

Academic Advancement: Overview & Dossier Preparation

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**Some slides were taken from VPAA Kass
9/13/2022 presentation, as noted**

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Typical Academic Review Process

- Every 2 years until Associate Professor, Step 4.0, you prepare your dossier (every 3 or 4 years thereafter)
- Department colleagues review dossier, vote, and prepare department letter of recommendation for advancement
- Dossier & department letter of recommendation goes to one or more of these entities for further review & recommendations and eventually final decision:
 - Faculty Personnel Committee (FPC) for your College/School
 - Dean of your College/School
 - Committee on Academic Personnel (CAP)
 - VPAA, Provost, Chancellor....

Types & Roles Of Reviewers

- **Academic Senate Review and Recommendations**

- Department colleagues
- Your College's Faculty Personnel Committee (FPC)
- Campus-wide Committee on Academic Personnel (CAP)

- **Administration Review & Decision**

- Your Dean (if **Redelegated** actions)
- Vice Provost for Academic Affairs (VPA) or Provost or Chancellor (for **Non-Redelegated** actions)

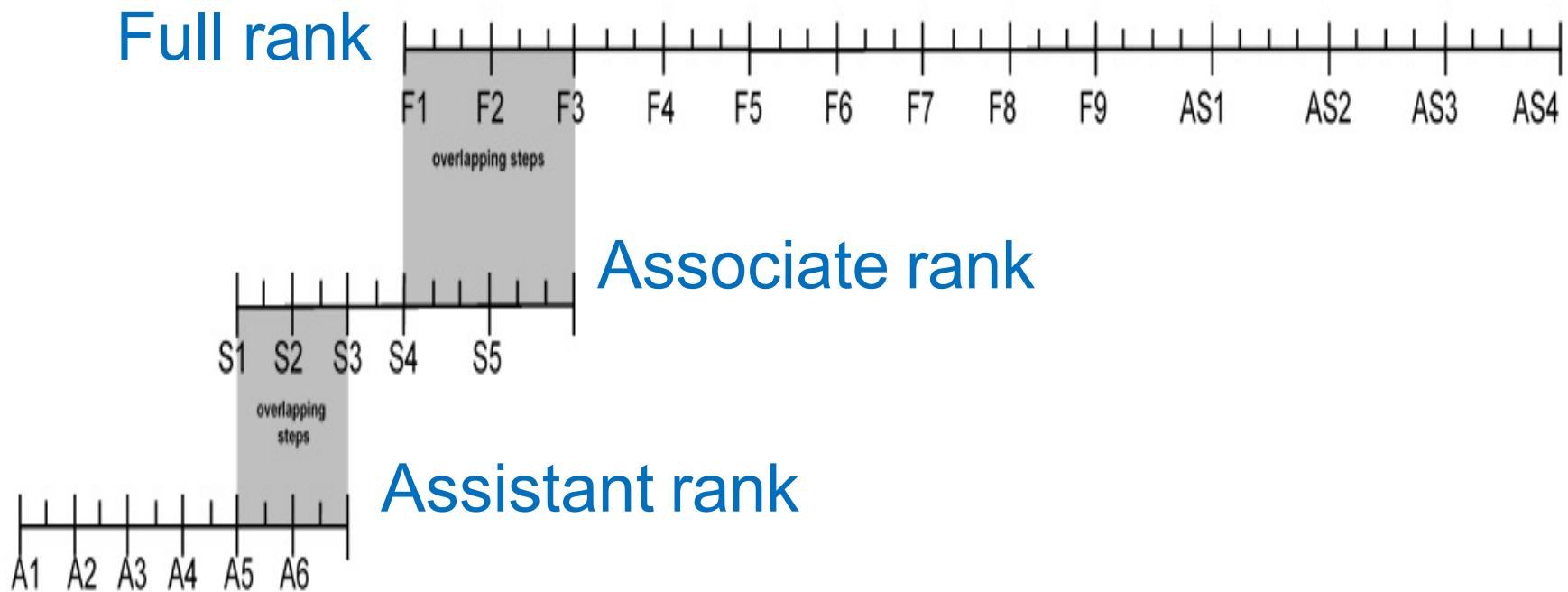
Which department members vote on your merit or promotion dossier?

