THE ACADEMIC PERSONNEL PROCESS FOR SENATE FACULTY

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Welcome to the UC Davis community!!
ROADMAP

- Campus culture/expectations
- A few nuts & bolts of the UC merit/promotion system
Some key elements of UC Davis culture

- High expectations within the general UC system of peer review and shared governance
- Emphasis on collaboration, not competition
- Scholarly excellence is required, but is also not sufficient
- Faculty are expected to serve the University, their profession and the public... outstanding service is rewarded
- Outstanding teaching and mentorship are valued and rewarded
- Shared governance is a key value
The UC Davis personnel process...

- is very transparent,
- strives extremely hard to be fair,
- Rewards the “complete” faculty member throughout the career,
- keeps peers in touch with your achievements
- ... and requires hard work at all levels!
MyInfoVault (MIV): UCD’s digital dossier management system

- [Link](https://academicaffairs.ucdavis.edu/tools/miv-information/index.html)

![Diagram showing the process of MIV with candidate, department, reviewers, and MIV merit/promotion dossier]
MyInfoVault Information (MIV)

Background

MyInfoVault, also known as MIV, is an online system that houses academic personnel research, creative activity, teaching and service data, and creates and routes electronic dossiers for academic peer review. The program is sponsored by Academic Affairs with technical assistance from Information and Educational Technology (IET). MIV currently has approximately 3,840 academic accounts and 620 administrative accounts from all schools and colleges on the Davis campus.

MIV Oversight Committee and MIV Users Group

The role of the MIV Oversight Committee and MIV Users Group, as enhancements are approved and incorporated into MIV, is to help inform the nature, timing, and implementation of additional functionality. This advice is essential to realize the full potential of MIV as the campus academic personnel review system.

- MIV Oversight Committee [PDF]
- MIV Users Group [PDF]

Your MIV Team

MIV is supported by a team of functional and technical staff members. In Academic Affairs, Kelly Anders is the functional team leader, and Michelle Howard provides training for MIV users; both provide help desk support. From Information and Educational Technology, Brent Hammond is the technical team leader, and oversees the work done...
THE UC RANK & STEP SERIES

• **Promotions** occur when you move to the next rank
  • Assistant Prof. → Associate Prof. → Full Prof.
  • Lecturer PSOE → Lecturer SOE → Senior LSOE
  • Promotion requires both internal & external review

• **Merit advancements** occur when you move up in step within each rank; most “merits” require only internal review

• Two additional “benchmark” merits occur within the senior Professor rank
  • Professor Step 6 (requires national impact)
  • Professor Above Scale (requires international impact and external letters)
UC Ranks & Steps:
“Normative time” at each step

Assistant Professor
Step 1 – Step 6: 2 years

Associate Professor
Step 1 – Step 3: 2 years
Step 4 – Step 5: 3 years

Professor
Step 1 – Step 5: 3 years

Professor (senior levels)
Step 6 – Step 8: 3 years +
Step 9 and A/S: 4 years +

Lecturer with Potential Security of Employment: 2 years
Lecturer with Security of Employment: 3 years

Regardless of rank, every faculty member must be reviewed at intervals of no greater than 5 years
Professor series: Progression up the UC Academic Ladder
Senate Lecturer SOE series progression

- Lecturers with Potential Security of Employment (LPSOEs)
- Lecturers with Security of Employment (LSOEs)
- Senior Lecturers with Security of Employment (SLSOEs)

Promotion and Merit pathways:
- $a \rightarrow b \rightarrow c \rightarrow d \rightarrow e \rightarrow f \rightarrow l \rightarrow m$
- $g \rightarrow h \rightarrow i \rightarrow j \rightarrow k \rightarrow l \rightarrow m$
- $n$
The UC Davis Step Plus system allows faculty to advance > 1 step based on outstanding performance.
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)
  - After deferral, candidate can “go up” the following year
  - After denial or a 5-year review without advancement, candidate can “go up” the following year
    - Each merit/promotion dossier will be considered for accelerated advancement
  - “regular advancement” is 1.0 step
  - Step Plus advancement may be 1.5 or 2.0 steps

- **Promotion** (to Associate Prof., full Prof., LSOE, SLSOE) can occur early (before normative time has elapsed)
  - Early promotions are not considered for advancement of >1.0 step
The three legs of the academic “stool”: foundations for performance

Ladder-rank faculty

LP/SOE faculty

Service: university, profession, public

Research, Creative scholarly activity

Teaching and Mentorship

Teaching and educational innovation

Professional achievement and scholarship
Guidelines for advancement under Step Plus: Professor series

- Regular, 1.0-step advancement
  - Requires a **balanced record**, appropriate for rank and step, with evidence of **good** accomplishments in all areas of review. 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.
Guidelines for advancement under Step Plus: Professor series

• 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, exceptional 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 acceleration are very stringent
Guidelines for advancement under Step Plus:
LPSOE/LSOE/SLSOE Senate faculty

• Regular, 1.0-step advancement
  • Requires a balanced record, with evidence of good accomplishments in all areas of review. 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
  • In addition to excellent teaching, requires a strong record with outstanding achievement in at least one area of review across teaching and learning, professional achievement creative work, and service.
Guidelines for advancement under Step Plus:
LPSEO/LSOE/SLSOE Senate faculty

• 2.0-step advancement
  • In addition to excellent teaching, requires a strong record in all three areas of review, with outstanding performance in at least two areas.

