

# 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 Academic Senate/administration consultation**
- Every faculty evaluation is built on:
  - Scholarship: excellence is required, but is also not sufficient
  - Teaching and mentoring: excellence is required
  - Service (university and public): a requirement that grows over time
- **Shared governance is a key UC value: faculty know best how to recognize excellence and outstanding performance**

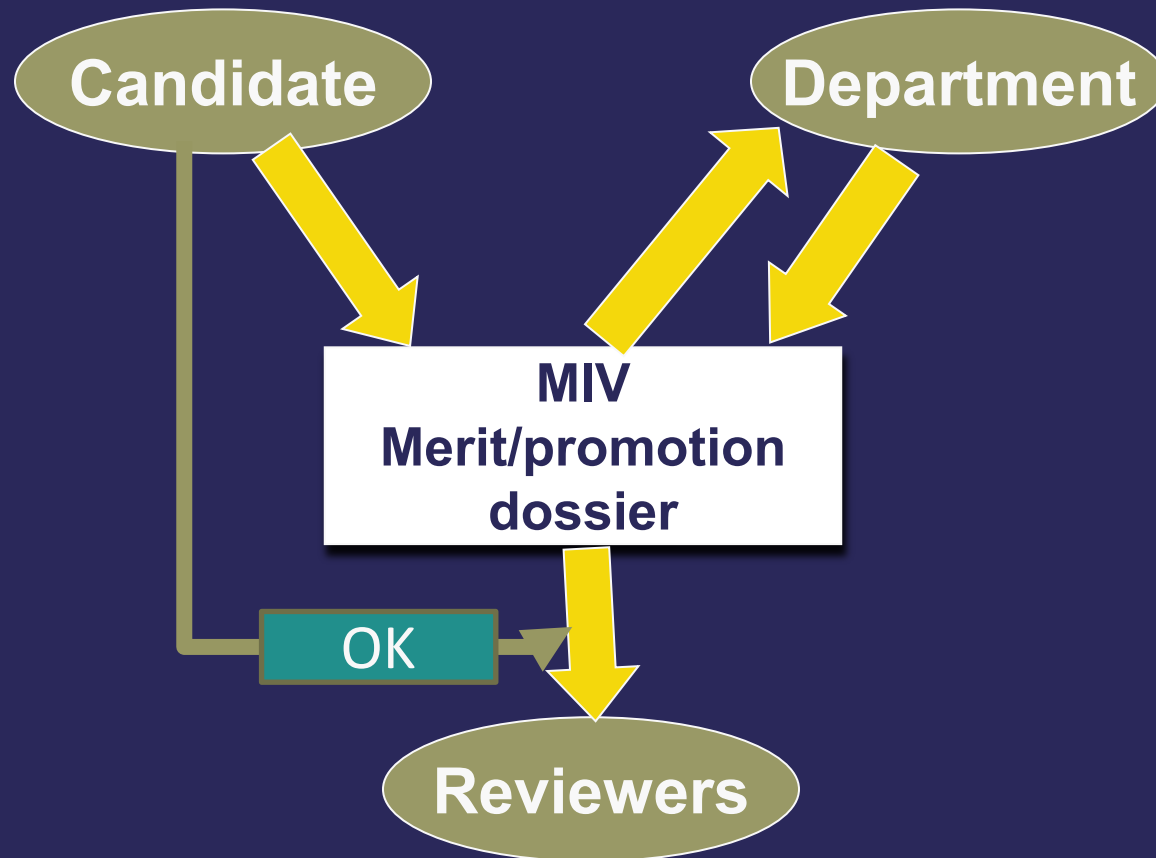


# The UC Davis personnel process...

- 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): UC Davis' own digital dossier management system