- Only **Senate faculty** can vote on **Senate** personnel actions.
- Common Senate series in COE:
 - Assistant, Associate, & Full Professor (aka “ladder-rank faculty”)
 - Assistant, Associate, & Full Professor of Teaching (aka Lecturer w/(Potential) for Security of Employment, L(P)SOE)
- Each department has specific voting procedures re:
 - junior faculty rights to vote on advancements of higher ranks
 - whether non-ladder rank Senate faculty can vote on ladder-rank Senate faculty personnel actions
 - No emeriti/emerita have the vote extended to them in Engineering
- Review your department's voting bylaws w/ your Chair

The UC Ranks & Steps

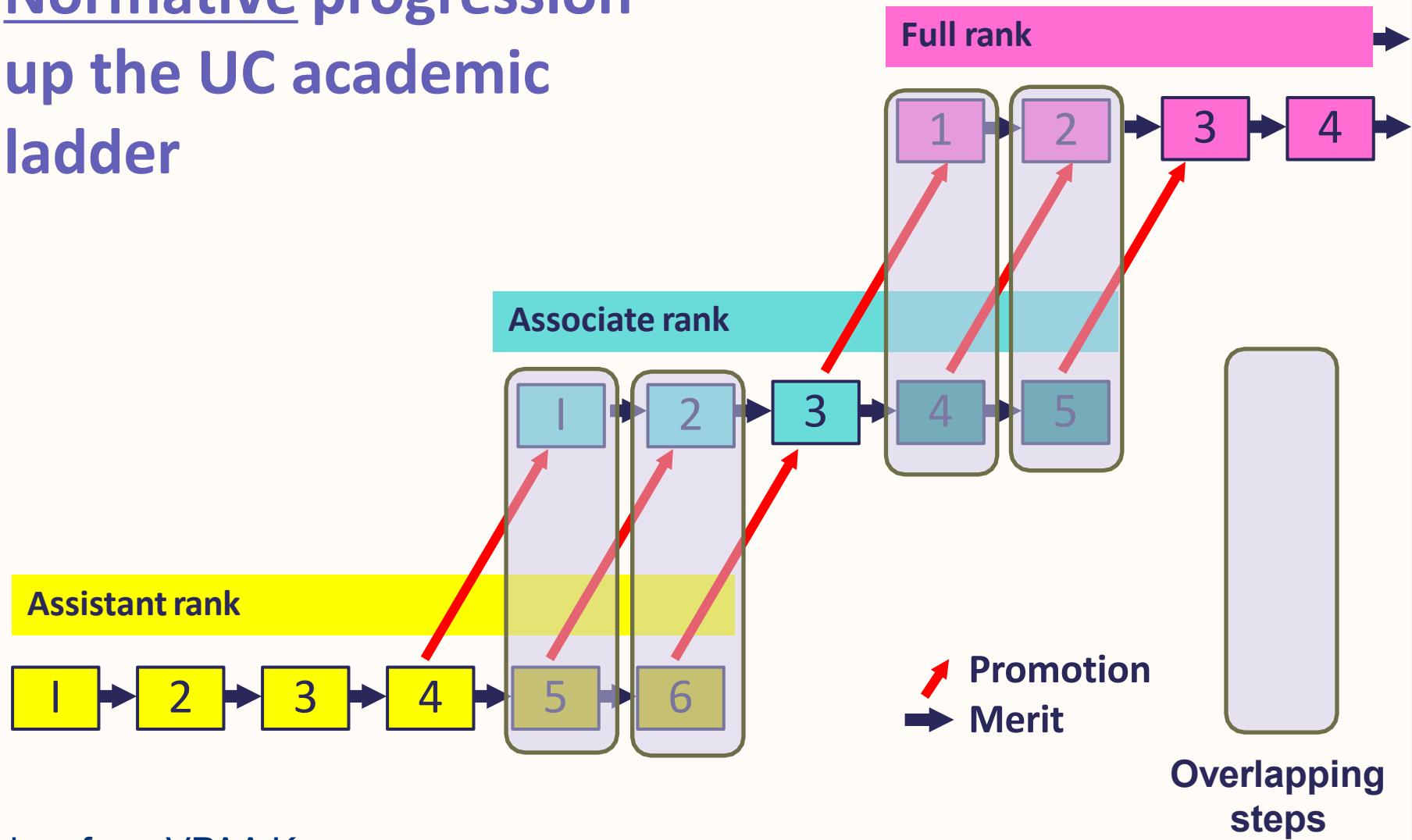
- **Promotions** occur when you move to the next rank
 - Assistant Professor → Associate Professor → Full Professor
 - Assistant Professor of Teaching (LPSOE) → Associate Professor of Teaching (LSOE) → Professor of Teaching (SLSOE)
 - Promotion requires both internal and external review
- **Merit advancements** occur when you move up in step within each rank; most “merits” require only internal review, except there are:
- **Two additional “barrier step” merits** that occur within the full Professor rank
 - Professor Step 6 - optional external letters
 - Professor Above-Scale (four years after Step 9.0) - requires external letters

