UNIVERSITY OF CALIFORNIA DAVIS ACADEMIC SENATE
VOLUME XLII, No. 3

MEETING CALL
REGULAR MEETING OF THE REPRESENTATIVE ASSEMBLY OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

***Tuesday*, April 29, 2014**
2:10 – 4:00 p.m.
Student Community Center, Multi-Purpose Room

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1. Approval of the February 24, 2014 Meeting Summary	2
2. Announcements by the President – None	
3. Announcements by the Vice Presidents – None	
4. Announcements by the Chancellor – None	
5. Announcements by the Deans, Directors or other Executive Officers – None	
6. Special Orders	
a. Remarks by the Academic Senate Chair	
7. Reports of standing committees	
8. Petitions of Students	
9. Unfinished Business	
10. University and Faculty Welfare	
11. New Business	
a. Step Plus Proposal for Personnel Actions	
12. Informational Item	
a. *College/School Bylaw and Regulation Update: School of Medicine	6
b. Graduate Council report on course(s) size	8
c. UC Davis Academic Personnel – Streamlining Implementation Workgroup (APSIW)	11

Abigail Thompson, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

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1. Approval of the October 28, 2013 Meeting Summary
   Motion to accept October 28, 2013 transcript
   Vote: 37 – 0
   Action: Motion approved
2. Announcements by the President – None
3. Announcements by the Vice Presidents – None
4. Announcements by the Chancellor
   a. State of the Campus – Chancellor Linda P.B. Katehi
      Presentation - http://chancellor.ucdavis.edu/speeches-writings/2014/state_of_campus_2014.html
   b. Discussion of Campus Initiatives with the Chancellor
      Topics of discussion included:

Increased Visibility in Sacramento, the State, the US and the World
- Visibility is achieved through the work of many people.
- The campus needs do things that are founded on its strengths.
- Last year there were 40 major honors for faculty.
- Presence in Sacramento will give visibility and access to state leaders and legislators.
- Steps need to be taken to highlight the work that UCD is doing.

Faculty Hiring
- 2/3 will be Senate.
- 1/3 will be lecturers/other steady appointments.

UC Retirement
- Things have been under better control than they were 3 years ago.
- The gap in pension is getting smaller.
- 2% increase in UC Care is the lowest it has been.
- Over time UCD will be able to provide high quality of service.

Student Experience
- Number of classrooms has increased.
- There are fewer students per class.
- Advising on the campus.

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2020 Initiative

- The state funding does not impact the number of students.
- UCD went from an increase of student cohort in the last 15 years.
- There is a place for the new students we are looking to bring in 2020.
- The majority of these 5,000 students are out of state or international; they pay 2 ½ more in tuition, they subsidize many domestic students.

How will we compete with other universities for talent?

- Historically salaries have been low.
- UCD is lower by a major gap than UC Berkeley, LA, and San Diego, this is not recent.
- The UC pension system has always been considered the top in the country.

University and Public Good

- One of the fundamental things is to provide access to students.
- Students need to be encouraged more in the issues of social justice.
- There are a large number of students that don't participate in these activities.
- There are students who haven't had the opportunity to offer their time for social good.
- This issue needs to be a key component of the curriculum.

Faculty Diversity

- There are a number of seminars to educate about unintended biases and practices on how to diversify the pools of candidates.
- Launching an initiative focused on human equity; there needs to be an environment that addresses the needs of individuals.
- There will be a survey that will be presented to the board of regents regarding the quality of our environment and climate that we have in our campus.
- With the changes of the 2020 initiative, this is the opportunity to diversify faculty.

2020 Resources

- More advising opportunities for international students.
- Expanded ESL program
- More opportunities for international students to interact with domestic students.

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5. Announcements by the Deans, Directors or other Executive Officers – None
6. Special Orders
   a. Remarks by the Academic Senate Chair
      - Academic Organization Task Force Report available on the website
      - **Simplifying the Academic Personnel Process**
        Summary of the comments from the committees have been submitted to the Vice Provost. A final proposal has not been reached.
        - Hoping to do implementation by 2015.
        - March 5th – town hall for department chairs to explain the proposal.
        - There will be a discussion at the April Representative Assembly meeting.
        - Voting will be held at the June Representative Assembly meeting.
      - Forum on Academic Freedom
        Friday March 15 2:00 – 4:00
        Studio Theater, Mondavi Center
        Submit questions to academicfreedom@ucdavis.edu
7. Reports of standing committees
   a. Committee on Committees
      i. Confirmation of Academic Senate Chair Elect for 2014-2016
         Motion to appoint André Knoesen as Academic Senate Chair
         Vote: 47 – 0
         Action: Motion approved
   b. Faculty Research Lecture (To be honored during the Spring quarter)
      i. Confirmation of the 2013-2014 Faculty Research Lecture Award Recipient
         Motion to approve award recipient:
         Howard Spero, Department of Planetary Sciences
         Vote: 49 – 0
         Action: Motion Approved 9
   c. Public Service (To be honored during the Spring quarter)
      i. Confirmation of the 2013-2014 Distinguished Scholarly Public Service Award Recipients
         Motion to approve award recipients:
         Jamal Abedi, Randi Haerman, James Sanchirico, Edward Taylor
         Vote: 49 – 0
         Action: Motion approved 10

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d. Annual Report of the Committee on Academic Personnel: Oversight Subcommittee
Motion to approve report
Vote: 49 – 0
Action: Motion approved 12

8. Petitions of Students
9. Unfinished Business
10. University and Faculty Welfare
11. New Business
12. Informational Item
    a. *College/School Bylaw and Regulation Update: School of Medicine

Meeting Adjourned

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Abigail Thompson, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

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School of Medicine Bylaw and Regulation Revisions
April 29, 2014 Representative Assembly Meeting

1. Article 6.0: Amendments of Bylaws and Regulations
   Approved by School of Medicine Faculty: February 20, 2014
   Reviewed and approved by CERJ: February 4, 2014

PROPOSED BYLAWS CHANGES	Submitted to *CERJ: 1/7/2014
Submitted by: Faculty Executive Committee, UC Davis School of Medicine	Presented at the General Faculty Meeting: 1/22/2014 Response from CERJ: 2/4/2014 Ballot starts: 2/6/2014 Ballot Ends: 2/20/2014 Ballot Result: Passed
Proposal: Changes to Article 6.0 – Amendments of Bylaws and Regulations	*CERJ: Committee on Elections, Rules, and Jurisdiction (Davis Division)

Rationale

Currently, proposed changes to the Bylaws and Regulations are sent to the faculty five days before a General Faculty Meeting, where they are discussed, then the ballots are distributed to the faculty for a vote. This process: 1) does not allow faculty input to be considered in the formulation of the changes, and 2) does not allow Committee on Elections Rules, and Jurisdiction (CERJ) time to review proposed changes before the vote.

In the past, General Faculty Meetings were well attended and amendments could be made to the proposed changes by vote during the meetings. For the past decade a quorum has rarely been present at the meetings, making such input impossible. The proposed changes will allow faculty more opportunities to become involved in the amendment process, both before and during the General Faculty Meeting.

