

THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY



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Vice Provost for
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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**



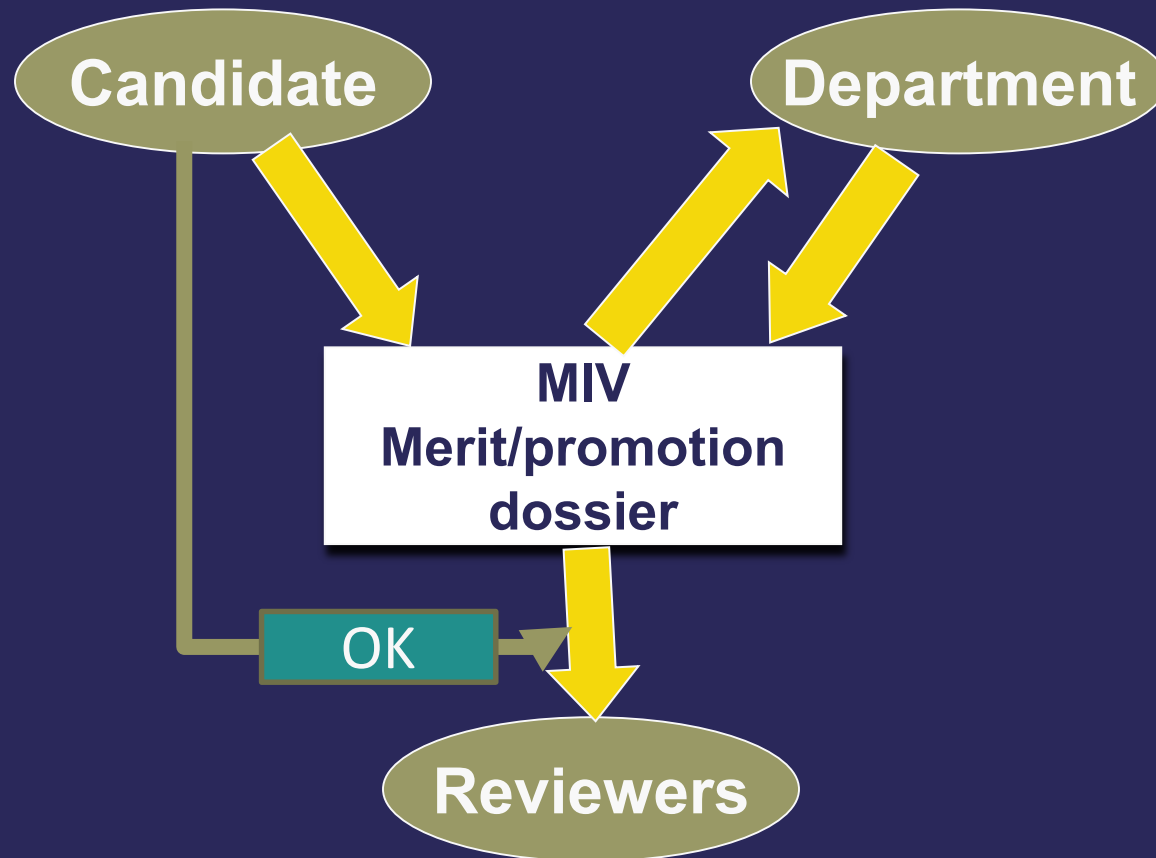
The UC Davis personnel process...

- 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

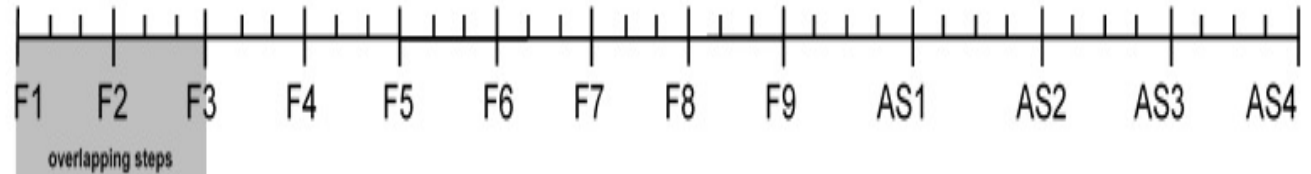


- **Promotions** occur when you move to the next rank
 - Assistant Professor → Associate Professor → Full Professor
 - Assistant Professor of Teaching (LPSOE) → Associate Professor of Teaching (LSOE) → Professor of Teaching (SLSOE)
 - Promotion requires *both* internal and external review
- **Merit advancements** 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

