DOSSIER PREPARATION

FOR MERITS and PROMOTIONS

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Vice Provost – Academic Affairs
Distinguished Professor – Evolution & Ecology
Progression up the UC Academic Ladder

Assistant Professors

Associate Professors

Professors

1 → 2 → 3 → 4 → 5

Promotion

Merit
### UC Ranks & Steps within ranks; “Normative time” at each step

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<td>2 yrs</td>
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The UC Davis Step Plus system allows faculty to move faster based on greater-than-expected performance.
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)

$L_a$ $L_b$ $L_c$ $L_d$ $L_e$ $L_f$ $L_g$ $L_h$ $L_i$ $L_j$ $L_k$ $L_l$ $L_m$

Promotion

Merit
A Primer on the UC Davis Step Plus system

- A faculty member is eligible for merit advancement after 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
- Promotion (to Associate Prof., full Prof., LSOE, SLSOE) can occur at any time
- Each merit/promotion dossier will be considered for accelerated advancement
  - “regular advancement” is 1.0 step
  - accelerations may be 1.5, 2.0, or (VERY rarely) > 2.0 steps
The three legs of the academic “stool”: foundations for performance evaluation

Ladder-rank faculty

- Service: university, profession, public
- Research, Creative scholarly activity
- Teaching and Mentorship

L/P/SOE faculty

- Service: university, profession, public
- Professional achievement and scholarship
- Teaching and educational innovation
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: LPSOE/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 normative 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
Your dossier establishes the case for a particular advancement outcome

- Good, solid, satisfactory contributions that meet expectations for normal advancement
- Substantial weaknesses, contributions well below expectations
- Outstanding performance, contributions well above expectations

Possibly no promotion or no merit

1.0 step

1.5 steps

2.0 steps
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 emeriti can vote (uncommon)

- Review your department’s voting rules with your Chair

- Your dossier communicates your record to your voters!!!
MERIT ACTIONS:

MAJOR COMPONENTS OF SUBMITTED DOSSIER

• Candidate’s statement (teaching, mentoring, research, service, contributions to diversity)

• Courses taught (DESII), student evaluation scores and comments

• Teaching, advising and curriculum development

• Service activities (department, college, professional, public)

• Publications of various types

• Contributions to jointly authored works

• Extramural support
PROMOTIONS:

**ADDITIONAL COMPONENTS OF DOSSIER**

- Letters from external referees
- Peer teaching evaluations*
  - *these are required at each merit for L/P/SOE faculty
- Summary of record since terminal degree (for tenure promotion) or since last promotion
  - Dossier review by the Committee on Academic Personnel (CAP) will emphasize activities/achievements since the most recent review
MyInfoVault: UCD’s digital dossier management system
Candidate

- Narrative statements
- Graduate advisees
- Service activities
- Curriculum development
- Publications
- Contributions to joint works
- Extramural support
- Awards, honors
- Contributions to diversity

Department

- Department letter
- Undergrad advisee count
- Course schedule (DESII)

*Plus, for promotions only:*
- External letters
- Peer review(s) of teaching

MyInfoVault (MIV)
KEY COMPONENTS OF DEPARTMENT LETTER

- Nature & extent of consultation with department faculty & faculty vote
- *Evaluation* of teaching effectiveness, comments on student/peer evaluations
- *Analysis* of quality, productivity and impact of research/creative activities
- *Evaluation* of service contributions
- *Evaluation* of professional competence
- *Evaluation* of contributions to diversity
DEPARTMENT:
DOCUMENTATION OF TEACHING

• Official list of all courses taught (DESI11 listing)
  ✓ Remember to report guest lectures!

• Student evaluations:
  ✓ Complete set of original evaluations from 2 courses (preferably one with high enrollment)
  ✓ Numerical summaries for all courses (department letter discusses all courses)

• Peer evaluation letter (promotions and high-level merits to Professor Step 6 and Professor Above Scale)

• Numbers of undergraduate student advisees
Candidate

Narrative statements
Grad, undergrad mentees
Service activities
Curriculum development
Publications
Contributions to joint works
Extramural support
Awards, honors

Department

Department letter
Undergrad advisee count
Course schedule (DESII)

Plus, for promotions only:
External letters
Peer review(s) of teaching

MyInfoVault (MIV)
CANDIDATE:

DESCRIPTION OF TEACHING ACTIVITIES

• Statement of teaching philosophy (part of Candidate’s Statement)

• Description of curriculum and pedagogical development activities
  • New courses developed
  • New assignments, e.g. to build teamwork, critical thinking skills
  • Active learning innovation and pedagogical tools
  • Application of new technology
  • Advances in assessing learning

• Special advising activities

• Teaching activities that make contributions to diversity, principles of community
  • Possible links to syllabi, lecture slides/handouts, homework assignments, etc.
CANDIDATE:

DESCRIPTION OF MENTORING ACTIVITIES

• Summary of graduate / undergraduate mentoring
  ✓ Students advised
  ✓ Your advising capacity (committee chair, member)
  ✓ Current status of student
  ✓ In optional Candidate’s Statement – describe special achievements, unusual advising methods or activities

