UNIVERSITY OF CALIFORNIA, DAVIS: MERITS & PROMOTIONS

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At the University of California, the goals for academic review are:

- To undertake frequent faculty reviews
- To make review fair and equitable
- To distribute decision making power
- To ensure the same process for all faculty
- To ensure checks and balances for review of faculty
Welcome to University of California

University of California evaluates faculty more frequently than any other university system in the world. *Faculty are reviewed through their entire careers! You’re never too senior to be reviewed!*

- Every two years at Assistant and Associate ranks
- Every three years Professor I through Professor VIII
- Every four years Professor Above Scale and beyond

**Positives:**
- More frequent prompts for self-evaluation
- More collegial feedback
- Use that feedback!

**Negative?**
- Some argue they would be *even more* famous if they had a paper for every merit packet they developed!
Essentials for Success

• Know your career goals
• How do they mesh with the missions of the school?

• Understand your academic series:
  • How does it contribute to the school’s missions?
  • What are criteria for advancement in your series?

• Know how merits and promotions work
• Know where to go for advice, help, and training – then go get it!
APPOMNTMENT AND PROMOTION

210-0 Policy

210-1 Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series

a. Purpose and Responsibility of the Review Committees
b. Maintenance of the Committee’s Effectiveness
c. Procedure
d. Criteria for Appointment, Promotion, and Appraisal
e. The Report

Appendix A, Statement on Professional Ethics, 1966 AAUP
The essentials for successful advancement at the University of California:

- Faculty and Chairs must understand the missions of the University
- Faculty and Chairs must understand the academic series (faculty tracks):
  - Which of the school’s missions are emphasized?
  - What are the criteria for advancement in your series?
- Faculty and Chairs must understand how the merit and promotion system works
- Faculty and Chairs must understand where to go for advice, help, and training!
At the University of California:

We offer a web-based resource with tools, templates, toolkits and explanations of process:
At the University of California:

We offer numerous in person trainings:
The missions in the schools of health at the University of California

- **Education**
  - Training physicians, nurses, researchers and other health care providers to serve the people of California

- **Research**
  - Create new knowledge to improve, sustain health

- **Clinical Service**
  - Preventing and treating disease

- **Service**
  - To department, School, University, profession, community, state and Nation
Role and contributions to missions define the five different faculty series:

- Ladder Rank (Regular)
- In-Residence
- Adjunct
- Clinical X
- Health Sciences Clinical Professor (HSCP)

The BIG FIVE!
Why 5 academic series/tracks?

• “Triple-threat” faculty member less possible now – most have primary role in one or two missions

• Economic necessity: clinical income subsidizes other missions. This need led to creation of clinical tracks (>50% SOM budget is funded by clinical efforts)

• 5 UC series provide appropriate contexts for activities and specific criteria for evaluation: Allows for equitable review!
It’s a National Trend

- Number of schools with clinical tracks:
  - 61 in 1986
  - 91 in 1998
  - Every school today (n= ~145 US; 17 Canadian)
- Clinical tracks are typically non-tenured; non-tenured faculty have out-paced growth of tenured faculty:
  - % tenured faculty = 68% in 1981-83
  - % tenured faculty = 46% in 1997-99
  - Less today: <25% of faculty have even a partial FTE at UCDavis
UC Davis SOM Trend
Three Series with Primary Focus on Research

- **Ladder-Rank (Regular)**
  - Only series with tenure
  - State salary funds (19900) for instruction and research
  - Academic Senate membership
- **In-Residence** – may have clinical & research duties
  - No state funds, no tenure (1-3 yr. re-appointment)
  - Academic Senate
- **Adjunct** – typically research-only faculty
  - No state funds, no tenure (annual re-appointment)
  - Academic Federation
Research Intensive Series

- Research
  - Should be thematic and independent

- Teaching
  - May be classroom, hospital, clinic, laboratory
  - Adjunct/IR have less obligation than Ladder Rank – departments must support 5% of time for teaching
    - CAP sees a minimum responsibility for one 3 credit semester long course per year
  - Ladder Rank can “buy out” some teaching with grants – cost-recovered 19900 funds can be applied to others for teaching duties
Research Intensive Series

• Clinical
  • Not always required
  • Ladder Rank and In-Residence may include clinical responsibilities
  • Adjunct faculty usually are not clinicians but can be

• Service required (least expectation at Assistant rank and increases with promotions):
  • Department
  • School
  • University
  • Profession
  • Community
Primary Focus on Clinical:

- Professor of Clinical (discipline):
  - No state salary funds
  - No tenure (1-3 yr. re-appt.)
  - Academic Senate membership

- Health Sciences Clinical Professor:
  - No state salary funds
  - No tenure (1-3 yr. re-appt.)
  - Academic Federation membership
Academic Series: Focus on Clinical Service

