

# THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY



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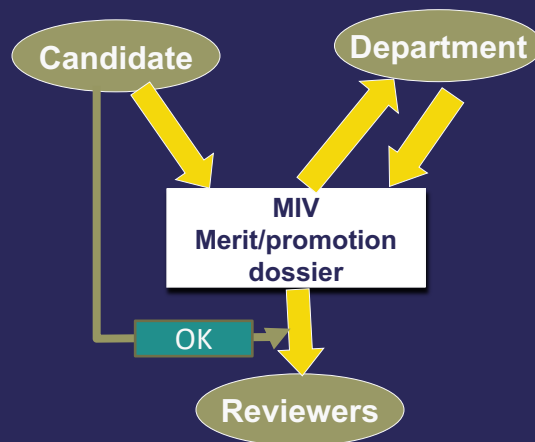
## The UC Davis personnel process...

- 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*



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## MyInfoVault (MIV): UCD's own digital dossier management system

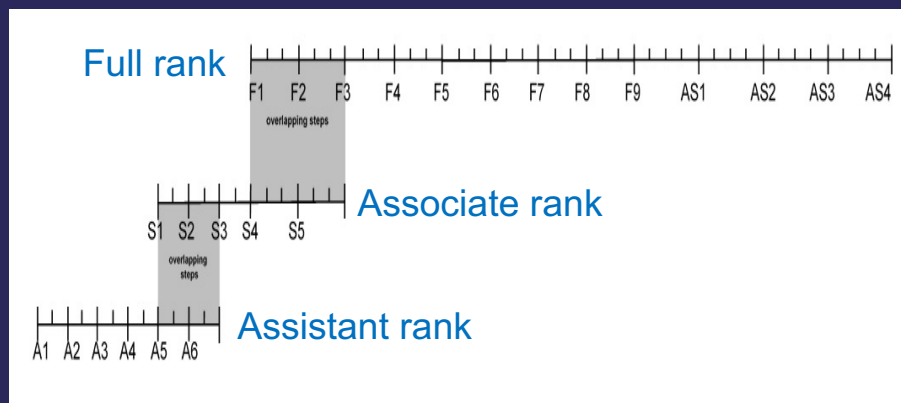


<http://myinfovault.ucdavis.edu/>



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## A snapshot of our ranks and steps



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## UC Ranks & Steps: “Normative time” at each step

### Assistant rank

Step 1 – Step 6.5: 2 years

### Associate rank

Step 1 – Step 3.5: 2 years

Step 4 – Step 5.5: 3 years



### Full rank

Step 1 – Step 5.5: 3 years

### Full rank (senior levels)

Step 6 – Step 8.5: 3 years

Step 9, 9.5, and AS\*: 4 years

\* AS = “above scale”

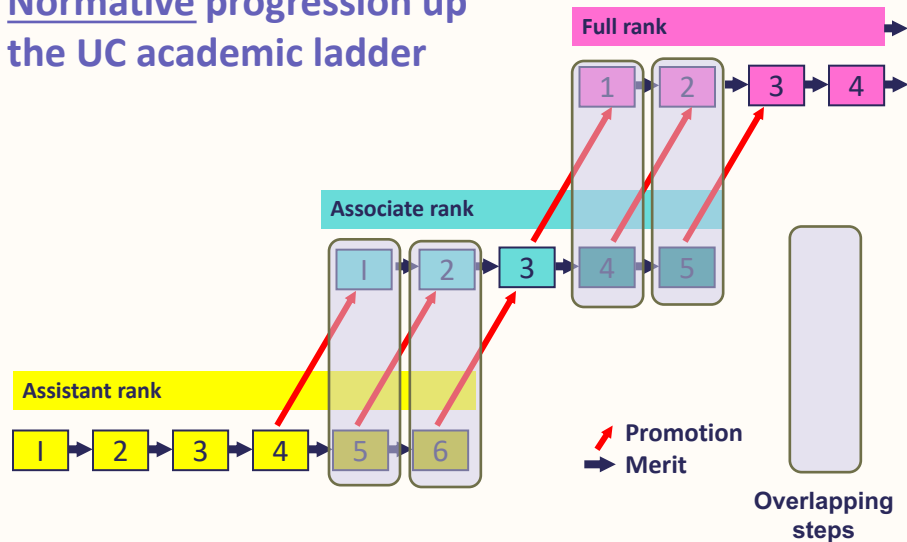
Regardless of rank, *every* faculty member must be reviewed at intervals of no greater than 5 years since last review