CERJ has asked to approve all changes to the School of Medicine Bylaws and Regulations to assure they are not in conflict with the Davis Division Bylaws, Systemwide AS Bylaws, Legislative Rulings or the Standing Orders of the Regents. Our current system mandates certain deadlines for presenting the changes and sending out the ballots that does not give sufficient time for the CERJ to review the proposed changes.

Current language

Article 6.0 Amendments of Bylaws and Regulations

6.1 These Bylaws and Regulations may be amended by a two-thirds vote of the Academic Senate Faculty casting ballots. A written notice of the proposed change must be transmitted to each member of the Faculty at least five calendar days before the meeting at which the change is considered. Voting shall be by ballots transmitted by the Secretary of the Faculty within ten calendar days after the meeting. Voting shall close 14 calendar days after transmission of the ballot. (En. 6/5/78; Am. 12/31/94, 11/19/10)

6.2 No change in the Bylaws may be made that will be in conflict with the Bylaws, Regulations, or Legislative Rulings of the Academic Senate of the University.

Proposed Revision: Deletions are indicated by ~~strikeout~~; additions are in **bold type.**

Article 6.0 Amendments of Bylaws and Regulations

6.1 These Bylaws and Regulations may be amended by a two-thirds vote of the Academic Senate Faculty casting ballots. **Any proposed changes to these Bylaws and Regulations** ~~A written notice of the proposed change~~ must be transmitted to each member of the Faculty at least **two weeks prior to a Faculty Executive Committee meeting scheduled to take place at least five days prior to the General Faculty Meeting for faculty comments and input.** ~~five calendar days before the meeting at which the change is considered.~~ **The proposed changes will be discussed at the Faculty Executive Committee meeting just prior to the General Faculty Meeting, and the proposal will be modified as needed taking into consideration the comments and input of the Faculty. Written notice of the modified proposal must be transmitted to the Faculty at least five calendar days before the General Faculty Meeting at which the change is to be considered. Comments and input from the Faculty at the General Faculty Meeting regarding the proposal will be taken into consideration at the next regularly scheduled meeting of the Faculty Executive Committee and the proposal may be modified again based on the Faculty comments. The proposal must then be transmitted to the Davis Division Committee on Elections, Rules and Jurisdiction (CERJ) for review.** Voting shall be by ballots transmitted by the Secretary of the Faculty within ~~ten~~ **five** calendar days after **notification by the CERJ** ~~the meeting~~. Voting shall close 14 calendar days after transmission of the ballot. (En. 6/5/78; Am. 12/31/94, 11/19/10)

6.2 No change in the Bylaws may be made that will be in conflict with the Bylaws, Regulations, or Legislative Rulings of the Academic Senate of the University.

January 13, 2014

BRUNO NACHTERGAELE, Chair
Academic Senate

RE: COURSE(S) SIZE

As charged at the Fall 2013 Representative Assembly meeting, on behalf of Graduate Council I have investigated the number of graduate courses with fewer than five students enrolled. The concern raised by a RA member was that eliminating course evaluations in courses with five or fewer students would restrict faculty members' ability to be evaluated on graduate teaching, particularly in smaller programs or programs with relatively larger numbers of course offerings relative to enrollment.

Helen Paik of Institutional Analysis provided data regarding course enrollments for three academic years: 2010-11, 2011-12, and 2012-13. Gina Anderson, Executive Director of the Davis Division Academic Senate, and Robert Loessberg-Zahl, Institutional Analysis Director, collaborated in the data-gathering process. Over 23,000 graduate courses were offered during those three academic years. Excluding variable-unit courses and 290-299 courses, roughly 4,500 courses were offered. Figure 1 reports the number of graduate courses offered each year by enrollment category: 1-5, 6-10, 11-20 and 21 or more. Roughly 43% of courses had 1-5 students enrolled.

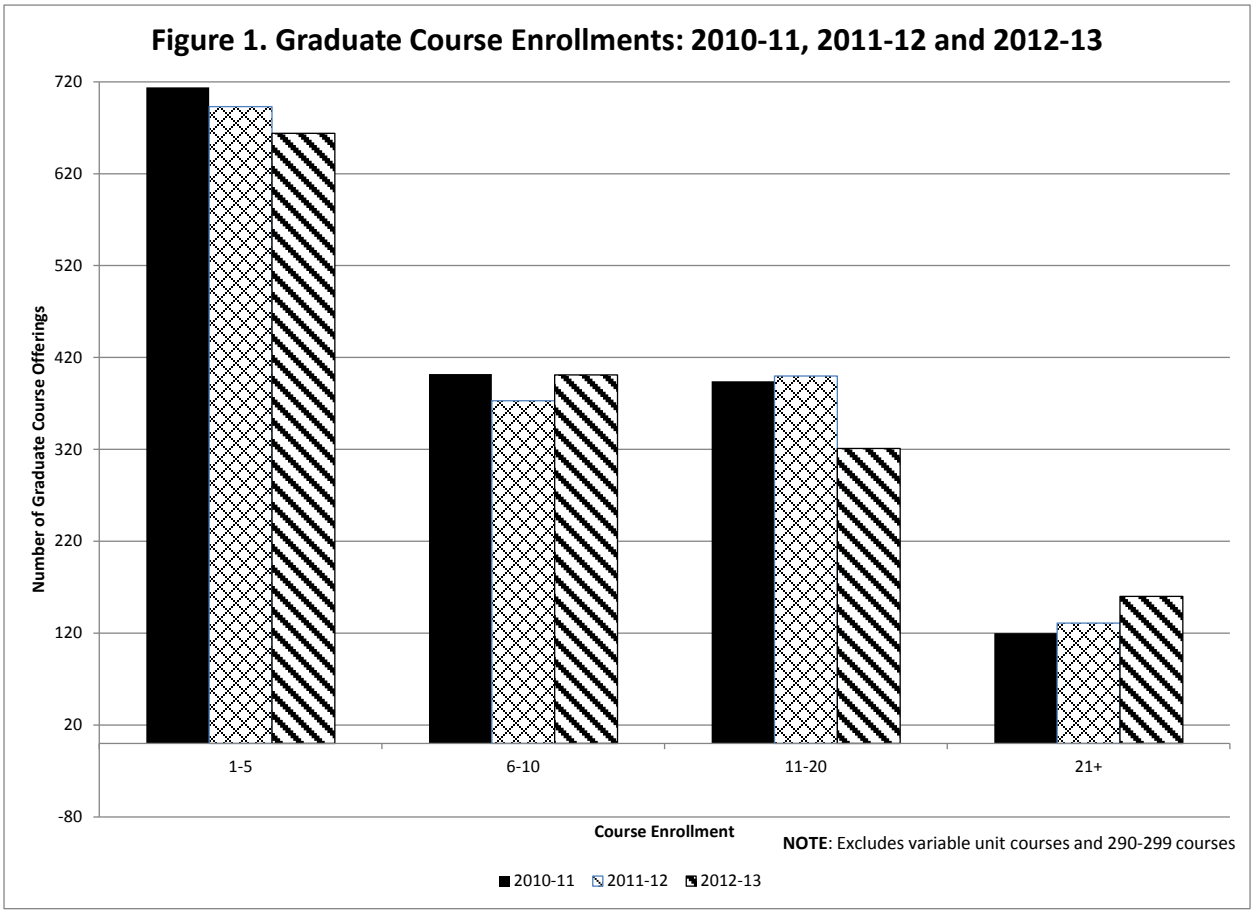
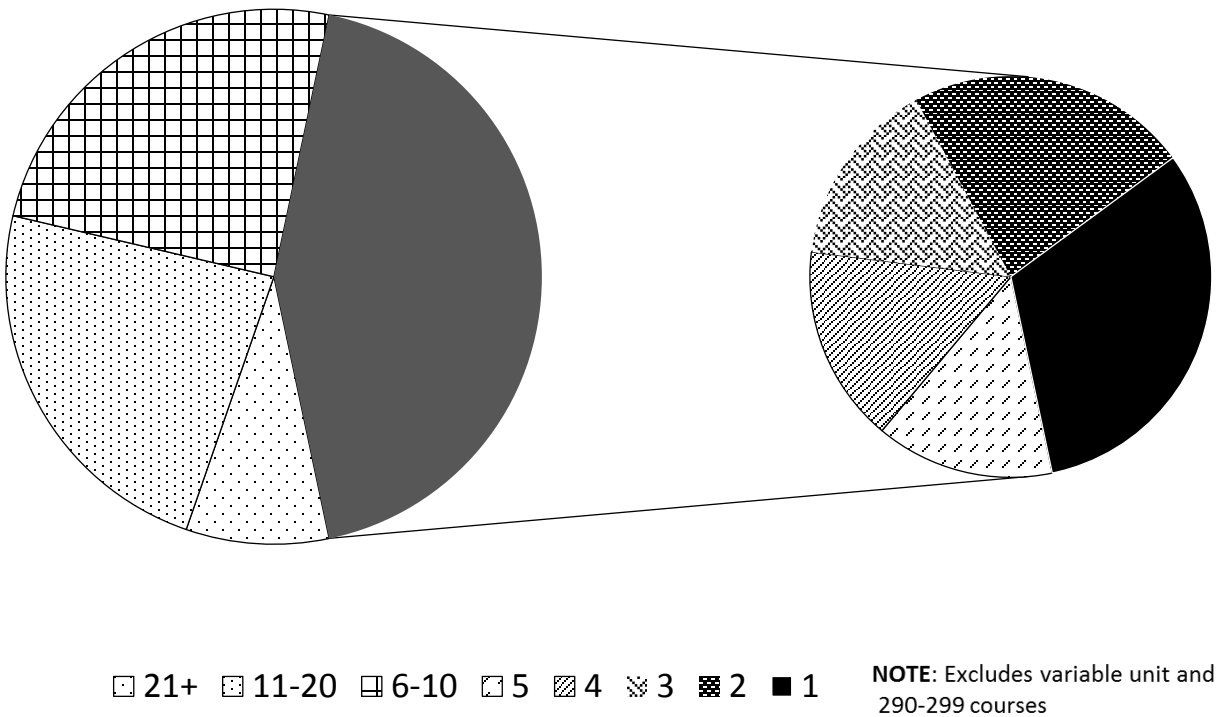


