# THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY

Philip Kass Vice Provost for Academic Affairs September 13, 2022



### 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



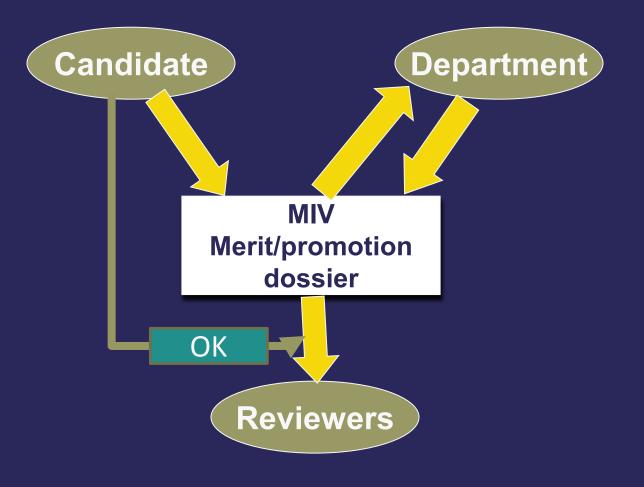
## The UC Davis personnel process...

- 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**

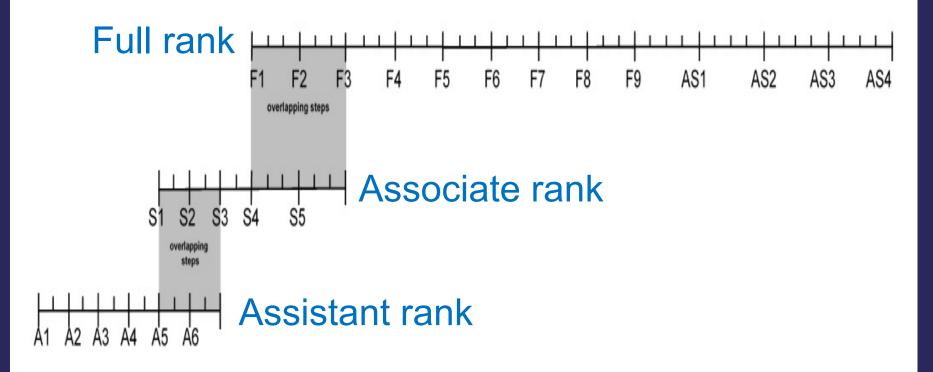
- Promotions occur when you move to the next rank

  - Assistant Professor of Teaching (LPSOE) → Associate Professor of Teaching (LSOE) → Professor of Teaching (SLSOE)
  - 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