- Clinical work: major time commitment
- Teaching: chiefly clinical, may include classroom, discussion group, lab
- Department, School, University, Profession, Community Service: required; progressively more as rank advances
- Research:
  - Professor of Clinical scholarship: Can be any of the following- translational research, integrative, clinical trials, health services, case series, or bench research. Reviews, book chapters, teaching papers valued. Must demonstrate impact as scholar.
  - Health Sciences Clinical Professor (HSCP): No direct expectation of leading research; supports the research efforts of others (e.g. through recruitment); may be as active as individual wants if research funding available.
Schools of Health role in the University of California Davis: Different Culture

- Different definitions of faculty
- Different values
- Different teaching roles
- Different perspective on scholarship
- Growing size and influence
- Identification more with medical center than campus
- Particularly important at UC where promotions are evaluated by a campus-wide committee (CAP)
**Merit and Promotion Rank and Step Process**

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<thead>
<tr>
<th>Rank</th>
<th>Step</th>
<th>Years at Step</th>
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<tbody>
<tr>
<td>Instructor</td>
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<td>IX</td>
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**Merit reviews *change STEP:**
- Every 2 years for Assistant and Associate Professors
- Every 3 years for Professors
- Each merit advancement increases base salary (used to calculate retirement), and is marked by increase in **Step**
- Process is excellent source of feedback

**Promotion *change RANK:**
- Promotion to Associate Professor must occur within 7 years at Assistant Professor level, usually from Assistant Professor, **Step IV**
- Promotion to Professor usually occurs at Associate Professor, **Step III**
Rank and Step System:

Advancement Diagram

Legend:
- **Step #**: Normal years at step before next advancement
- **Other routes to advancement**: Normal Advancement

**To advance to Associate, Step 4, prior approval is required from the Dean and the Vice Provost if the candidate has been at the Associate level for more than 6 years.**

Overlapping Steps

Each level represents crossing a "barrier" advancement.
Rank and Step System links to pay (and retirement benefits):
Equitable compensation for like work is achieved through Compensation Plans:

Salary Component $X = \text{Base Salary}$

Academic Programmatic Units (APUs)

- **Salary Administration**
  - Please contact Academic Personnel if you have any questions or need more information.

  - Salary Scales
  - Forms and Tools
  - Compensation Plan

- July 1, 2017 Compensation Plan Step Plus Salary Scales with Components 0-9 (PDF)
- July 1, 2016 Compensation Plan Step Plus Salary Scales with Components 0-9 (PDF)
- July 1, 2015 Compensation Plan Salary Scales 0-9 (PDF)
- July 1, 2014 Compensation Plan Salary Scales 0-9 (PDF)
- Complete list of historic salary scales
- Off Scale Salary Policy - APM UCD-620
Equitable compensation for like work is achieved through Compensation Plans:

Salary Component $Y = $Annual Negotiated Salary Derives from Clinical Productivity or Research Grants

Recognized benchmarks
Objective criteria
Fairly applied
Equitable compensation for like work is achieved through Compensation Plans:

Salary Component $Z = \text{Bonus pay}$

**V. Z Component  A. Definition:** The Z component may be disbursed under 5 distinct scenarios. A Member may receive a Z payment under none, any or all of the following scenarios:
1. Known or recurring clinical/administrative service such as evening On Call duties
2. Unanticipated duties
3. Special circumstances and additional responsibilities as determined by the Dean or Department Chair
4. Excess departmental income
5. Outside Professional Income

Recognized benchmarks
Objective criteria
Equally and Fairly applied
Evaluation Criteria - for all levels

- **Research**
  - Impact, Independence, Peer-review, Dissemination

- **Teaching**
  - Quantity, Effectiveness (Evaluations needed)
  - Seek evaluations of all teaching roles

- **Clinical Service**
  - Professional Competence, Board Certification, Recognition among peers, Leadership in discipline

- **Department, School, University, Profession, Community Service**
  - Outcomes, Role, Influence, Visibility
Step Plus Process

- Review every two years at Assistant and Associate
- Review every three years Associate IV through Professor IX
- Review every four years thereafter
- Deferrals must be within the 7-year period for Assistant Professors
- Clock can stop for child-bearing, adoption, significant illness
- Acceleration in time for promotion OR step plus, but not both
Step Plus Process

- **One-Step Advancement**

- All members of the Academic Senate are eligible for regular advancement at scheduled intervals. A balanced record, appropriate for rank and step, with evidence of good accomplishments in all areas of review is rewarded with normal advancement. Service duties are expected to increase as faculty advance in rank and step.
Step Plus Process

- One-and-One-Half-Step Advancement
  - A larger-than-normal, 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. Chairs and Deans should be encouraged to articulate in the departmental and Dean’s letters the grounds for acceleration beyond simple numerical tabulations of papers, citations, courses, and committees: for example, by describing the special impact or quality of the work, the awarding of prizes for achievement, or the scale and scope of the undertaking.
Step Plus Process

- **Two-Step Advancement**
- A two-step advancement will require 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. Two-step advancement requests will go to CAP for review and the Vice Provost- Academic Affairs for decision (Except HSCP)
Voting in Step Plus