• In Candidate’s Statement and in MIV, describe other special advising and mentorship, e.g. of post-doctoral or international scholars

• Report advising and mentorship activities that contribute to diversity and principles of community
CANDIDATE:

DESCRIPTION OF SERVICE ACTIVITIES

• University service
  ✓ List by level – i.e., department, college, graduate program, Academic Senate, Administrative, etc.
  ✓ Indicate role (member, chair) and your contributions
  ✓ Briefly state outcome/impact of committee in Candidate’s statement

• Other professional service that “counts”
  ✓ Reviewing grants and manuscripts
  ✓ Professional society committees, officer positions
  ✓ Service to government agencies

• Public service and outreach
CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 1

• Narrative in Candidate’s Statement
  ✔ Be concise: total statement should be < 5 pages
  ✔ Summarize major published findings and refer to published or in-press works by number (in MIV record)
  ✔ Briefly recap promising new findings
  ✔ Indicate new directions, challenges and goals
  ✔ Remember – your statement should be understandable to non-specialists
  ✔ Consider including citation statistics, e.g. from Google Scholar Citations
CANDIDATE: DESCRIPTION OF RESEARCH/Creative Activities – Part 2

• Indicate all publications & created works that occurred during the review period
  ✓ Publications of broad distribution
  ✓ Use MyInfoVault annotations to indicate if refereed, especially important, etc.
  ✓ Publications of other types – books, book chapters, limited distribution, technical reports, reviews, patents, etc.
  ✓ Other created works include: exhibits, performances, etc.

• In-press publications may be included with an acceptance letter or galley proof

• Submitted papers, chapters or book contracts do not count as evidence of publication

• Work in progress, especially on books and other major works, may be given some weight in merit actions, but are not generally considered for promotion
CANDIDATE: DESCRIPTION OF RESEARCH/CREATIVE ACTIVITIES – Part 3

• Describe contributions to jointly authored works

✓ This is extremely important to do well!
✓ Describe your own role in substantive detail, being especially careful to indicate intellectual leadership role, if any
✓ Also, briefly describe the significance of the jointly authored paper in this section
✓ Do not assign a percentage to your contribution
EVALUATION OF RESEARCH, SCHOLARSHIP AND CREATIVITY

• Evidence of a creative, innovative and thematic *program*
  ✓ Sole, first or corresponding/senior author
  ✓ Grant applications/funding for project (PI, co-PI status)
  ✓ Evidence of growth beyond doctoral, post-doctoral programs

• Quality/impact of scholarship
  ✓ Quality of journals/press
  ✓ External peer reviews/letters; citation impact
  ✓ Reviews and references to exhibits and performances

• Productivity

• Indications that productivity can be sustained
CANDIDATE: EVIDENCE OF PROFESSIONAL COMPETENCE

- Invitations to review manuscripts/grants

- Invitations to present at national/international meetings, to organize symposia/sessions/meetings, to chair sessions

- Invitations to write scholarly articles/reviews—*but beware of putting too much time into chapters in edited books!* 

- Invitations to write book reviews

- Awards, honors, competitive fellowships

- Election to professional society leadership positions

- Serving in expert capacity for government agencies
LPSOE series: Teaching and educational innovation

- Stress your efforts to make evidence-based improvements in teaching and to assess impacts on student learning
  - Provide evidentiary basis for the changes and “experiments” you’ve initiated
- Begin with your own courses
- For promotion-- extend your work, via collaboration, to other courses, curriculum within your unit or community
- For LPSOE promotion to LSOE, document how your work is moving us towards better teaching and learning
- For LSOE promotion to SLSOE, provide evidence for national leadership and recognition for work on pedagogy
LPSOE series:
Professional achievement and scholarship

• For LPSOE level, publishing on pedagogy is a plus, but is not required; “in-house” studies and innovative trials can suffice

• Professional activity should demonstrate growth as a scholar of teaching and learning
  • Presentations at national meetings focused on pedagogy
  • Textbook writing, manuals for better instruction
  • Consultations with other departments, institutions
  • Participation in learning communities focused on pedagogy

• Grant proposals submitted and funded for teaching innovation, inclusion and other critical goals
Efforts to enhance diversity at the UC are considered positively for merits and promotions

UC APM 210:
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.
EXAMPLES OF DIVERSITY EFFORTS
(reported in special MIV section on diversity)

Teaching

• Modules/exercises to engage under-represented students with the topic

• Methods/practices to foster an inclusive classroom environment

• Curricula that include contributions from different ethnicities/gender

• Writing grants targeting teaching of diverse groups

• Learning activities centered in under-served communities
EXAMPLES OF DIVERSITY EFFORTS
(reported in special MIV section on diversity)

Service

• Mentoring students from diverse backgrounds

• Calling/encouraging admitted students from diverse backgrounds to attend UC Davis, go on to higher degrees

• Participating in outreach programs focused on under-served or under-represented groups