• > 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 teaching and learning).

• At Above Scale (available for Senior Lecturers SOE only), the criteria for acceleration are very stringent.
How do you find out what expectations for regular advancement are?

• 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

• Encourage your department to prepare written guidelines
Step Plus is still new, and we are beginning the 3rd year of a 3-year transition from our old system

- All new faculty come in under the Step Plus system
- Step Plus is designed to:
  - reduce the number of actions / year,
  - reward outstanding achievement in all areas of academic work,
  - Promote equity and faculty progress
- Faculty at UC Davis prior to 2014 may elect to go up for early merit advancements *one time only*.
  - Very few remain eligible
Which department members vote on your merit or promotion dossier?

• Only **Senate faculty** can vote on Senate personnel actions.
  • Most common series: Professor (also called “ladder-rank faculty”), Lecturer __SOE, Professor of Clinical ___, Professor in Residence

• Each department has specific voting rules that determine:
  • Whether junior faculty vote on appointments or advancements at higher ranks
  • Whether non-ladder Senate faculty can vote on ladder-rank personnel actions
  • Whether emeritae can vote (uncommon)

• **Review your department’s voting rules 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
- Chair (with assistance) writes department letter:
  - Evaluative 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
    - Decision on action made by dean, VP-AA, Provost or Chancellor
    - Appeal by candidate can be made within 30 days
Your merit or promotion dossier goes forward—Who decides?

The Administration... after consultation with the Academic Senate
ROLE OF THE ACADEMIC SENATE

Senate faculty play major advisory roles in personnel actions for Senate faculty

- Senate colleagues in your department review file & vote on all of your personnel actions
- Senate committees review all personnel actions and advise the administration
- Deans are advised by unit Faculty Personnel Committees (FPCs are subcommittees of CAP, the Committee on Academic Personnel)
- Vice Provost/Provost/Chancellor are advised by CAP
ROLE OF THE ADMINISTRATION

- Chancellor/Chancellor’s designee has final decision on all advancements
- At UC Davis, most advancements needing only internal review are delegated to Deans for decision
- Most advancements needing external & internal review are delegated to Vice Provost- Academic Affairs for decision
- TENURE/SOE decision remains the Provost’s and Chancellor’s
  - Provost has final say on “yes”
  - Chancellor has final say on “no”
Dean: decides on most 1.0- and 1.5-step merits

Recommendations on:
- 2.0-step merits
- promotions, high-level merits
- 4th-year appraisal

Faculty Personnel Committee (FPC) recommendation

2.0-step merit recommendation
*promotions (rank change)
merit to Professor Step 6
*merit to Professor Above Scale

1.0-step or 1.5-step merit recommendations
4th-year appraisal

Your MIV dossier

Department review, recommendation

VP-AA, Provost, or Chancellor: all other decisions

Committee on Academic Personnel (CAP) recommendation

*Extramural letters required
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 & collegial advice in time for the advice to be useful
- Process involves feedback from your department, the FPC, the Dean, CAP, & the Vice Provost-Academic Affairs
Professor series:
Read APM 210 and APM 220 to learn more about expectations and criteria for advancement.
Promotion #1: ASSISTANT ➔ ASSOCIATE PROFESSOR

• Maximum of 8 years at Assistant rank at UC, decision must be made by end of 7th year

• Extension on the “tenure clock” is granted for each birth/adoption event; maximum total extension is 2 years

• There is no minimum time at Assistant rank (generally occurs within 6 years)

• Based on record since terminal degree, especially peer-reviewed work, UC Davis research, teaching and service
  - APM 210: Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion
  - Service expectations are modest at this rank
Professor series, Promotion #2:

ASSOCIATE PROFESSOR ➔ PROFESSOR

• Generally occurs after 6 years at Associate rank or after 2 years as Associate Professor, Step 3.0

• Based on scholarly record since promotion to Associate Professor

• Associate Step 4.0 and Step 5.0 (the overlapping steps)
  • are often used when appointment occurred at mid-rank
  • are used occasionally 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 will have been at Associate rank for 6 years or more when advanced

• Expectations include continued professional growth and increasing scope and impact of teaching and scholarly/creative work
Overlapping steps allow some progress as promotion nears.
Lecturer SOE series:
Read APM 210 and APM UCD 285 to learn about expectations and criteria for advancement.
LSOE series, Promotion #1:  
Lecturer Potential SOE ➔ Lecturer SOE

- Maximum of 8 years at LPSOE rank, decision must be made by end of 7th year
- Extension on the “tenure/SOE clock” is granted for each birth/adoption event; maximum total extension is 2 years
- There is no minimum time at LPSOE rank
- Promotion to Lecturer SOE is based on:
  - superior intellectual attainment in teaching and assessment of learning outcomes
  - excellent teaching and pedagogical innovation
  - continued professional growth and enhancement of value to the institution and its instructional programs
SOE series, Promotion #2:
Lecturer SOE to Senior Lecturer SOE

• There is currently no time limit on the time spent within the Lecturer SOE rank; this may change under new systemwide policies

• Promotion to Senior Lecturer SOE requires:
  • educational services of exceptional value to the University
  • professional accomplishments indicating leadership in education
  • National or international impact or influence in higher education teaching and learning
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)
  • Decide on publications to send to referees
  • Provide draft of your Candidate’s Narrative