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## Faculty

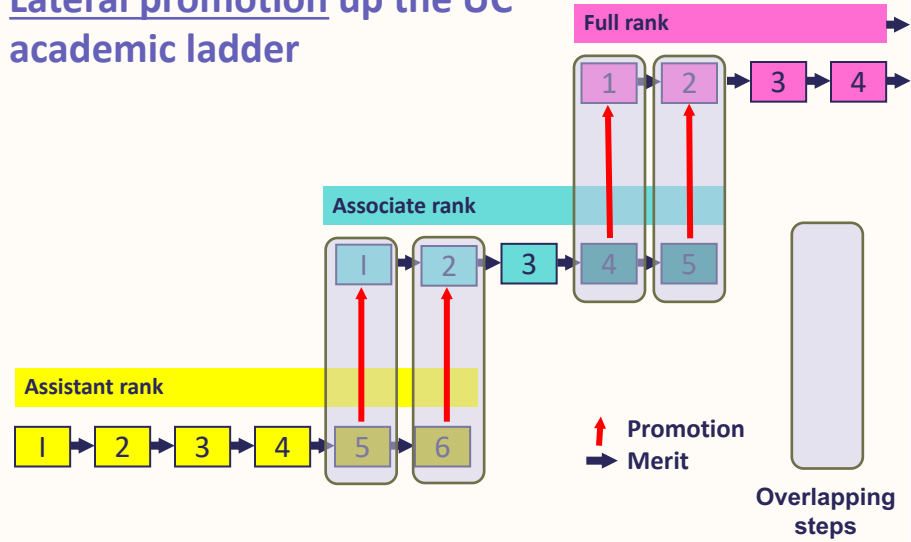
Normative progression up the UC academic ladder



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# Faculty

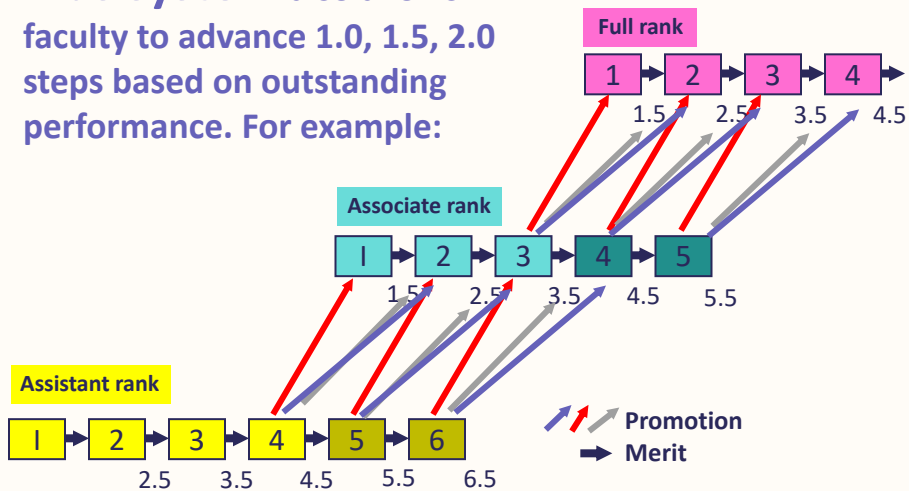
## Lateral promotion up the UC academic ladder



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## The UC Davis Step

Plus system also allows faculty to advance 1.0, 1.5, 2.0 steps based on outstanding performance. For example:



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## Advancement Policies and Practices: Resources

- **APM 210** lists the review criteria for Academic Senate Series
- **APM 220** describes system-wide policy for merits/promotions in the Professor series
- **APM 285** describes system-wide policy for the Lecturer SOE series
- **APM UCD 220 and APM UCD 285** describe 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 – <http://manuals.ucdavis.edu/apm/apm-toc.htm>**

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## 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.
  - The candidate does not choose what they want to be voted on.
  - “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 **not** considered for advancement of >1.0 step
  - “Lateral” promotion can occur at overlapping steps



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## 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 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.