• Developing grant proposals to enhance diversity-building efforts
EXAMPLES OF DIVERSITY EFFORTS
(reported in special MIV section on diversity)

Research

• Studies of gender/ethnic differences in _____ (e.g., learning methodology effectiveness, pipeline issues), with efforts to disseminate useful findings

• Research on how to reduce impacts of unconscious bias in reducing diversity

• Research requiring engagement of under-served communities
CANDIDATE: EXTRAMURAL GRANT ACTIVITY

• List grants completed, active and submitted during this review period

• In Candidate’s Statement, indicate your role in multi-investigator grants
**MERIT vs. PROMOTION EXPECTATIONS**

- Based on the Step Plus criteria, you may use your candidate’s statement to make the case for a regular (1.0-step) advancement or an accelerated advancement (1.5 or 2.0 steps)


- Criteria for promotion involve the achievement of benchmarks in scholarship, teaching and service, and are separate from those for merit advancement

  - Review UC and UCD APM 210, 220 and 285 (SOE series)

  - Discuss discipline-specific expectations with your chair and colleagues!
## Table of Contents

Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures are developed by Academic Affairs and issued by the Offices of the Chancellor and Provost and apply only to UCD, which includes all units under the jurisdiction of UC Davis, located in Davis, Sacramento, and all off-site locations.

Throughout these policies, the term "Chancellor" refers to the Chancellor and/or the Chancellor's designee. Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

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Words to the Wise

• Keep track of all professional activities (committees, talks, invitations, etc.)
  ✓ Set up file folders/spreadsheet for research, teaching, service, professional competence (whatever works for you)
  ✓ Summarize regularly (quarterly or at least annually) and/or enter data directly into MIV!

• Keep your CV updated (publications, exhibits, invited seminars, grants, etc.) – MIV can generate this automatically for you!

• Consult with department colleagues, chair, and unit academic personnel analyst for advice on how to enter activities into MIV for YOUR discipline
MORE WORDS TO THE WISE

• Write a compelling Candidate’s Statement (5 pages max) that is as non-technical as possible

  ✓ Provide your perspective on all areas under review

  ✓ Describe the impact and uniqueness of your work—your successes and challenges that had to be overcome

  ✓ Teaching philosophy; course development; *any problems you had & how you are working to resolve them*

  ✓ Explain the significance of any awards/honors

  ✓ Efforts related to promotion of diversity

  ✓ For each merit, carefully update your dossier
Check dossier for accuracy/completeness before chair releases it for department review

- You can write a rebuttal of redacted external letters with which you disagree (promotions) – due within 10 calendar days from date of receiving copies of redacted extramural letters

Check penultimate draft of department letter
- Factual errors should be corrected
- Content should reflect faculty views, and is not negotiable

If you disagree with statements in the department letter, you can write a rejoinder (due within 10 calendar days from date of receipt of department letter)

You can go forward for advancement even if the department vote is negative... but is this a good idea?

Fourth-year Appraisals provide you with input from your peers about how well you are progressing towards tenure promotion
WHAT HAPPENS TO YOUR DOSSIER AFTER IT LEAVES YOUR DIGITAL HANDS?

• This depends on whether the action is “redelegated”

• If redelegated, your Dean makes the final decision

• If not redelegated, the Vice Provost – Academic Affairs makes the final decision (except for tenure decisions… these are made by the Provost or Chancellor)

• Normal merits (and accelerated merits that do not skip a step) are redelegated

• URL for professorial series delegation of authority: http://academicaffairs.ucdavis.edu/local_resources/docs/doa/Professor_InRes_Clinical_Action.pdf
**REDELEGATED ACTIONS**

- Candidate (that’s you) signs off on the digital dossier before it leaves the department
- Dossier goes from department to Dean’s Office
- Most actions: Dean’s Office sends dossier to college/school Faculty Personnel Committee (FPC – a subcommittee of CAP – Oversight Committee)
- FPC makes a recommendation to the Dean
- Dean makes final decision
- Appeals go to CAP-Appellate Committee (CAP-AC), and back to Dean for final action
NON-REDELEGATED ACTIONS

• Candidate signs off on dossier
• Department sends dossier to Dean’s Office
• Dean makes recommendation to Vice Provost – AA
• Vice Provost sends to CAP–Oversight Committee (CAP or CAP-OC), which may recommend Ad Hoc review
• CAP recommendations go to Vice Provost for final action (except for tenure)
• If tenure case, Chancellor/Provost decide after consultation with Vice Provost
• Appeals go to CAP-AC; then to Vice Provost for final decision/recommendation (tenure cases go to the Chancellor/Provost)
Discussion
Dean

Faculty Personnel Committee (FPC)

- normal merits (1.0 steps)
- acceleration to 1.5 steps
- 4th-year appraisals

Advisory

Committee on Academic Personnel (CAP)

- *promotions (rank change)*
  - accelerations >= 2.0 steps
  - merit to Professor Step 6
- *merit to Professor Above Scale*
- 4th-year appraisals

VP-AA, Provost, or Chancellor

*Extramural letters required*