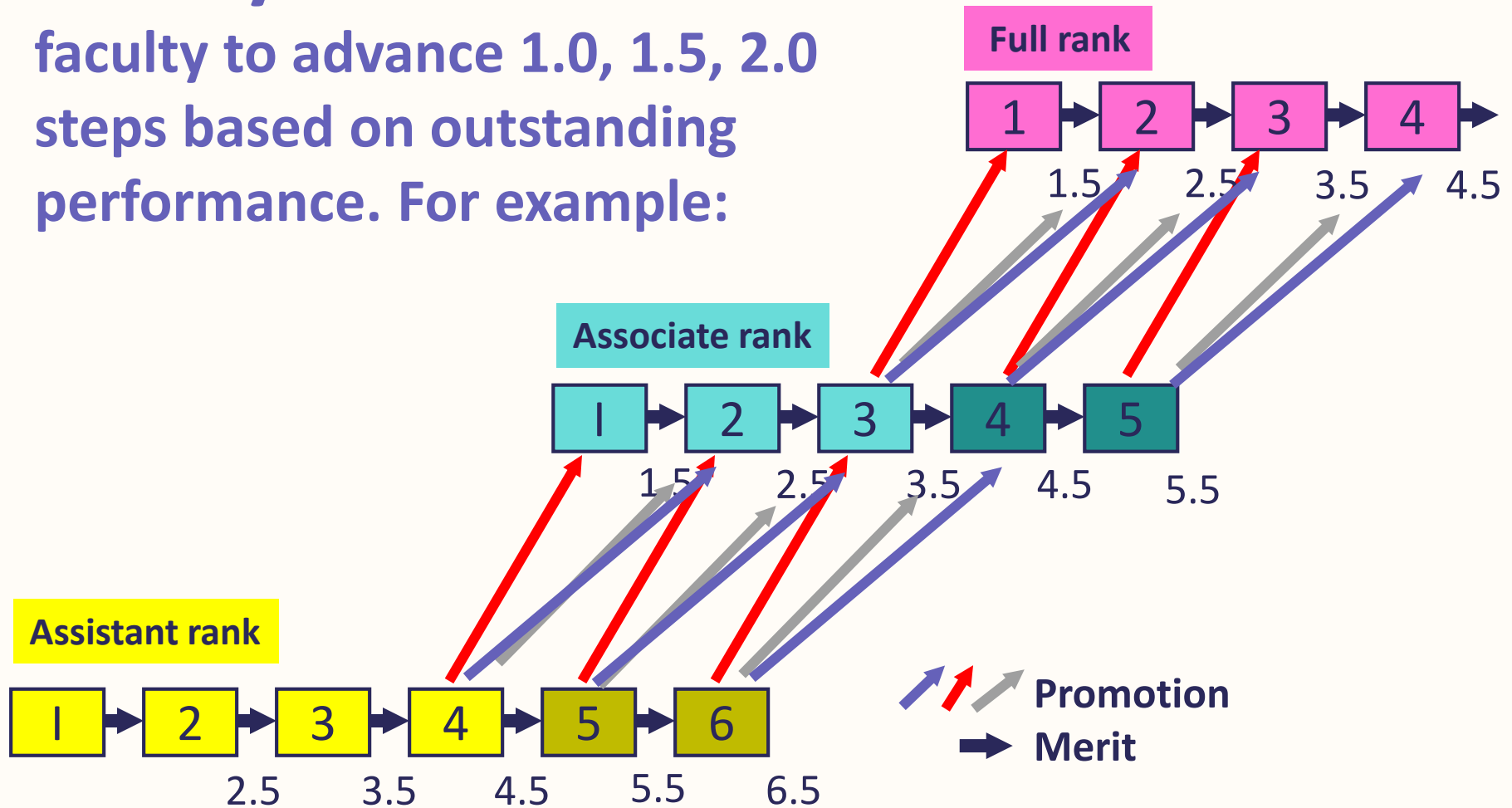
Faculty series:

Normative progression
up the UC academic
ladder



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
 - “Normal 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), *but is not considered part of the Step Plus system*
 - Early promotions are **not** 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



L(P)SOE faculty



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:

- Normal, 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

- 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 *exceedingly* stringent

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**

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 non-ladder rank Senate faculty can vote on ladder-rank Senate faculty personnel actions
 - Whether emeriti/emera 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