A snapshot of our ranks and steps



Faculty series:

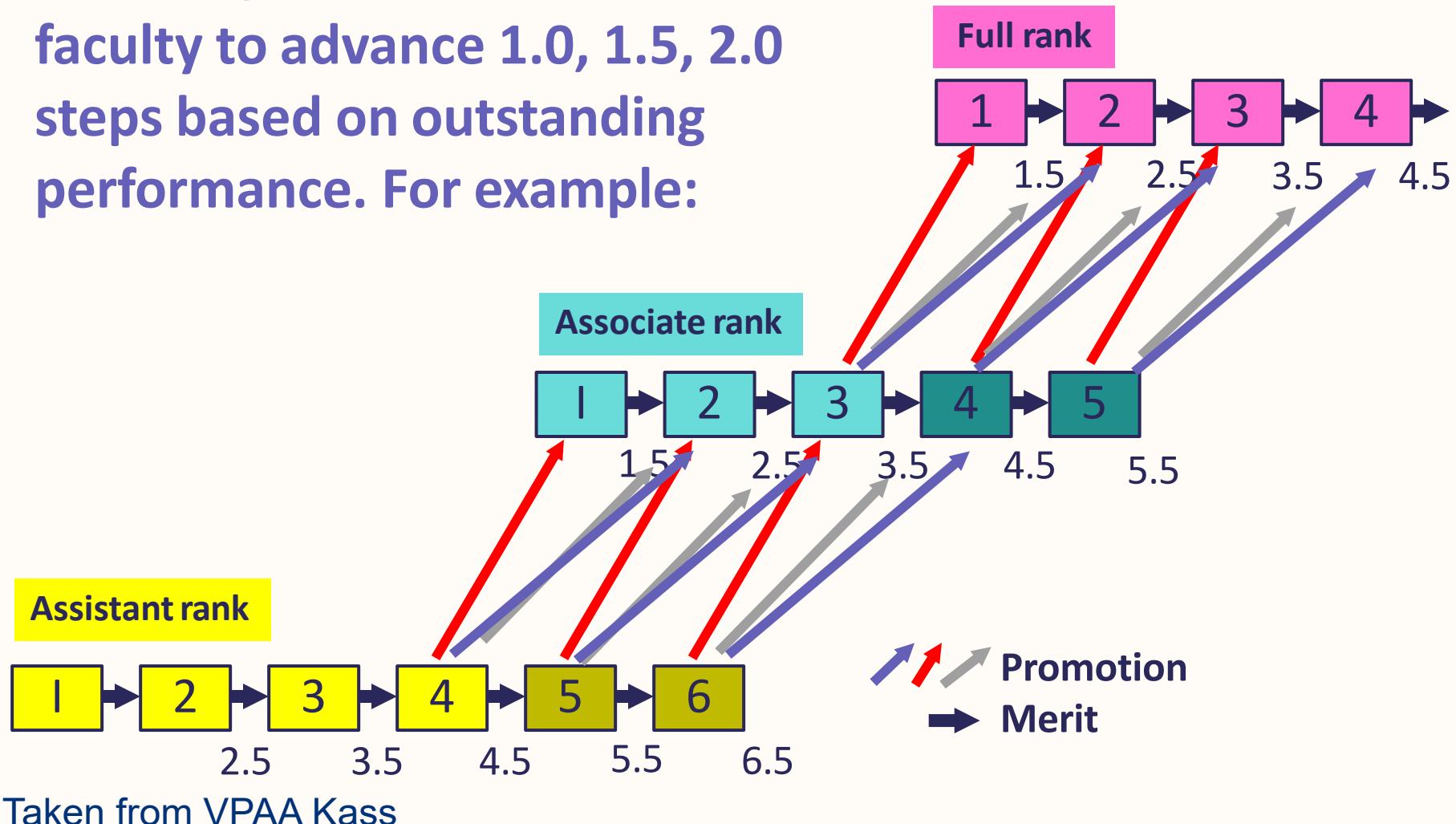
Normative progression
up the UC academic
ladder