## 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

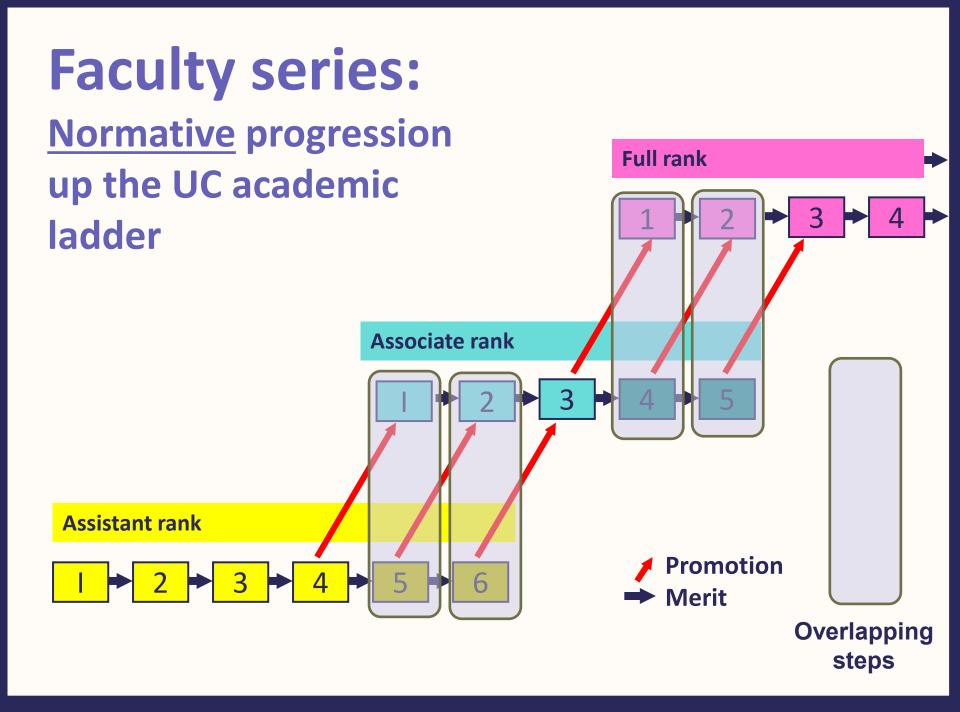


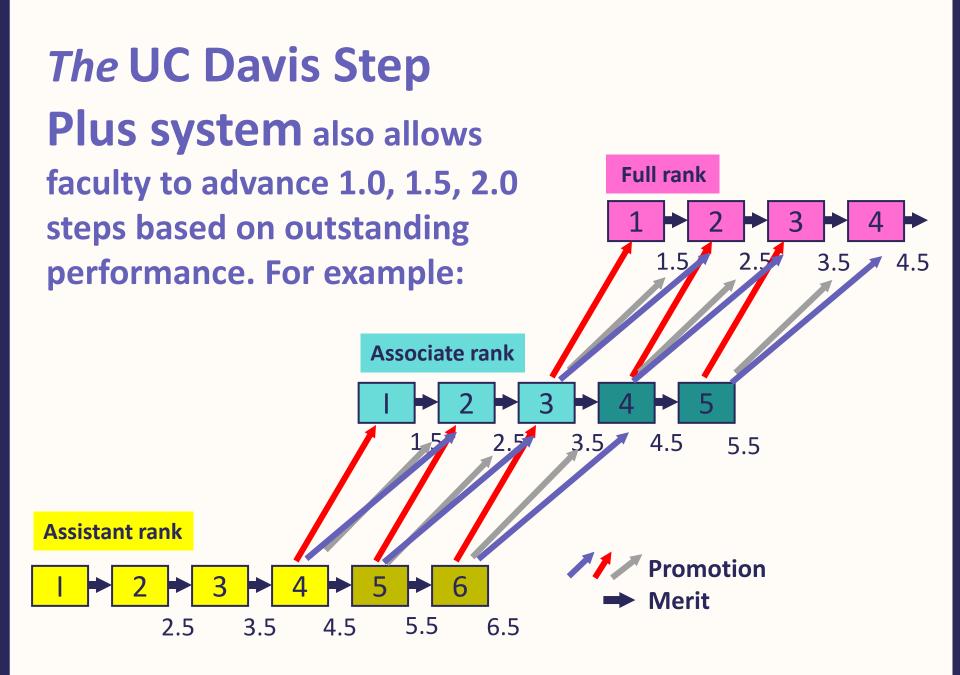
Professor Senior Lecturer SOE Step 1 – Step 5.5: 3 years

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







## 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 <u>not</u> 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