Figure 2 sums courses by enrollment category over the three academic years and subdivides the 1-5 enrollment category on the right. The course offerings are summed over the three academic years. In total, there were slightly over 1,100 course offerings with one or two students enrolled. Most of the courses with 1-2 students enrolled are guided research units of various types. The units are relatively concentrated across programs, due in part to program size and in part to differences in how programs account for research units. The four courses CHE 263 (193), PHY 270 (189) CHE 264 (160), or CHE 261 (129) accounted for 59% of all graduate courses with one or two students enrolled over the three-year period.

942 course offerings had enrollments of 3-5 students. Supervised research units accounted for a smaller share of course offerings with enrollments of 3-5 students, although the share was still substantial. Restricting attention to the courses o listed above, there were 132 offerings of CHE 261, 121 offerings of CHE 264, and 80 offerings of CHE 263 with enrollments of 3-5 students. There were 109 offerings of PHY 270 with 3-5 students. In total, these courses accounted for 47% of this enrollment category.

Figure 2. Graduate Course Enrollments: Three-year Total



84 graduate groups and programs had at least one course offering with 3-5 students. Thus, although there are many course offerings with five or fewer students enrolled that do not have course evaluations, there is the potential for the vast majority of programs and groups to be affected to some extent. (This observation is subject to the important caveat that no general survey was conducted to check for whether or not evaluations were required for this broad set of courses.) Additionally, variations in student cohort size, faculty sabbaticals, and other factors will likely cause the number and share of course offerings with 5 or fewer students to vary by academic year.

In the course of preparing this memo I contacted a very small, non-random sample of graduate program chairs, who provided information regarding specific courses and whether or not evaluations were conducted. Chairs expressed confusion about whether the policy permitted course evaluations for courses with 5 or fewer students (but did not require them) or prohibited them entirely for those courses. Their confusion suggests that clarifying the policy's intention early in winter quarter 2014 would aid in its successful implementation.

Graduate program chairs expressed two concerns regarding the potential negative effects of a fixed course size standard for whether or not formal evaluations are required in a graduate course. First, some courses with 5 or fewer students are substantially modified in terms of readings and assignments each year, and the instructors rely on extensive course evaluations when revising the courses. In the program in question, students have the option of not submitting evaluations if they are worried about confidentiality. Mandating that evaluations not be conducted would eliminate the course evaluations as a source of feedback for improving the course. Second, some courses that generally have 5 or fewer students may occasionally have sections of 6 or more. For example, a readings/presentations course for a professor's research group includes all students in that group. Even when the research group has 6 or more students, the professor is likely to know the students all extremely well so the number of students will not be sufficiently large to protect anonymity.

Sincerely,

Rachael E. Goodhue, Chair
Graduate Council

/vm

c: Gina Anderson, Executive Director of the Academic Senate
André Knoesen, Vice Chair of the Academic Senate
Robert Loessberg-Zahl, Institutional Analysis Director
Helen Paik, Budget & Institutional Analysis Analyst

UC Davis Academic Personnel

Streamlining Implementation Workgroup (APSIW)

Revised, 9 January 2014

Introduction

Charge

On May 3rd, 2013, Vice Provost Maureen Stanton charged the Academic Personnel Streamlining Implementation Workgroup (APSIW) with developing protocols and procedures for implementing recommendations in the Academic Senate, STAPP report (Appendix I). The STAPP report [1] describes the recent history of modifications to merit and promotion review procedures at UC Davis; it proposes sweeping changes to our current system and offers compelling rationales for undertaking them. In brief, that report finds that the academic personnel system is cumbersome and unduly time-consuming for faculty and staff alike. Its major recommendations are to: (i) consider a personnel system that would eliminate "accelerations in time," replacing these with "advancements in performance;" and, (ii) reduce or eliminate the role of the Faculty Personnel Committees. We discuss both of these recommendations below, focusing on the operational details, the "nuts and bolts," of what a new system would look like. In addition, consistent with the STAPP report, we recommend ways that departments can reduce the time spent on personnel actions by making greater use of the information available (now or in the near future) within MyInfoVault (MIV). Finally, we address other questions raised in the charge letter from Vice Provost Stanton.