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## 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.

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



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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



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## Guidelines for advancement under Step Pls:

- Regular, 1.0-step advancement
  - Requires a **balanced record**, appropriate for rank and step, with evidence of **meritorious (i.e., 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 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**



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## Guidelines for advancement under Step Plus

- Again, in order to receive additional half-steps, faculty must have meritorious performance in all three areas.
- In other words, in Step Plus outstanding performance in one area cannot compensate for below expectation performance in another area.
- When this happens, faculty may not receive any advancement, or no more than a 1.0-step advancement.
- Beware of department overreach: a 2.0-step becomes non-redelegated, and can lead to a 1.0-step advancement.



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## Contributions to Diversity as Criteria for Advancement

PROMOTING DIVERSITY EFFORTS RECOGNIZED IN MERITS AND PROMOTIONS, PER **APM 210-1(d)**:

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions. (1/1/06)

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## Candidate Reviews the Department Letter and Dossier Before it Leaves the Department

- Department letter content is not negotiable, but candidate can ask that inaccuracies be corrected, and can write a rebuttal to the external letters before the vote.
- If candidate disagrees with statements in final version of department letter, they may also write rejoinder letter, and has 10 calendar days to do so.
- The names of extramural letter writers (or describe them in the letter) are never disclosed to the candidates. The letters will be provided in redacted form.
- Candidate can request advancement even if faculty vote is negative
- **Final step: Candidate signs disclosure statement verifying that packet is complete & factually accurate.**

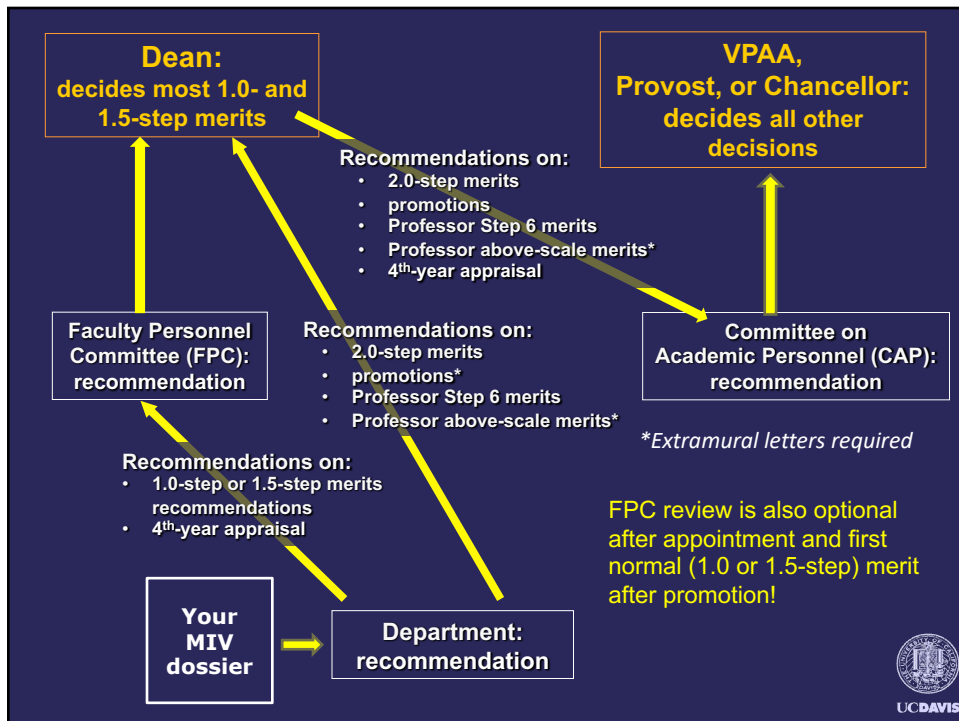
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## Step Plus outcomes (Senate report)

*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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## 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 provided
  - 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

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## 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.

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## 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)

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## 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

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## 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

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## 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

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## 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 8<sup>th</sup> year)
- This is in addition to up to two extra years for child/caregiver-related activities, but must be approved by UC Provost/EVC

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## 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

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Thank you  
– any  
questions?



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