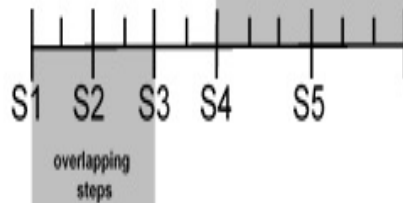


A snapshot of our ranks and steps

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

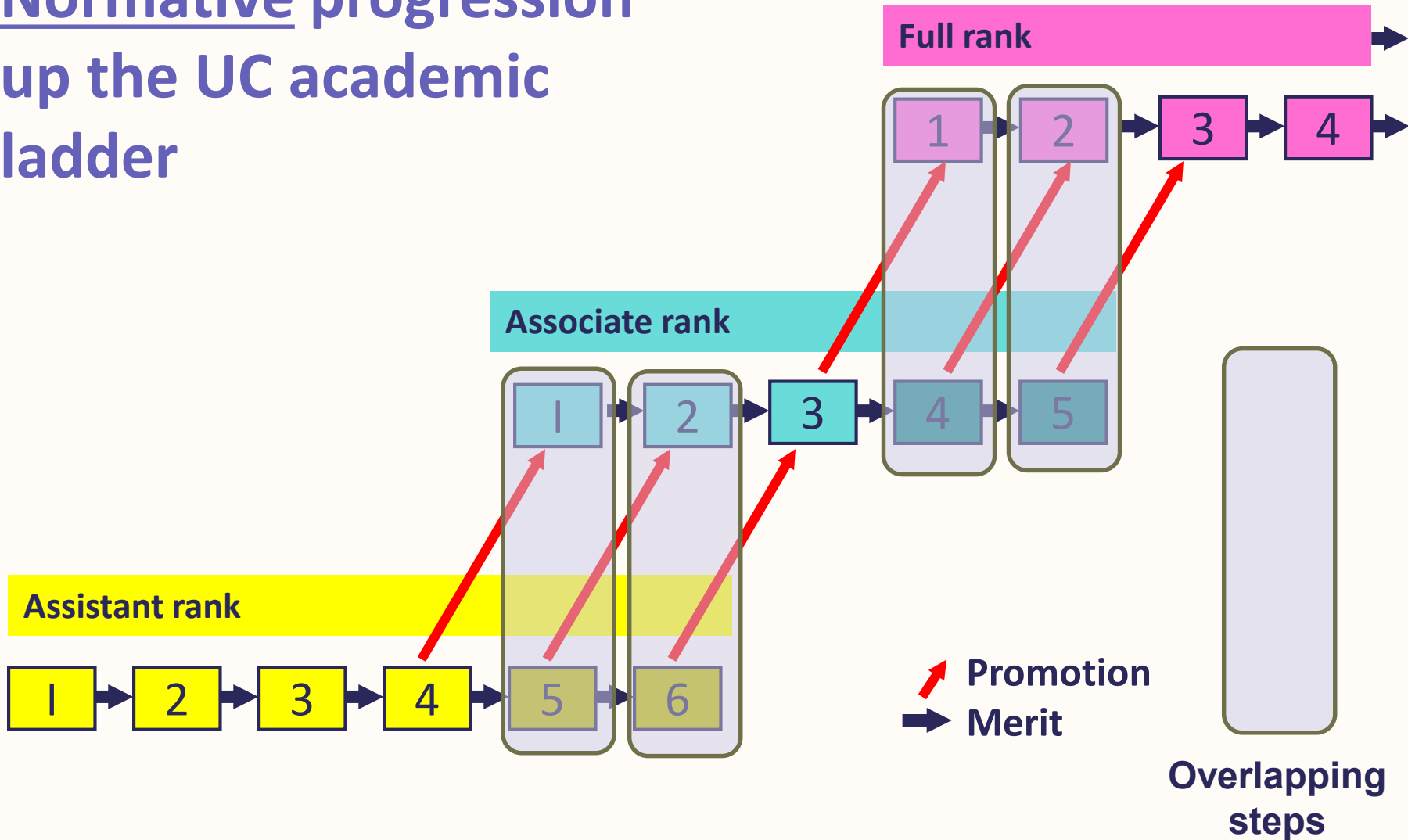
* AS = “above-scale”