APSIW Membership

Professor Rob Feenstra (DSS: Department of Economics; Co-Chair)
Associate Dean and Professor Bruce Winterhalder (DSS: Anthropology & Division of Social Sciences; Co-Chair)
Professor Richard Tucker (SOM: Cell Biology and Human Anatomy)
Professor Walter Stone (DSS: Department of Political Science)
Professor Lisa Tell (SVM: Medicine and Epidemiology)
Executive Associate Dean and Professor Peter Wainwright (CBS: Department of Evolution and Ecology)
Assistant Dean Julie Ann Fritz-Rubert (CAES)
Analyst Bobbie Lasky (Academic Affairs, Office of the Chancellor and Provost)
Director Sarah Mangum (Budget and Institutional Analysis)
Analyst Donna Udahl (Budget and Institutional Analysis)
Vice Provost and Professor Maureen Stanton (CBS: *ex officio*)

[1]The STAPP (Streamlining the Academic Personnel Process) report, prepared in 2011-2012, is available at: http://academicsenate.ucdavis.edu/documents/final_STAPP_report_with_attachments_for_EC.pdf.

Schedule

The APSIW met through the summer and into the fall of 2013, nearly every two weeks between June 3rd and October 20th, with the co-Chairs holding planning meetings on alternate weeks. On August 16th, the ten members of the committee traveled to Berkeley and spent two and a half hours discussing the UC Berkeley ("Half-step") personnel system with Vice Provost for the Faculty, Janet Broughton, and CAO for Academic Personnel, Heather Archer. We completed our report on October 25th, 2013.

Executive Summary

- We recommend and outline implementation details for a UC Davis Step Plus merit and promotion system that replaces "accelerations in time" with "advancement in performance" in half-step increments.

- We recommend continuation of School, College and Division FPCs, but with much reduced duties, inasmuch as most redelegated actions will be handled by the home Department and Dean.

- We recommend that UC Davis adopt formal language like that developed at UC Berkeley for assessing Step Plus advancement.

- We propose that further, significant simplification and workload reduction at the departmental level could be achieved by adopting some best practices recommendations, but we do not otherwise address the great diversity of standards and practices at the departmental level.

- We recommend eliminating external referee letters for the high level merit to Professor Step 6.

- Finally, assuming adoption in parts or in full, we propose that the Vice Provost for Academic Affairs, in consultation with the Academic Senate, create three, small follow-up groups to be charged with: (i) developing orientation materials and opportunities for faculty, administrators and staff to learn the new system; (ii) rewriting campus documentation to conform to it; and (iii) advising the Vice Provost for Academic Affairs on the unanticipated issues and questions sure to arise in the early years of implementation.

Recommendation Details

Part A, Plan 1 of the STAPP report

We concur with the STAPP report that UC Davis (UCD) should move to a "partial step" system of merit and promotion review for Senate faculty. The **Step Plus** proposal described here is modeled after the merit and promotion system currently in use at UC Berkeley (UCB), with differences that respect factors unique to UCD. One noticeable difference is the name, which we adopt in preference to the "Half Step" name

used at UCB.[2] All merits would be assessed only on the normative schedule, that is, after two years for Assistant through Associate Professor, after three years for overlapping Associate and Professors, and after four years for Professor 9 through Above Scale Professors. This schedule is shown by the **Normative Years at Step** in the salary scale illustrated in Table 1. At the time of review, all actions would be eligible for a merit advancement lower or higher than one step (i.e., one-half step, one step, 1.5 step, two steps or more).

Salary increments would be adjusted proportionately. For instance, the base salary associated with Associate 2.5 would be mid-way between that for Associate 2 and Associate 3, as illustrated in Table 1. In this system, advancement is achieved by differential merit advance on the normally timed cycle rather than by coming up early. In place of "accelerations in time," *every* merit and promotion action would be considered for an "acceleration due to performance" by the awarding of an additional half step or more. This lessens the frequency of review and thus mitigates personnel process overload. The Step Plus system eliminates the need for retroactive merits and reduces the arbitrariness of basing acceleration on a very short assessment interval (e.g., 1 year).

The term **1.5-step advancement** would refer to an *additional half-step* over the one-step merit action, totaling 1.5 merit steps. Likewise, a **two-step advancement** or action would refer to the awarding an *one additional step* over the usual merit, totaling 2 merit steps. In contrast, a **half-step advancement** would refer to the awarding of a 0.5 merit step. The half-step advancement would be new at UCD, but is used successfully at UCB where it lessens the need for denials of merit action. *Because this policy would be new, however, we recommend that a half-step advancement can be given only if it requested by the faculty member and approved by department vote.*

To date, UCD has not had a written policy stating specific criteria for advancement. The Academic Personnel Office at UCB has developed guidelines for assessing incremental step merits, attached here as Appendix II. Under these guidelines, a half-step merit may be appropriate in cases where a faculty member is below normal in only one area: research, teaching, service or other performance expectation.[3] Two sequential half-step merits indicate generally that the record must be improved to a minimum of a full step merit before any further merits are awarded. A 1.5 step advancement "requires a strong and balanced record with outstanding achievement in at least one area of review," and a two-step advancement is considered when a faculty has an exceptional record in two areas. We propose that similar guidelines be adopted at UC Davis.

UCB allows some exceptions to the rule that merits and promotions are considered only in normative time. With one exception, we propose to follow their lead. Faculty may accelerate review *within* the normative period for promotion to Associate or to Professor. The rationale is that these actions consider the full record since

[2] The STAPP report recommended moving to merits steps *plus* one or more additional years (e.g. a merit plus one year, merit plus two years, etc.). We find that such a system would be unduly cumbersome to administer; in addition, it could not be implemented within the system-wide UC Path payroll software. By electing to increment in *half steps* rather than years, we assure consistency with existing payroll options.

[3] While we use the language of "research and publication" at various points in this document, we mean it as a compact expression encompassing other prominent elements of faculty performance review that are characteristic of our diverse units (e.g., artistic performance and expression, clinical practice, etc.).