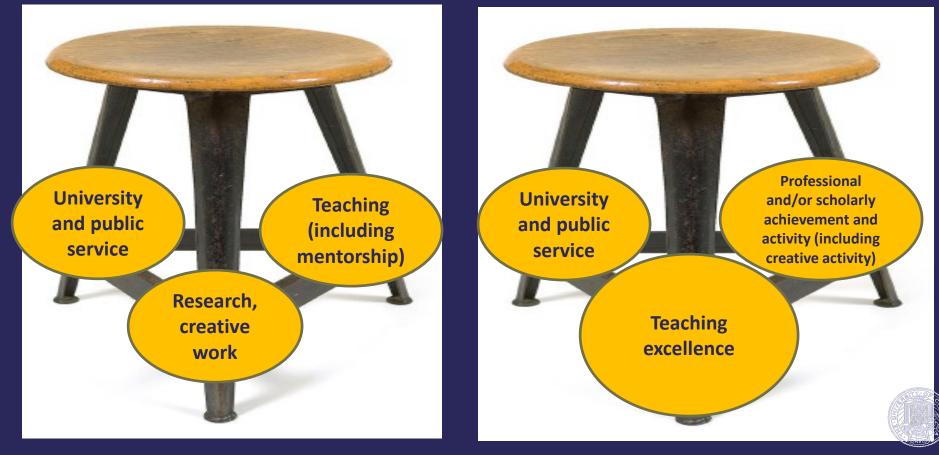
Who decides who goes up for promotion? If a candidate is at a step that is eligible for promotion (not a seventh year case), can the candidate choose not to be considered for promotion and limit the department vote to only step plus options for merit?

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



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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 <u>outstanding</u> 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?

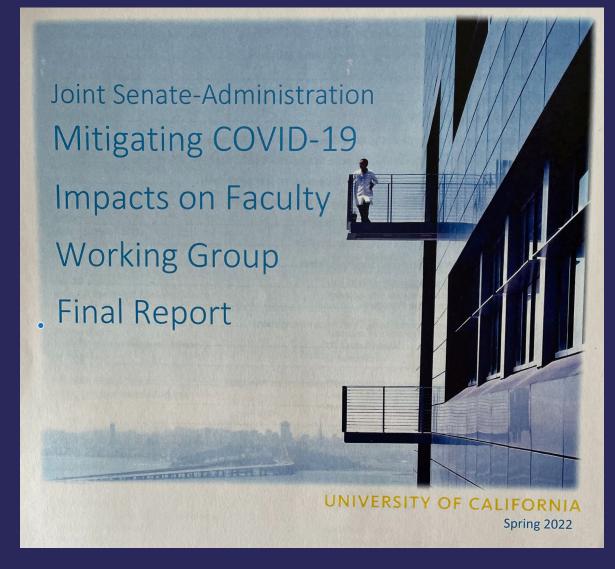


- Read APM 210, APM 220, and APM UCD 220 (professorial series) and APM 210 and APM 285 (LSOE series)
- Talk to your senior colleagues, your department chair, and to current or former Senate review committee members (CAP, FPC)
- Consider developing a "Plan for Progress" with your Chair
- Criteria and 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



See in particular "Application of 'Achievement Relative to Opportunities' (ARO) Principles" on pages 11 – 14. Report can be found on the Academic Affairs website: <u>https://academicaffairs.ucdavis.edu/coronavirus-covid-19-academic-personnel-information</u>

- ARO principles "enable merit and promotion reviews to evaluate candidates fairly based on their individual reviewperiod professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate's normal ability to achieve expected outcomes."
- "Disruptive circumstances could have been professional or personal, though faculty should not be required to divulge the latter. Many faculty, for example, had to take on an increased level of dependent care responsibilities as schools and other child-care services closed during the pandemic."

- "Another aspect of applying ARO principles in the file review is factoring in how the traditional balance between research, teaching, and service was disrupted and adopting a more flexible approach in evaluating performance areas, adjusting the weight given to each area based on individual circumstances which is compatible with APM 210."
- "ARO principles encourage placing more emphasis than would traditionally be done on professional growth and progression within that individual's unique set of circumstances."

 From Monash University: "Achievement relative to opportunity is a positive acknowledgement of what a [faculty] member can and has achieved given the opportunities available to them and results in a more calibrated assessment of their performance. It is not about providing 'special consideration' or expecting lesser standards of performance."

 "Along with how much a faculty member has done relative to the "pandemic" standard, ARO principles also give weight to the quality of one's work and its impact. This does not have to be limited to research, scholarship, and creative activities, but should also consider contributions in teaching and to the campus community. Faculty can help reviewers by highlighting exceptional quality, describing steps taken to arrive at that level of quality, and describing the work's broader impact."