Taken from VPAA Kass

The UC Davis Step

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



A Primer on UC Davis Step Plus

- 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 then 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 three legs of the academic “stool”: foundations for performance

Ladder-rank faculty



L(P)SOE faculty



Taken from VPAA Kass

Possible Recommendations/Actions

- **Appraisals:** positive, guarded, or negative
- **Merit advancements:** 1.0 step or more than 1.0 step
- **Promotions:** 1.0 step or more than 1.0 step
- **Accelerated promotions:** 1.0 step only or lateral advancement

Step Plus Guidelines For 1.0-step Advancement

- A 1.0-step advancement requires a balanced record, appropriate for rank and step, with evidence of a **meritorious** record of accomplishments in **all areas of review** (research/scholarly activity, teaching, and service*)
- A 1.0-step action is a **substantial & commendable accomplishment**
- Expectations increase with rank and step
- Indicates that colleagues value and respect your accomplishments in research, teaching and service

*and professional competence for some titles

Step Plus Guidelines For Additional 0.5-steps

A 1.5-step advancement requires a **meritorious record in all areas** of review with **outstanding** achievement in **at least one** area (scholarly and creative activity, teaching, university and public service, and/or *professional competence and activities (*the latter is only for some titles)).

A 2.0-step advancement requires a **meritorious record in all areas** of review, with **outstanding** achievement in **at least two areas**.

For promotions, the record will be evaluated for the **entire** review period for extra 0.5-steps. All areas must be deemed meritorious (based on rank and step) to be considered for extra 0.5-steps in any area. Specific activities that have been previously awarded extra 0.5-steps are not considered for additional 0.5 steps.

Faculty Personnel Committee (FPC) Review

- Considered Senate review at your College level
- Membership:
 - Eight full professors representing each department in COE
 - Appointed by the Committee on Academic Personnel (CAP), typically serve 3 years (~3 new members/year)
- When will your dossier be reviewed by FPC?
 - Initial appointment if Assistant Professor, Step 1, 2, or 3.0
 - Appraisal for tenure
 - When department recommends a 1.0 or 1.5 step merit advancement (but not for advancement to Step 6.0 or to Above Scale)

Committee on Academic Personnel (CAP)

- Considered Senate review at campus level
- Nine full professors representing major campus units
- Typically had served as Dept chairs or FPC members
- Appointed by the Committee on Committees, typically serve 3 years (~3 new members/year)

College of
Letters &
Sciences:
Social
Sciences

College of
Letters &
Sciences:
Mathematics &
Physical Science

College of
Letters and
Sciences:
Humanities
Arts & Culture

College of
Biological
Sciences

College of Ag &
Environmental
Sciences

Schools of Law,
Graduate
Management,
Education, Nursing

School of
Medicine

School of
Veterinary
Medicine

College of
Engineering

When Will Your Dossier Be Seen By CAP?