Table 1: Example of Proposed Step Plus Salary Scale

Salary Scale for Faculty, Ladder Ranks, Professor Series (Academic Year), with Calculations of Half-step Salaries and Temporary Supplement if Accelerated

Rank	Step	Normative Years at Step[1]	Adjusted Scale 7/1/2013 Annual	Calculation of Temporary Supplement if Accelerated: Difference from last full merit step	Temporary Supplement[2] (¼×difference)[3]
Assistant Professor	1	2	$55,900		
	1.5	2	57,600		
	2	2	59,300	$3,400	$850
	2.5	2	60,900		850
	3	2	62,500	3,200	800
	3.5	2	64,300		800
	4	2	66,100	3,600	900
	4.5	2	67,750		900
	5	2	69,400	3,300	825
	5.5	2	71,050		825
	6	2	72,700	3,300	825
Associate Professor	1	2	69,500	3,400	850
	1.5	2	71,150		850
	2	2	72,800	3,300	825
	2.5	2	74,850		825
	3	2	76,900	4,100	1,025
	3.5	2	79,250		1,025
	4	3	81,600	4,700	1,175
	4.5	3	84,750		1,175
	5	3	87,900	6,300	1,575
Professor	1	3	81,700	4,800	1,200
	1.5	3	84,850		1,200
	2	3	88,000	6,300	1,575
	2.5	3	91,250		1,575
	3	3	94,500	6,500	1,625
	3.5	3	97,900		1,625
	4	3	101,300	6,800	1,700
	4.5	3	104,900		1,700
	5	3	108,500	7,200	1,800
	5.5	3	113,000		1,800
	6	3	117,500	9,000	2,250
	6.5	3	122,300		2,250
	7	3	127,100	9,600	2,400
	7.5	3	132,350		2,400
	8	3	137,600	10,500	2,625
	8.5	3	143,400		2,625
	9	4	149,200	11,600	2,900
	9.5	4	155,000		2,900

Notes:

1. The normative years at step indicate the normal time until the next review, unless there is a deferral.
2. This temporary supplement would be given for advancement to the partial step shown, and would last for the normative years at that step (as shown in column 3 of the table). Promotions in less than the normative time would retain the supplement for the normative years.
3. Calculated as ¼ times the difference shown in the previous column, until the next full merit step.

appointment or since prior promotion. In cases where such promotion actions are considered outside of normative time, the faculty member might be eligible for only a half-step merit, which would reflect the reduced time spent at the merit step, but is not a punitive action. For example, Associate step 4 might be advanced to Professor 1.5, rather than Professor 2.0, similar to a lateral promotion under our present system. Consistent with UCB, no merits, including high-level merits to Professor 6 and to Above Scale, may be accelerated within the normative period.

When a merit action is denied, the practice at UCB is to require that the candidate wait the normative period before being considered again. We do not propose that this practice be adopted at UCD. Rather, as is our current practice, we recommend that when a denial occurs the individual can resubmit their personnel packet the next year (unless they choose to defer). By allowing the half-step (0.5 step) merit option, we believe that denials will become more rare. Thus, an individual whose record during the normative period does not appear to meet the criterion for a one-step merit would face a choice: (i) to defer, in which case their packet can be submitted the next year; (ii) to submit for a one-step merit advancement but risk receiving a denial, which also would allow for a submission within one year; (iii) to submit for a one-step merit and also a half-step advancement, both of which are voted upon by the department. Under option (ii), the department would not vote on a half-step advancement since it is not requested by the candidate (but the department could vote on more than one step). Under option (iii), the candidate requests that the half-step advancement be included, but if that action is ultimately approved by the Dean's office then the candidate would not be able to seek another merit until the normative period is passed. Option (iii) is new, but other UCD policies concerning deferrals, including the five-year rule for evaluating all actions, would not change.

Compensation for salary loss due to eliminating accelerations in time

To this point our Step Plus proposal is quite similar to Half Step practices at UCB. However, UCB has been on the Half Step system for many years, and it has policies not found at UCD to adjust salaries to market level. In keeping with the principle that implementation of the Step Plus system at Davis should not impose salary loss on the faculty, we propose an additional element to Step Plus that is not found at UCB. Any faculty member receiving a advancement greater than one step would also receive a *temporary* supplement equal to *one-quarter* of the salary increment difference between their newly achieved and former full merit steps. The calculation of this temporary supplement is shown in the last column of Table 1, and would last for the normative years at the new step.[4] This temporary supplement would be funded as part of the advancement.

This provision recognizes that moving to the Step Plus system imposes a salary cost on those individuals who otherwise would have accelerated "in time" (say after one year at Step) but now are constrained to wait the normative period to achieve the same degree of advance. Under a variety of scenarios this provision provides us a simple way of roughly compensating for that potential salary loss. In Appendix III we illustrate two cases: (i) an Assistant/Associate professor who accelerates by one year under the current system at UCD, and similarly obtains a 1.5 step advancement under the proposed system,

[4] Promotions in less than the normative time would retain the supplement for the normative years.

but one year later; (ii) a Professor who obtains three one-year accelerations under the current system, as compared with two 1.5 step advancements under the proposed system. In both cases the individual is assumed to reach a future rank and step at the same time, so their future annual salary is identical. But the *cumulative salary* earned along the way is slightly different.

In case (i), the Assistant/Associate professor would have earned $1,950 less in cumulative salary because of the one year delay in obtaining the 1.5 step advancement, but that shortfall is reduced to just $150 with the temporary supplement. In case (ii), the Professor would have earned $9,550 less in cumulative salary because of the delays in obtaining the 1.5 step advancements, but ends up earning $275 more with the temporary supplement. We have examined other scenarios for advancement, always assuming that the individual reaches an ultimate rank and step in the same time under the two systems. Using the temporary supplement calculated as one-quarter of a full merit step increase sometimes results in a higher and sometimes results in a lower cumulative salary, but the differences are not large, especially when considered over an individual's entire career.

More cumbersome and accurate algorithms for making these adjustments might be envisioned, but the committee determined that this simple calculation is feasible to implement and it comes very close to achieving the desired result.

A final, and important issue is whether the proposed Step Plus system would be more or less costly in total payroll expenditure by the campus. We have designed the temporary supplement to those receiving an advancement so that payroll costs would be about the same on average, *presuming that individuals progress at the same rate under the Step Plus as under the current system.* There is one case for which expenditure would be increased by a modest amount: individuals who under the present system would defer now have the option of seeking a half-step merit. We believe the impact of this change is modest, as deferrals currently are rare, and the cost of those that in the new system would result in a half-step increment is not individually large.

The critical question, then, is how the rate of career progress would compare under the two systems. For Assistant and Associate professors who have two years normative time between steps, a 1.5 step advancement could be judged on much the same criteria as departments use now for one-year accelerations. Rates of progress should be comparable under the two systems. For Associate professors or Professors with three years between steps, a 1.5 step advancement is equivalent to 1.5 years of work. Departments will therefore have to recalibrate their expectations for what is required for the extra half step of a 1.5 step advancement. We believe that the Berkeley criteria in Appendix II offer a useful guide, comparable to the expectations that many departments have for a well-justified, one-year acceleration: "A larger-than-normal, 1.5-step advancement requires a strong and balanced record with outstanding achievement in at least one area of review, normally that of research." In general, the rate of progress under the Step Plus system should be about the same as at present. We propose that the number of advancements could be tracked under Step Plus system and compared to historical data to assure that these expectations are borne out.