 "Individual COVID-19 Opportunities and Challenges Statements [Note: this is available in MIV] are an essential ingredient in this type of review, no matter how this language is submitted (whether embedded [in the Candidate's Statement] or submitted as a separate document [in MIV]. Accounting for the use of these statements will be easier if this information is easily discernable in the file."

"Context matters in coming to decisions on file reviewed in accordance with ARO principles. This context is determined by inputs:

- Department's introductory COVID-19 "Opportunities and Challenges Statement" (Department files should be reviewed as a group and introduced with a required Department COVID-19 Opportunities and Challenges Statement" which can help to serve as a benchmark in understanding to what extent impacts were widespread and where they may have been more individualized
- 2. Achievements and contributions in UC evaluation areas relative to an approximate "pandemic" standard
- 3. Professional challenges/extenuating circumstances (derived from the COVID-19 Opportunities and Challenges Statement)
- 4. Personal challenges/circumstances
- 5. External evaluation

# 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, 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



## 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)

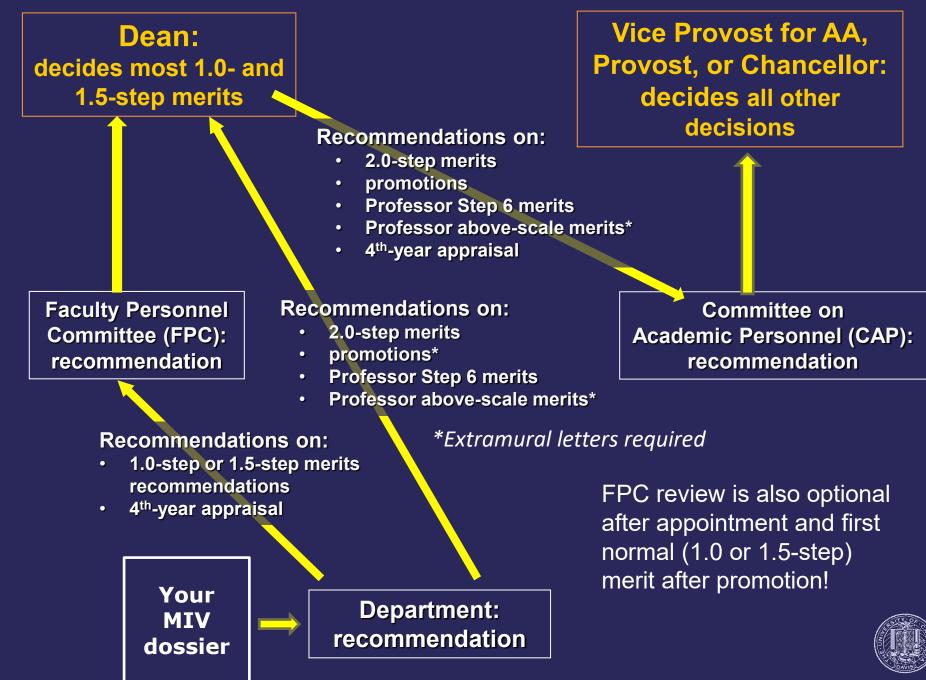


Appeal by candidate can be made within 30 days of decision notification

### **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%



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### 4<sup>th</sup> year appraisals

- Evaluation of whether you are on track for promotion to Associate Professor or Professor of Teaching rank
- Generally occurs in your 4th year as Assistant
  Professor or Professor of Teaching (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 if someone was on the faculty campus during the year-long shutdown.
- 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 Associate Professor of Teaching, 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



### **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/school'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)

### 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 or COVID
  Statement to explain impact

### 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

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

- Hard deadline for publication acceptance: September 30, 2022
- 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, 2022 and December 31, 2022
- The dossier will then be returned for the department to review the new material

# Thank you

# any questions?