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

# THE UC RANKS & STEPS

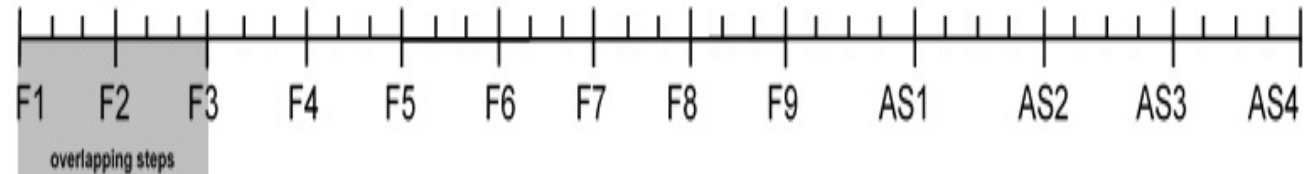


- **Promotions** occur when you move to the next rank
  - Assistant Professor → Associate Professor → Full Professor
  - Lecturer with Potential Security of Employment (LPSOE) → Lecturer Security of Employment (LSOE) → Senior LSOE (Professor of Teaching \_\_\_\_ series)
  - Promotion requires *both* internal and external review
- **Merit advancements** occur when you move up in step *within* each rank; most “merits” require only internal review, except ...
- **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” (four years after Step 9) - requires international impact and external letters

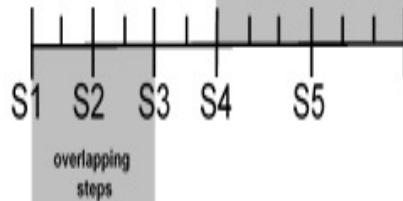


# A snapshot of our ranks and steps

Full rank



Associate rank



Assistant rank



# 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

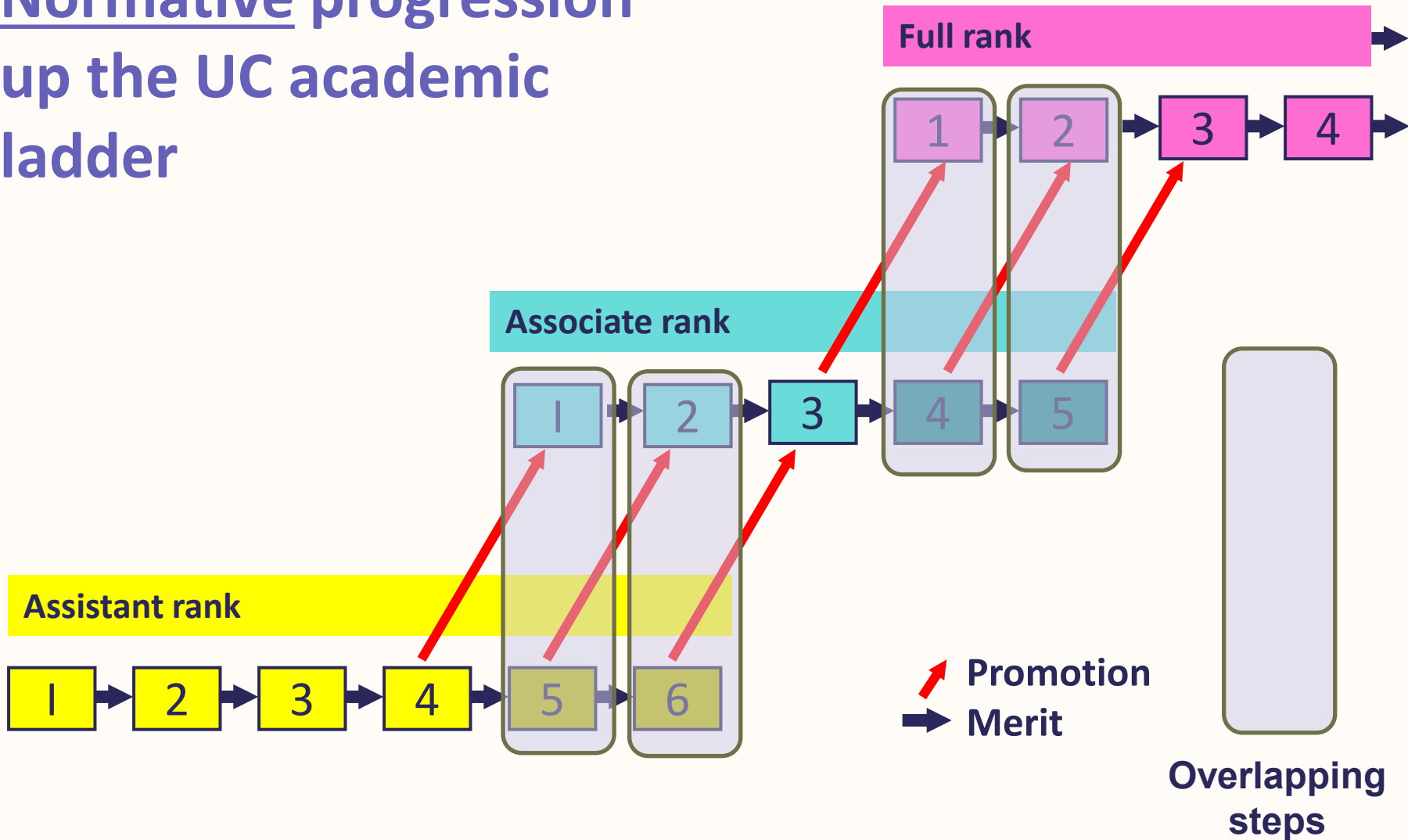
\* AS = “above-scale”