Summary: Part A, Plan 1:

Current Protocol	Proposed Protocol
Faculty pursue accelerated actions for unusually meritorious records by coming up for review early in the normative period; "accelerations in time."	Under Step Plus, faculty are recognized for unusually meritorious records by additional half-step increments at the normative time of review; "advancements for unusual performance."
A faculty member who might be assessed as below normal in one of the three areas of accomplishment must either defer or risk a whole-step denial.	Under Step Plus, for up to two sequential reviews, this individual and department have the option of assessing the record for a half-step merit. We expect this to be particularly important for someone temporarily below normal for research/publication, but who has excellent record of teaching and service.
Following a denial, faculty at all ranks are allowed to come up as early as the following year.	This does not change.
Following a deferral, faculty at all ranks are allowed to come up as early as the following year.	This does not change.
Faculty may defer a normatively timed two-year merit twice and a normally timed three-year merit once. In their fifth year they must seek a merit, promotion or otherwise be reviewed for a "Five Year Review."	This does not change, except in that a departmental vote on a Five Year Review may be accompanied, as in the case of a normal merit action, by a second vote and recommendation (e.g., on a 0.5 step merit).
Faculty may accelerate in time to advance to threshold steps (tenure/Associate, Prof., Prof. VI, Above Scale) in time.	Faculty may accelerate within the normative period only for the first two threshold steps (tenure/Associate, Professor).
At present there is no explicit limit on the degree of acceleration that might be considered, but practice is such at full-step accelerations are rare and accelerations greater than that exceptionally rare.	In the Half Step system, UCB does not consider advancements beyond a full additional step (a two-step merit). We do not propose a similar limit here, but do anticipate that Step Plus actions greater than 2.0 will be exceptionally rare.
At present, candidates may request a Career Equity Review (CER) coincident with a merit/promotion (and limited by other conditions imposed by CAP)	We do not propose a change in the guidelines for CERs. We note that the existing requirement that a CER be coincident with a merit/promotion will link opportunities for a CER to the "in-time" constraint of the Step Plus system.

Part A, Plan 2 of the STAPP report

We likewise endorse the STAPP (Part A, Plan 2) recommendation to reduce the use of Faculty Personnel Committees (FPCs) in personnel actions, with the following refinements to smooth implementation, acknowledge current diversity in practice, and address details.

Although the STAPP report recommends eliminating completely School, College and Division FPCs, APSIW representatives from some academic units felt this would be counter-productive to fair and effective merit review. We recognize that there is a wide range of experiences across campus on the efficacy and importance of the FPCs. We therefore propose a default "reduced" model for the FPCs, but we allow for the possibility that the faculty of a College or Division, in consultation with their Dean, the Executive Committee of the Academic Senate and the Vice Provost-Academic Affairs, may wish to expand the range of actions considered by the FPC.

The default, reduced role for the FPC will: (i) dramatically lessen the workload during the academic year on faculty called to serve on the FPC, which would see only a small subset of redelegated cases; (ii) eliminate the post-audit workload on the Committee on Academic Personnel (CAP); and (iii) preserve significant faculty oversight on Dean/Departments. Unless departmental reporting procedures are simplified (see below, Part C), this proposal does not, however, lessen demands on the Dean/Associate Dean most directly engaged in personnel reviews. We wish to emphasize that despite our strong sense that assessment of routine merits should and can move much more to the Department/Dean locus, we intend that none of these changes diminish the final redelegation and oversight role of CAP.

All non-threshold merits (all merits excepting promotions to Associate, to Professor, and merits to Professor 6 and to Above Scale) are to be redelegated to the Department and Dean, with the FPC in an ad hoc advisory role only. FPC engagement in personnel reviews is modified as described in the table just below.

Summary: Part A, Plan 2:

Current Protocol	Proposed Protocol
Deferrals	No change
Faculty have 30-day window to appeal.	No change
Department reviews, votes on, and summarizes case. Standards of scholarship, practices of evaluation, and reporting formats are highly variable amongst departments, subject to By-law 55 and Academic Personnel Manual (APM).	Consistent with the diversity of departmental practices at UCD, we propose no change in departmental standards of scholarship or customary practices of evaluation. However, in order to implement the Step Plus system, we propose that Departments *must* report a vote and make a recommendation on the standard merit (1.0). Departments *may* vote on and report one additional recommendation consistent with Step Plus options (e.g., 0.5 step; 1.5 step advancement, etc.).

First actions since appointment or promotion or high-level merit may go directly to the Dean for decision. All other redelegated merit cases go first to the FPC. The FPC writes an advisory summary based on discussion and vote of each case. Appraisals are handled similarly, with appropriate modification of format. Redelegated merits move from the FPC to the Dean or Associate Dean for a final decision (subject to appeal). Unusual cases – e.g., full step acceleration – go on to CAP.	All redelegated merit cases go first from the Department to the Dean or Associate Dean, who reviews departmental recommendation and makes a final decision (subject to appeal) on actions proposing a step between 0.5 and 1.5 for which the Department and Dean are in agreement on at least one of the two departmental recommendations. All other cases are routed to one or more ad hoc meetings of FPC for review and an advisory recommendation to the Dean, who then makes the final decision. This includes denials (0.0 step) and cases in which the Dean intends to recommend a lesser outcome than either of the departmental recommendations. The Dean has the option of seeking a FPC recommendation on any case or class of cases. Although we are proposing that a reduced advisory role be the default FPC option, faculty in units in which the FPC is felt to play an indispensible role in the personnel process have the option of reaching agreement with their Dean (in consultation with the Academic Senate Executive Committee and Vice Provost-Academic Affairs) to expand the routing of merit reviews through the FPC to a degree they feel appropriate. Appraisals are routed as at present, Department to the FPC and then the Dean/AD, before being sent on to CAP.
CAP (usually one member, working late spring) performs a post-audit review of all re-delegated decisions, summarizing the extent of agreement between what CAP might have decided and the FPC/Dean decisions, noting reasons for divergences.	FPC is called to meet periodically through winter/spring quarters**,** as cases accumulate, to review and advise the Dean on the subset of cases directed to it. FPC would have "in hand" the full record and files of earlier Dean decisions. Decisions are reported as they are completed through the academic year (AY). Streamlining should mean earlier results for faculty. We propose that the FPC be charged with meeting at least once near the end of AY to prepare a short report to CAP summarizing at a statistical level all actions in the unit, with commentary on any issues that the FPC feels require attention. This report would substitute for the current CAP audit and provides a basis for CAP to evaluate continuing re-delegation. Ad hoc, the FPC serves in a more general faculty

	oversight role, on its own initiative or in response to proposals from the VP or Academic Senate.

Part B. Responses to Specific Questions Posed by VP Stanton, 3 May 2013

1. Should Step Plus allow for partial step advancements that are less than a single, full step?

   Yes. See Part A, Plan 1. Step Plus allows for a 0.5 step merit. We believe this adds nuance and flexibility to the merit system, especially for those faculty who periodically may find that their strongest contributions rest in the areas of teaching and service.

2. Which actions will be redelegated to Deans or FPCs?

   All standard (non-threshold) merits of less than a 2.0 step advancement are redelegated to the Department and Dean. The Dean is obligated to seek advisory review from the FPC in a small set of cases (see Part A, Plan 2). The Dean and/or the faculty of the Division or College *may* seek FPC advisory review for a broader class of cases.

3. How will advancements and credit accruals of more than one step be accommodated when potentially crossing a rank or barrier step?

   Promotions (to Associate, or Professor) and High Level Merits (to Professor 6, or Above Scale) are de-coupled from half step increments in the sense that the first two may be associated with a half-step increment (0.5 step) and all may be associated with more than a single step (1.0 step) increment.