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



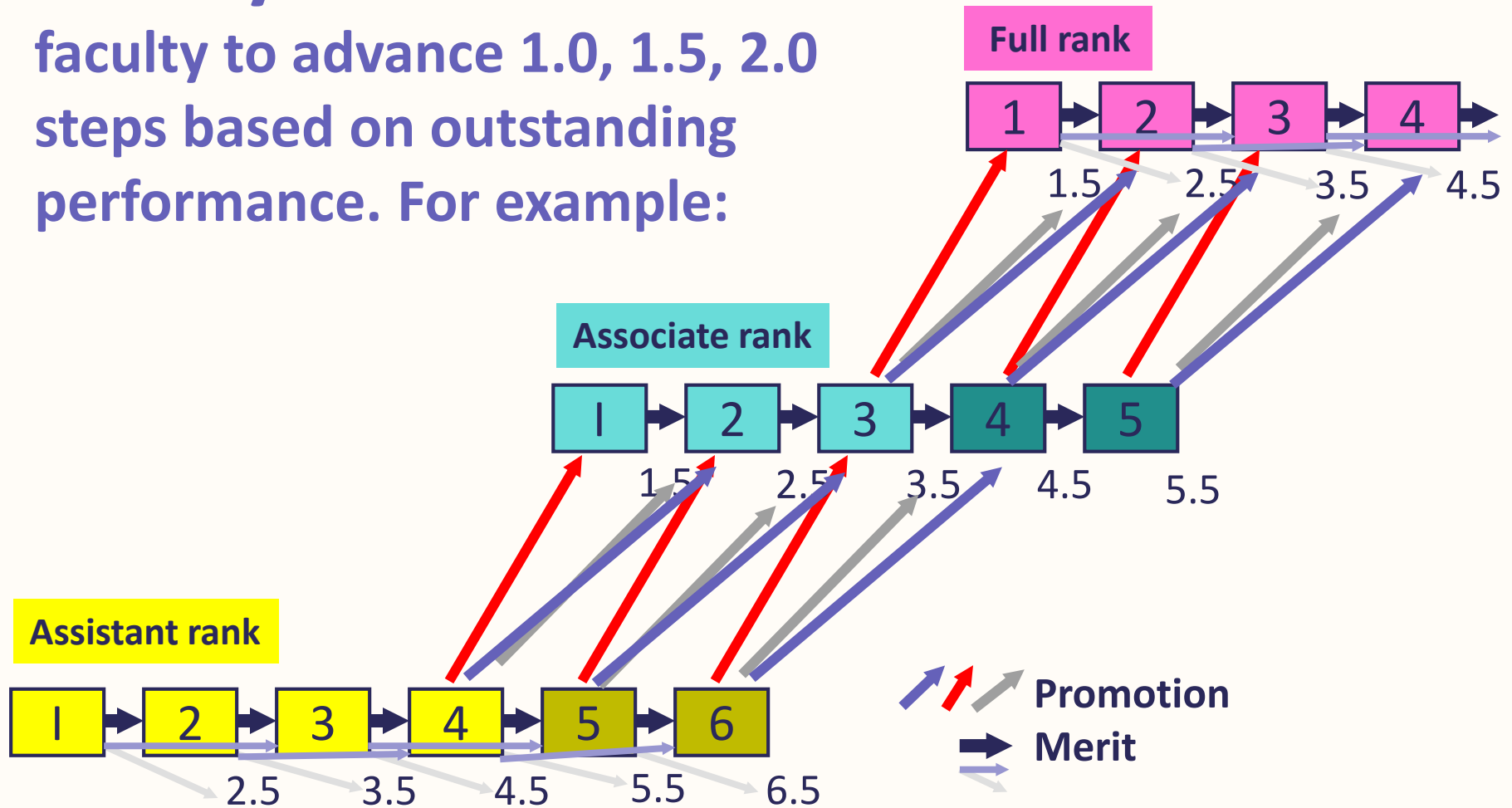
Faculty series:

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 8th year since transition from our earlier system

- Step Plus was 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:

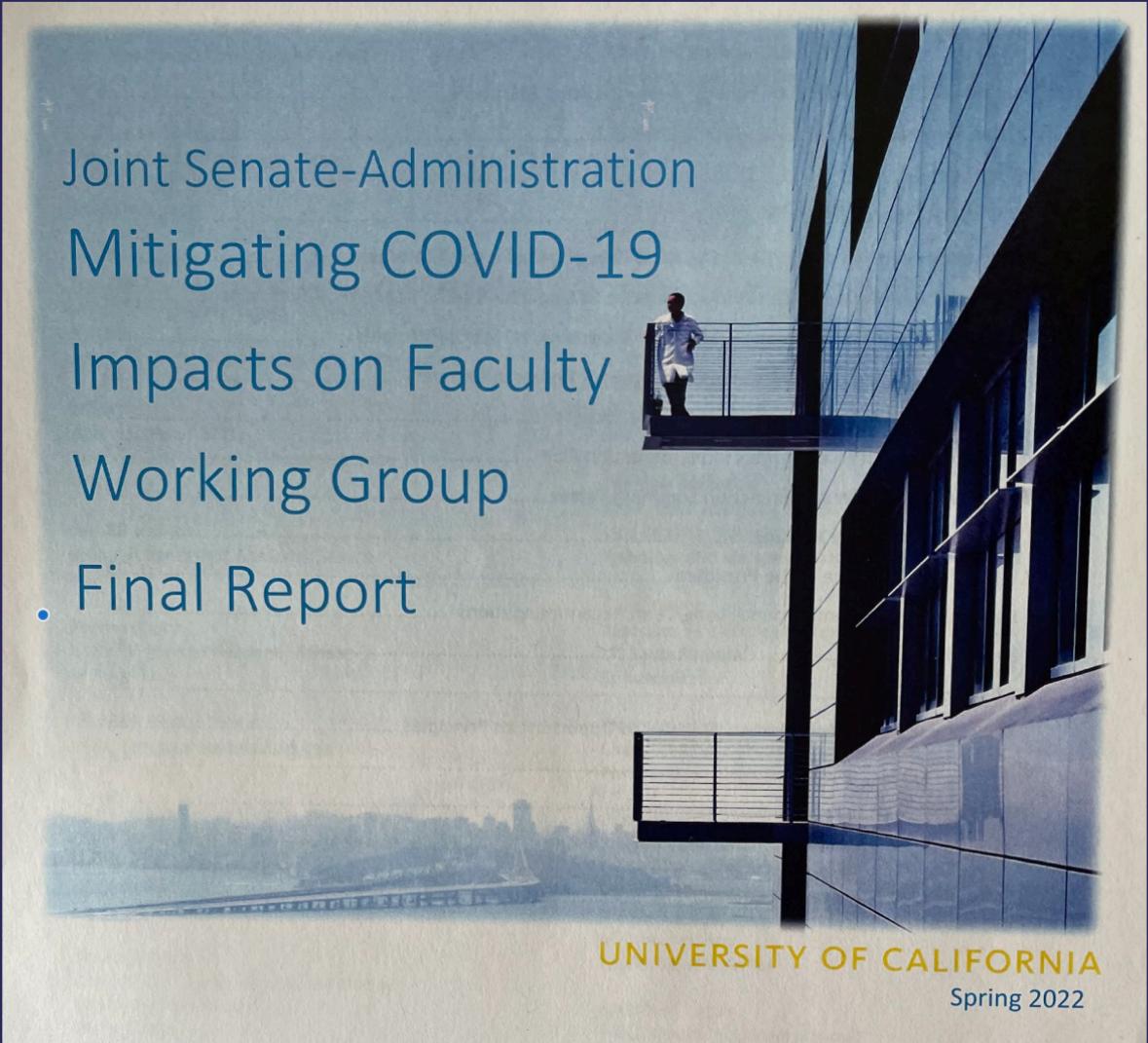
- 2.0-step advancement
 - Requires a **strong record in all three areas of review, with outstanding performance in at least two areas**. In most cases, one of those areas will be scholarly and creative activity; however, outstanding performance in two other areas (teaching, University and public service, 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**



Joint Senate-Administration
Mitigating COVID-19

Impacts on Faculty
Working Group

Final Report

UNIVERSITY OF CALIFORNIA

Spring 2022

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

Achievement Relative to Opportunities (ARO) in Academic Advancement

- ARO principles “enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period 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.”

Achievement Relative to Opportunities (ARO) in Academic Advancement

- “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.”

Achievement Relative to Opportunities (ARO) in Academic Advancement

- 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.”

Achievement Relative to Opportunities (ARO) in Academic Advancement

“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.”

Achievement Relative to Opportunities (ARO) in Academic Advancement

"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."

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 Academic 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 and note that voting procedures should be revisited each year

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

**Vice Provost for AA,
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**

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



4th year appraisals

- Evaluation of whether you are on track for promotion to Associate Professor or Associate Professor of Teaching (LSOE) rank
- Generally occurs in your 4th year as Assistant Professor or Assistant Professor of Teaching (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 7th year (but see extensions below).
- **Extension on the “tenure/SOE clock”** is granted for each birth/adoption/foster event; maximum total extension is two years, however, UC Provost can approve a third year by exception.
- 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 (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/school's academic personnel analyst.

Five-year Reviews

- All faculty are required to be reviewed at least once every five years (starts during their 4th 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 or COVID Opportunities and Challenges 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 Opportunities and Challenges 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 Opportunities and Challenges Statement to explain impact of COVID

COVID-19 Impacts

- Hard deadline for publication acceptance: September 30, 2023
- 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, 2023 and December 31, 2023
- The dossier will then be returned for the department to review the new material

Thank you
—
any
questions?