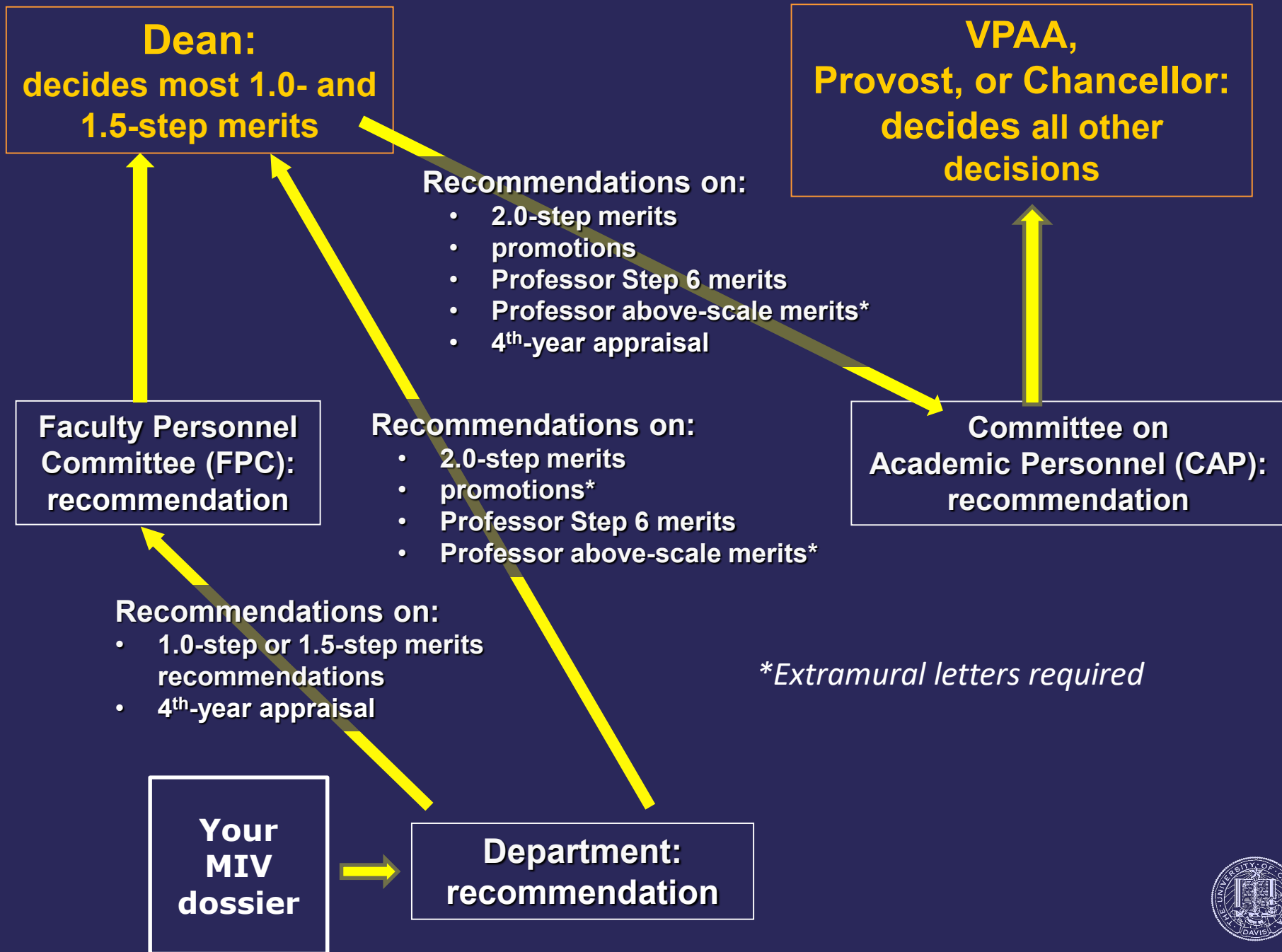


- Department faculty review dossier, vote on 1, 1.5, 2.0 step options
 - For actions with extramural letters, faculty candidates can write a rebuttal letter to be included in the dossier for department review and vote
- Chair (with assistance) writes department letter:
 - Evaluative and analytic summary 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

Step Plus outcomes (Senate report)

Table 2. Merit outcomes before and after Step Plus: Gender

Change in Step	Before Step Plus			After Step Plus		
	Female	Male	Unknown	Female	Male	Unknown
3 or higher	0.4%	0.4%	0.0%	0.2%	0.1%	0.0%
2.5	0.0%	0.0%	0.0%	0.2%	0.2%	0.7%
2.0	4.0%	3.0%	3.6%	15.4%	11.5%	12.3%
1.5	0.0%	0.0%	0.0%	43.8%	39.5%	43.5%
1.0	89.8%	87.4%	86.0%	36.4%	41.8%	42.7%
0	6.4%	9.2%	10.6%	0.8%	5.6%	0.8%
2.0 + 1.5	4.0%	3.0%	3.6%	59.2%	51.0%	55.8%



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



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, except by UC Provost exception for a third year.
- Clock extensions are automatically granted for birth/adoption/foster, but they can also be requested by exception for medical reasons, and now for COVID-19.
- Decision based on record **since terminal degree**
 - APM 210-1: Criteria for the Professor and Professor in Residence 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



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 quite 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



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



COVID-19 Impacts

○ Scholarship

- Expected that this will be impacted in coming years, especially for laboratory-based research and for primary caregivers of young children and other family members
- Use Candidate's Statement to explain impact

COVID-19 Impacts

○ Teaching

- Expected that some students and faculty will adapt to distance learning better than others
- Use Candidate's Statement to explain impact of sheltering in place
- Innovation will be positively regarded
- Evaluations from Winter and Spring 2020 are optional
- Peer evaluation is still required

COVID-19 Impacts

- Service

- Still expected, but may especially impact parents of young children and caregivers
- Use Candidate's Statement to explain impact of sheltering in place

COVID-19 impacts

- An additional year on the eight-year “clock” is allowed for COVID-19-related reasons
- Need to apply for this before the last year (traditionally the 8th year)
- This is in addition to up to two extra years for child/caregiver-related activities, but must be approved by UC Provost/EVC

COVID-19 impacts

- Hard deadline for publication acceptance: September 30, 2020
- However, *for this year only*, if any reviewing body recommends denial of an action, that individual will be allowed to submit any new scholarship accepted for publication between October 1, 2020 and December 31, 2020
- The dossier will then be returned to the department to re-vote

Thank you
– any
questions
?