4. How would the Step Plus system influence our current processes for: a. Appeals? b. Deferrals? c. Career Equity Reviews?

   The Step Plus system would not change current practices with respect to Appeals or Deferrals. By restricting merits to an in-time schedule, it adds a minor constraint on the potential timing of Career Equity Reviews.

5. What are the best ways to re-calibrate faculty and administrative reviewers to the new, partial step system?

   We recommend (a) formally adopting language similar to that used by UCB on advancements; (b) annual tracking of career progress metrics to assure that they are not diminished by Step Plus; and (c) a concerted educational effort in the interim between adoption and implementation.

6. Implementation must occur in the context of the new UC Path payroll system. Can the proposed "merit bonus check" for the part-step advancements be managed practically, or not?

   Base salaries in the Step Plus system should function within the UC Path system just as the half-step system does at UC Berkeley. The temporary supplement for those receiving an advancement can be managed as a payroll distribution with an end-date.

7. What algorithms should be used to calculate salary at the partial steps, based on current (and future) salary scales? For example, can these be set in a way that eliminates the need for a merit bonus check?

   We are not proposing the terminology "merit bonus," but do allow for a temporary salary supplement associated with a Step Plus advancement of 1.5 steps or greater. Because it is temporary, we do not see a means of incorporating this features into base salary scales. VP Office staff assures the committee that adoption of the temporary salary increment is not an impediment to implementing the Step Plus system.

8. What systems should be put in place to measure any impacts of Step Plus on rates of faculty advancement?

   We propose a standardized, annual FPC report summarizing in statistical terms the nature and outcomes of relegated merit decisions within the Divisions and Colleges. It would go to CAP and to the Vice Provost. Along with the career-equity tracking data and tools being developed by Everett Wilson, the report should be examined annually by Academic Affairs for issues related to equity, Step Plus protocols and rates of faculty advancement.

9. To inform subsequent recommendations by peer review committees and decisions by administrators, should departments be encouraged to provide more detailed ratings (e.g., "Exceeds expectations," "Meets expectations," "Does not meet expectations") of their peers' academic achievements in different categories?

   The APSIW is reluctant to impose itself upon customary practices for standards and procedures of evaluation within departments, which are highly diverse. Nonetheless, consistent with simplification and streamlining, we do recommend much more succinct, "best practice" reporting of departmental review outcomes.

Other questions:

1. Should UC Davis continue to require extramural letters for advancement to Professor Step 6, or should we make the request for such letters optional?

   The Working Group notes that the elimination of Step VI letters was not supported by the Davis Division of the Academic Senate's Representative Assembly (letter of January 13, 2013 to Chancellor Katehi from Bruno Nachtergaele, Chair), which otherwise conditionally supported the Step Plus proposal.

2. Should FPCs play a more limited role in reviewing redelegated actions, as recommended in Plan 2 of the STAPP report?

   Yes. We recommend that the Dean be obligated to seek an FPC advisory role only in a small number of cases distinguished generally by negative outcomes. However, because Colleges vary greatly in their dependence on an independent FPC role, we allow for an expanded FPC role within any given college, division or school, should that be sought by the faculty and/or Dean.

3. Should UC Davis implement a one-time advancement of one merit step for exceptional contributions to student learning or service that have resulted in a temporary decline in scholarly productivity?

   We believe the Step Plus system effectively addresses the impetus to this question. An individual who makes an above-expectation contribution to instruction or

service at some cost to normative research expectations would now have the option of a half-step merit, for up to two sequential reviews.

Part C. The Role of Departments in the Personnel Process

We do not anticipate that the Step Plus system will require greater documentation from departments to justify a merit increase greater than one step. On the contrary, the amount of time spent at the department level – from both faculty and staff – to prepare the personnel packets is probably much too great. That was a theme of the STAPP report that needs to be addressed. To illustrate this concern most vividly, we would like to contrast two models by which personnel actions are prepared at the department level.

Under the first model, primary responsibility for the preparation of the department letter rests with the chair. The chair appoints an *ad hoc* committee from within the department, consisting of one or more faculty members, that reviews the information provided by the candidate and writes an internal report. In some cases, the candidate is asked to provide a summary of her or his papers, which can be used by the *ad hoc* committee and is distinct from the candidate's statement prepared for the file. The *ad hoc* report may also rely on a list of classes taught and student evaluation scores received prepared by department staff. The report from the *ad hoc* committee is read by the department, the members of which then vote, and that report is also used in the preparation of the department letter.

Along the way, there is a considerable amount of cutting-and-pasting between documents. This feature of the current personnel process – at least in those departments relying on this first model – was vigorously objected to in the STAPP meetings as a complete waste of time for faculty and staff alike. The only beneficial side-effect of this process we can think of is that a least a few faculty (i.e. those preparing the *ad hoc* report) become intimately familiar with the candidate's record. But we recognize that the amount of time devoted to the preparation of personnel packets is excessive in many cases, and it would be better for all the faculty, rather than just a few, to be able to evaluate the record in an efficient way.

Fortunately, we believe that there is a technological solution to this problem. This is illustrated by the current practice in the School of Veterinary Medicine (SVM), which becomes our second model of how the personnel process can occur at the department level. In presenting this second model, we believe that it could form the basis for a streamlined process across many more departments. That outcome depends on a number of factors, however: (i) we recognize that departments can choose their own process (subject to the rules of the APM and approval by CAP), and do not suggest that this autonomy should be modified in any way; (ii) just as the SVM has implemented their procedures at a school or college level, so too these changes would require coordination across units if implemented elsewhere on the campus; (iii) funding and technical assistance would need to be allocated to continue improvement of MIV and unit interfaces before the SVM model could be implemented across the larger campus.

The SVM uses an on-line system for streamlining reviews for academic advancement and to provide consistency of submitted materials to oversight committees such as FPC and CAP. The SVM started using MIV in 2003 along with the School of Medicine (SOM), which initially developed the MIV program. In 2008, central campus

assumed oversight of MIV, and starting 2009, the SVM initiated use of an on-line voting module created by the SVM that was developed for various title series used in the SVM.

In brief, the SVM on-line system electronically generates a department letter that summarizes the departmental vote, key MIV elements (i.e., number of publications, teaching hours, numbers of graduate students, etc.) and the department chair's summary. The Chair's summary is restricted in length to 5000 characters (600-700 words). Key summary sections in the department letter have "live data links" that connect directly to the item of interest (i.e. the summary section listing the number of publications "hot" links the reader to the candidate's publication list where the individual publications can be viewed). The intention of this electronically generated department letter is to provide a summarized "overview" of the review period; it facilitates but does not replace the review of the candidate's MIV dossier.

The origin of the data that are imported into the department letter and the on-line voting template for departmental colleagues is MIV. In order to ensure MIV data entry accuracy and consistency, a MIV help document was generated to assist SVM faculty with data input. In addition, SVM shared service center staff members assist faculty with data entry to ensure that dossiers are consistent across the school.

The electronically-generated department letter passes to the FPC, Dean and subsequent levels of review. This has almost entirely eliminated the need for supporting paper documents, thus reducing staff time and printing costs. Because most of the letter is read from MIV files, and the narrative additions are restricted to being short, the cut-and-paste repetition of current practice in many units and higher levels of review becomes unnecessary. As MIV is soon scheduled to have a built-in voting module, and direct links to electronic course reviews, those elements of the packet also become automated.