- Initial appointment if **above** Assistant Professor, Step 3.0
- Appraisal for tenure
- If department, FPC or Dean recommend a 2.0 step advancement
- Promotion to Associate or Full Professor
- When advancing across/to Professor, Step 6.0 (barrier step)
- When advancing to Above Scale (above Professor 9.5)
- Reappointments to Department Chair
- Appointment to Endowed Chairs or Professorships
- Some other less likely occasions

Your merit or promotion: 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

Dean:
decides most 1.0- and
1.5-step merits

**Vice Provost for AA, Provost,
or Chancellor:** decides all
other actions

**Faculty Personnel
Committee (FPC):
recommendation**

Recommendations on:
• 1.0-step or 1.5-step merits
recommendations
• 4th-year appraisal

**Your
MIV
dossier**

Recommendations on:
• 2.0-step merits
• Promotions
• Professor Step 6 merits
• Professor above-scale merits*
• 4th-year appraisal

**Department
recommendation**

**Committee on Academic
Personnel (CAP):
recommendation**

**Extramural letters required*

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

Dossier Elements That You Prepare

- **Research & Creative work**
- **Teaching**
- **Service**
- **Honors & Awards**
- **Grants & Contracts**
- **Candidate Statement**



Research & Creative Work: Expectations

- ✓ **Evidence of continued and impactful engagement is essential for advancement and promotion**
- ✓ **Originality, scope, and impact of work**
- ✓ Development of **thematic focused program** that demonstrates your **intellectual voice**
- ✓ Expectations for **quantity** vary with field/department but **quality** needs some form of **peer assessment** (e.g., quality of journals, book publishers, conferences; extramural letters; reviews; impact factors, etc)
- ✓ Holistic approach taken by reviewers: no single factor makes or breaks a case

Research & Creative Work: Items In Dossier

- ✓ **Publication list** (articles, chapters, books, patents, etc.)
- ✓ **Creative activities** (art, compositions, performances, etc.)
- ✓ **Contributions to jointly authored work:** very important page particularly if you are not the first or corresponding author. Describe your role/contribution for each paper. Include any mentoring role.
- ✓ **Grants & contracts** (award period, amount, funding agency, **role**)
Money is not a criteria for advancement but demonstrating that your research is sustainable and impactful is; external funding can assist and/or indicate sustainability/impactfulness
- ✓ **Presentations & invited talks related to your research**
- ✓ **Honors & awards related to your research or standing in the field**
- ✓ **Candidate statement**

Teaching: Expectations & Items In Dossier

- ✓ **Evidence of high-quality effective teaching is essential for advancement/promotion**
- ✓ **Assessment of teaching effectiveness**
 - Assessment of teaching from **students**; read your evaluations after each quarter so that you can make adjustments if appropriate).
 - Assessment of teaching from **peers**; both formal peer observation required for promotion & informal evaluations that occur via colleagues comments in department letter.
 - **Self** assessment of teaching – reflect on your effectiveness
- ✓ **Teaching load** (varies with department)
- ✓ **Teaching, advising, curricular development**
 - Courses, materials, approaches or curriculum you developed
 - Mentoring, co-authoring with, and graduating students
- ✓ **Grants & contracts related to education**
(e.g., NSF CAREER award has education component)
- ✓ **Honors & awards related to education**
- ✓ **Candidate statement** (self-assessment)

Service: Expectations & Items in Dossier

- ✓ **Your role** in University governance and service to your department, college/school, campus, profession, and public
- ✓ **Minimal expectations pre-tenure** (often focused on department & professional service via manuscript/proposal reviews). Ok to decline if service is hindering development of research/teaching
- ✓ **Expectations for breadth, depth & leadership increase with rank and step**
- ✓ **List of service** (department, college, campus & professional)
 - Dates of service with emphasis on period under review
 - Specify role (e.g., chair, member, participant)
 - For manuscript/proposal reviews, provide number of items reviewed for each entity in each year
- ✓ **Honors & awards for service**
- ✓ **Candidate statement:** Provides opportunity to describe workload of service activity, your unique contribution & impact. Membership alone is not service.