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



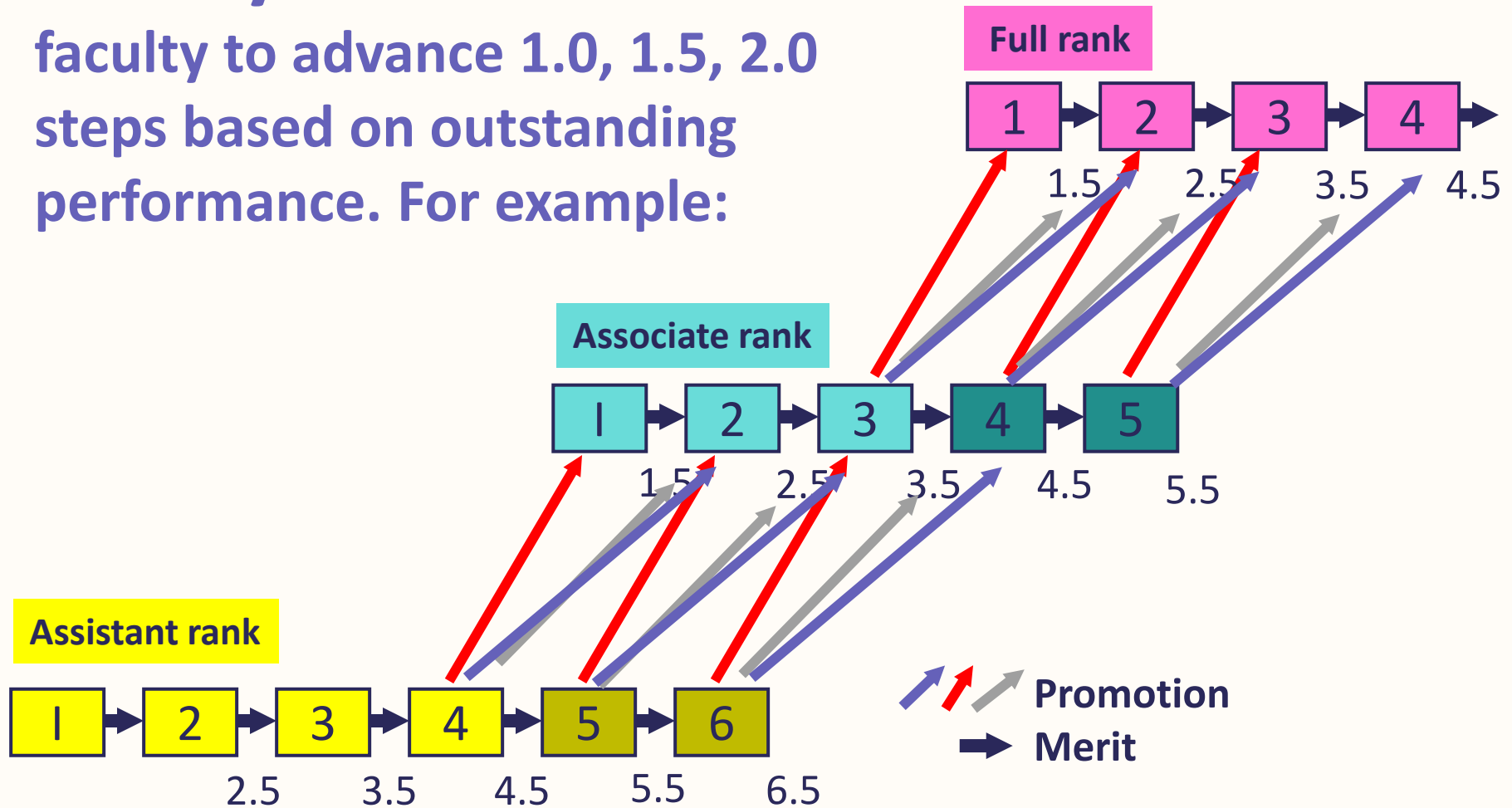
# Faculty series:

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:



# Advancement Policies and Practices: Resources

- **APM 210** lists the review criteria for Academic Senate Series
- **APM 220** describes system-wide policy for merits and promotions in the Professor series
- **APM 285** describes system-wide policy for the Lecturer SOE series
- **APM UCD 220** describes campus implementation of APM 220 and APM 285 plus our procedures, checklists, and sample letters
- See the **Step Plus Toolkit** on the Academic Affairs website for information and guidance

**APM – <https://academicaffairs.ucdavis.edu/apm/apm-toc>**

# 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 Role of the Candidate's Preferred Action

It is the candidate's right to pursue advancement, even if the department vote is negative or the dean is not supportive.

However, at the urging of the Academic Senate, we are no longer requiring, *or even recommending*, that the candidate make a specific advancement request.

It is our hope that this change will:

- encourage more thorough analysis of the dossier by department peers
- reduce the need for peers to vote “against” a specific candidate request.
- allow the candidate to present their case and simply rely on department evaluation.

## The Role of the Candidate's Preferred Action

Who decides who goes up for promotion? If a candidate is at a step that is eligible for promotion (not a seventh year case), can the candidate choose not to be considered for promotion and limit the department vote to only step plus options for merit?

An academic appointee can come up for promotion when they are ready or when the department finds the record supports the action. Assistant professors must promote no later than their seventh year, per APM 133 and APM 220, unless they previously received approval for an extension on the clock. If the candidate is four years or less at rank or clearly does not meet the criteria for promotion (e.g., absence of an in-press or published book in the book disciplines), the candidate has the option to have promotion removed from the Step Plus ballot. In all other circumstances, the promotion options under Step Plus must be included on the ballot.

# 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 7th 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 0, 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%

**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\*
- 4<sup>th</sup>-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
- 4<sup>th</sup>-year appraisal

*\*Extramural letters required*

**Your  
MIV  
dossier**

**Department:  
recommendation**

FPC review is also optional  
after appointment and first  
normal (1.0 or 1.5-step)  
merit after promotion!



## 4<sup>th</sup> 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 for Academic Affairs



# Promotion #1:

## Assistant → Associate

- **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/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



# Appeals

- Appeals occur when the candidate provides explanatory/clarifying information pertinent to the original dossier, after the final decision is made.
  - No *additional* scholarly activities, awards, teaching evaluations, etc. are allowed in the appeal dossier
  - Procedural errors / oversights may be addressed
  - Incorrect application of standards may be addressed
- Basic concept: CAP-Appellate does *not* review a dossier that differs substantially from the dossier that CAP-OC reviewed.
- Final decision on appeal is based on the delegation of authority

# Deferrals

- Below Professor Step 5, deferral is required if a candidate chooses not to go forward for advancement when eligible.
  - A candidate is eligible after normative time at the current step, or in the year following a denial, prior deferral, or five-year review
- Deferral requests are due at the same time that the corresponding merit or promotion action is due.
- ALL academics must be reviewed at intervals no longer than five years. Accordingly, five-year reviews cannot be deferred.
- For further information, work with your college's academic personnel analyst.

# Five-year Reviews

- All faculty are required to be reviewed at least once every five years (starts during their 4<sup>th</sup> year since last review)
- Department letter reviews activities in teaching, research, service, and contributions to diversity.
- **Department vote is currently optional.** Voting options:
  - NAPS– “No advancement, performance satisfactory”
  - NAPU– “No advancement, performance unsatisfactory”
  - Recommend “Advancement” -- CAP can recommend advancement, which will require a full review, starting with a new department vote.
- Unsatisfactory performance requires a plan for progress
- Continued under-performance should lead to a shift in duties (e.g. additional teaching), and can lead to a termination process (APM 075)

# 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 (if used) better than others
- Use Candidate's Statement or COVID Statement to explain impact
- Innovation will be positively regarded
- Peer evaluation is still required for promotions, but is optional for merits if the candidate requests them

# COVID-19 Impacts

## Service

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

# COVID-19 impacts

- Hard deadline for publication acceptance: September 30, 2021
- However, *for this year*, 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, 2021 and December 31, 2021
- The dossier will then be returned to the department to re-vote

Thank you  
– any  
questions  
?