Manage Nominee In Voting System

Vote Listing Preview

Faculty Member: [Redacted]
Action: step plus
Current Rank/Step: [Redacted]
Proposed Rank/Step: [Redacted]
Effective Date (when action will be effective): 07/01/2015
Voting Due Date (when voting ends): 10/01/2016

Seminar Presentation:

Attached Dossier Documents:

- Yes - 1 step
- Yes - 1.5 steps (additional .5 step)
- Yes - 2 steps (additional 1 step)
- No (comments are required for this selection)
- Abstain

Comments:
Academic Personnel Process: Reviewers

- Your department – vote
- Office of Academic Personnel reviews
- Packet is “perfected”
- Sent to School of Medicine Faculty Personnel Committee (FPC) for merits
- Sent to Associate Dean for Academic Personnel if it is going to Committee on Academic Personnel (CAP)
Roles of Faculty Personnel Committee (FPC) and Committee on Academic Personnel (CAP)

• The Faculty Personnel Committee is at the School level (e.g. School of Medicine)

• The Committee on Academic Personnel is at the University level (e.g. All schools and Colleges)

• These are only committees that see all personnel files

• Charged with maintaining equity of expectations across school/campus

• Recommendations based solely on academic criteria and on the materials presented
Department Chair’s Role

- Proactive in career advancement of faculty
  - On-going mentoring through Mentoring Academy
  - Annual career planning meeting (or with Division chief)
- Meet with candidate at merit/promo time
  - Review criteria for advancement
  - Discuss deferral, (acceleration possible at promotion points)
  - Inform candidate of right to identify individuals who might be biased against file
  - Discuss content of dossier and deadlines
  - Request list of potential extramural references — at least half (preferably more) must be “arms-length”
  - Decide on publications to send to references
  - Candidate statement can be included
- Liaison between faculty and the administration/Dean
Role of FPC and CAP in the Personnel Process

• The only committees that see all personnel files
• Charged with maintaining equity within school/ across campus
• Recommendations based solely on academic criteria and on the materials presented
CAP and FPC

Committees of Academic Personnel
- 9 members, including 2 from SOM
- >30% of cases considered are SOM
- Handles all promotions, merits to Associate IV or V, as well as Professor, Step VI or Professor, Above Scale (equivalent to Step X) or higher

Faculty Personnel Committee
- Actually considered a subcommittee of CAP
- Composed of 9 med school faculty at rank of Professor or above
- Handles all actions for HSCP
## CAP Promo and Merit Denials

<table>
<thead>
<tr>
<th>School/College</th>
<th>% of Denials</th>
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<tbody>
<tr>
<td>Medicine</td>
<td>&lt;9%</td>
</tr>
<tr>
<td>Letters &amp; Science</td>
<td>3%</td>
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<tr>
<td>Agri. &amp; Environ. Science</td>
<td>12%</td>
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<tr>
<td>Engineering</td>
<td>7%</td>
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<tr>
<td>Vet. Medicine</td>
<td>9%</td>
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</tbody>
</table>
Step-plus progress rates
2014-17 Senate
2015-17 Federation
Academic Personnel Process: Assistant Professor Time Clock

• 7-year “up or out” time-clock for promotion to Associate Professor for most faculty series
• Appraisal: 4th year collegial advice on outlook for promotion
• Changing series is possible, but not at the last minute!!
Tip

Show evidence of having met the criteria for advancement in each mission

- Quantity, quality, significance and impact
- Highlight accomplishments rather than promise
- Describe your leadership role if it is not obvious (example: first author is a trainee)

This is often best accomplished in your candidate statement

- Your voice makes you a real person to the review committee
- Committee reviews the information you provide
Candidate’s Statement

• 2-5 pages: you describe your goals
• Critical chance for your voice to be heard
  • Describe your goals
  • Describe your progress to date and plans
• Share your view on the significance and impact of your work
• SOM and FPC value these statements to “get to know you” as a person
Let Us Help You!

People to talk to:

• Colleen Clancy, Ph.D., Associate Vice Chancellor for Academic Personnel
• Brent Seifert, J.D., Assistant Dean of Academic Personnel
• Hendry Ton, M.D., Associate Dean for Faculty Development and Diversity
• Melissa Bauman, Ph.D., Director of Women in Medicine and Health Sciences (WIMHS)
• Julie Schweitzer, Ph.D., Mentoring Academy Director

Contact any of us at 916-734-4610
Faculty Development and Diversity

Khoban Kochai (916) 734-1243

Look for info on programs:

• Website - http://www.ucdmc.ucdavis.edu/facultydev/
• Blog - https://ucdavisfacdev.com/
• Newsletter (quarterly)
• E-mail announcements

Examples:

• Interprofessional Teaching Scholars Program
• Leadership Development Programs
• Mentoring Workshops
• Annual Grant Writing Workshop
• One time offerings