Candidate Statement

- ✓ Optional but highly recommended
- ✓ Maximum of five pages, used to describe your contributions
- ✓ Start with summarizing the highlights from the review period for research, teaching and service before going into detail for each area. Not all of your colleagues will read all five pages😊
- ✓ Stay focused on the review period
- ✓ If a promotion, consider separating out key contributions that occurred after your last review from key contributions that occurred prior to the last review. This separation is useful for Step Plus actions
- ✓ Dean/FPC/CAP do read your statement!

Why A Candidate Statement?

- A focused, clear and succinct statement can convey important insights into your work & contributions
- Focus on the quality and significance of your work
 - Why is it important? Why is it innovative? What is the impact?
 - Identify your distinctive role in jointly-authored work
- Be forthright about your strengths and weaknesses
 - And the steps that you are taking to address the latter
- Mention any extenuating circumstances

COVID-19 Challenges & Opportunites Statement (Optional)

- Optional extra page allowed in candidate's statement
- Describe the impacts of the pandemic on your research, teaching, or service
- Describe opportunities you took advantage of during the pandemic (new activities, innovations, challenges overcome)
- Ideally discuss those impacts relative to your previous record
- No need to provide personal information

Diversity, Equity and Inclusion (DEI) Statement (Optional)

- [APM 210-1-d](#) states, “Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions 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 and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.”

<https://academicaffairs.ucdavis.edu/guidelines-writing-diversity-statement>

Some examples of contributions (but there are many more):

- **Commitment** to using a faculty position to be a force of enlightenment and change by opening up opportunities to students who may have never known of the intellectual and life options that abound at our university.
- **Creation** of programs that provide access and establish a pipeline in disciplines for students in traditionally underrepresented groups.
- **Enriching** the classroom environment through providing exposure to new perspectives on cultures, beliefs, or practices, or the teaching of cultural humility or other aptitudes and skills to enhance the ability of our students to engage with inclusivity in a pluralistic society.
- **Exposure** to research opportunities for individuals historically excluded from disciplines on the basis of their gender or ethnic identity.
- **Leadership** in any capacity that tangibly promotes an environment where diversity is welcomed, fostered, and celebrated.
- **Mentoring** students from traditionally underrepresented groups and at-risk students to provide the guidance needed to help ensure their academic experience is a welcoming and positive one, to promote university resources when needed for retention, and to serve as transformative role models for those who may not yet understand their real potential in an academic environment.

Appraisals Are Often The First Time Your Dossier Goes beyond College For A Review

- An appraisal of your teaching, research/creative activity and service is performed in your **fourth year or sooner**.
- Your dossier is reviewed by the department, FPC, the Dean, CAP and the VPAA after which an appraisal letter is sent with reviewers' feedback on performance in each area.
- A **positive** appraisal indicates that continuation of the trajectory is likely to result in promotion;
- A **guarded** appraisal indicates that there are positive aspects of the record but that certain elements of the record – either incomplete, unknown in outcome, or deficient and requiring attention – yield concerns about the prospects of promotion;
- A **negative** appraisal indicates that the present trajectory does not meet Academic Personnel Manual standards and would likely result in a recommendation against promotion.

Promotion #1: Assistant → Associate

- Maximum of 8 years at Assistant rank at UC, decision must be made by end of 7th 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 during the year-long shutdown.
- Decision based on record since terminal degree
 - APM 210-1: Criteria for the Professor series
 - APM 210-3: Criteria for the Lecturer with Security of Employment 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, 3-yr period)
 - 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 from candidate/some from department) – preferably “arms length” (3 minimum AL)
 - Decide on publications/teaching/service-related achievements to send to referees
 - Provide draft of your Candidate’s Statement

Appeals go to CAP-Appellate

- 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)

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 Step Plus Toolkit on Academic Affairs website for information & guidance
<https://academicaffairs.ucdavis.edu/apm/apm-toc>
- Visit the Academic Affairs website <http://academicaffairs.ucdavis.edu>
- Consult with senior colleagues, including faculty with experience on FPC or CAP

Questions?

THANK YOU FOR YOUR TIME!