We strongly encourage the Vice Provost to initiate conversations with colleges, schools or divisions who find attractive the potential for simplification that resides in the SVM approach.

Part D. Schedule and Preparation

The two components of this report – Part A, Plan 1 of the STAPP report (the Step-Plus system) and Part A, Plan 2 of the STAPP report (the reduced role for FPCs) – need be not considered jointly or on the same time schedule. *We recommend that the Step-Plus system be implemented immediately, for AY 2014-2015.* We further propose that the Academic Senate in consultation with the Vice Provost-Academic Affairs define a limited set of potential FPC roles – ranging from eliminating the FPC in a unit, to the default limited role recommended by this report, to the current model in which the FPC reviews all relegated actions save first after promotion or high level merit – giving the Colleges and Divisions a year to discuss and reach a decision which they prefer by faculty vote to adopt. *The revised FPC roles would be implemented in AY 2015-2016*.

Adopting the Step-Plus system for the AY 2014-2015 round of personnel reviews is an ambitious schedule. It will require review, joint discussion and agreement on acceptance of the proposal details by the Academic Senate and campus Administration by the end of the current academic year. While this timetable is rapid, we remind both the campus Administration and the Academic Senate that a very similar system functions

quite effectively at UCB. And we remind that this proposal is a complementary document to the STAPP report, which offers compelling rationales for the actions that we have put into operational form.

We also propose: (i) a substantial, follow-up educational effort to begin during winter quarter, 2014, led by personnel in Academic Affairs, to orient faculty and staff to this new system; (ii) a staff-led effort in the same period to rewrite personnel documents (e.g., Chair's Handbook, Policies and Procedures) to conform to the new protocols; and (iii) that this working group be followed by a standing, trouble-shooting committee, advisory to the Vice Provost-Academic Affairs and charged with ongoing oversight of implementing Step Plus, with annual reports to CAP, through at least the first two rounds of its use (AY2015/16, 2016/17). Despite the conscientious intentions, we can anticipate that unexpected wrinkles and questions will occur; they remain commonplace in our present system despite long practice and time for perfecting.

Appendices

Appendix I: APSIW Charge Letter

May 3, 2013

RE: Academic Personnel Streamlining Implementation Workgroup Dear Colleagues:

Thank you for agreeing to serve as members of the 2013/14 Academic Personnel Streamlining Implementation Workgroup. I am especially grateful to Rob Feenstra and Bruce Winterhalder, who have agreed to serve as co-chairs.

In 2011-12, the UC Davis Division's Senate Taskforce on Simplifying the Academic Personnel Processes (STAPP) proposed a series of new policies and processes that could substantially reduce the workload on faculty, staff and administrators associated with our faculty merit and promotion process (http://academicsenate.ucdavis.edu/documents/final_STAPP_report_with_attachments_for_EC.pdf).

A central feature of the proposal (Plan 1) is a new partial-step system for merit actions, tentatively called "Step Plus," that has a number of potential advantages over our current system.

1. Reduced workload— Under Step Plus, faculty merit and promotion actions would no longer be accelerated in time. Every action would be submitted on the normative schedule for that rank and step, but each dossier would be evaluated as deserving advancement to more than one step, including to partial steps between the standard full steps. A review of recent advancement activity at UC Davis suggests that eliminating accelerations in time could reduce workload associated with faculty advancement by 20% or more.

2. Increased options and flexibility— The ability to award partial step advancements can provide review committees and administrators with increased flexibility to recognize (and reward) activities that are valued, but perhaps do not merit a full step advancement or a skip-step advancement.

3. Equal opportunity for advancement— At present, the request to pursue an accelerated advancement typically is initiated by the faculty member. However, individuals vary greatly in their tolerance for risk and their inclination for self-promotion, and social sciences research indicates that this variation can contribute to inequities based on gender. Because each dossier would be given consideration for advancement under Step Plus, proper implementation of this system could increase equity in merit advancement across the campus.

In Fall 2012, the Davis Division of the Academic Senate completed campus-wide review of the Step Plus proposal, and broadly recommended that it be adopted, along with trainings and discussions to acclimate our faculty, staff and administrators to the new system. The Senate review also considered other streamlining recommendations from the STAAP report (included under "Plan 2"). Although there was not clear

consensus on the full set of Plan 2 streamlining recommendations, the recommendations can still be considered as part of the implementation.

I am asking members of the Workgroup to develop a detailed proposal for how the Step Plus system can be implemented at UC Davis. I ask that the proposal be completed no later than October 31, 2013, so that it can be reviewed by both the Senate and the administration.

Among the questions to be answered by the Workgroup proposal are the following:

1. Should Step Plus allow for partial step advancements that are less than a single, full step?
2. Which actions will be redelegated to Deans or FPCs?
3. How will advancements and credit accruals of more than one step be accommodated when potentially crossing a rank or barrier step?
4. How would the Step Plus system influence our current processes for:
    a. Appeals?
    b. Deferrals?
    c. Career Equity Reviews?
5. What are the best ways to re-calibrate faculty and administrative reviewers to the new, partial step system?
6. Implementation must occur in the context of the new PeopleSoft payroll system. Can the proposed "merit bonus check" for part-step advancements be managed practically, or not?
7. What algorithms should be used to calculate salary at the partial steps, based on current (and future) salary scales? For example, can these be set in a way that eliminates the need for a merit bonus check?
8. What systems should be put in place to measure any impacts of Step Plus on rates of faculty advancement?
9. To inform subsequent recommendations by peer review committees and decisions by administrators, should departments be encouraged to provide more detailed ratings (e.g. "Exceeds expectations", "Meets expectations", "Does not meet expectations") of their peers' academic achievements in different categories?

As we recommend other changes to our merit and promotion system that can potentially reduce workload. While this is not the primary focus for the Workgroup, I encourage consideration of how we might implement other, inter-related streamlining measures such as the following.

1. Should UC Davis continue to require extramural letters for advancement to Professor Step VI, or should we make the request for such letters optional?
2. Should FPCs play a more limited role in reviewing redelegated actions, as recommended in Plan 2 of the STAAP report?
3. Should UC Davis implement a one-time advancement of one merit step for exceptional contributions to student learning or service that have resulted in a temporary decline in scholarly productivity?

I very much appreciate your participation in this important collaborative effort. I believe that the excellent work of STAAP has laid the foundation for substantive improvement of

our merit and promotion processes at UC Davis, and I am eager to move forward.

Sincerely,

Maureen Stanton
Vice Provost—Academic Affairs
Professor—Evolution and Ecology

cc: Chancellor Katehi
Provost Hexter
Academic Senate Chair Nachtergaele

Appendix II: UCB General criteria for assessing Step Plus increments

9/9/09, Academic Personnel Office, UC Berkeley

CRITERIA FOR FACULTY SALARY ACCELERATIONS

Background and Statement of the Issue

Although we characterize one-step advancements as normal and accelerations in step as rare, campus practice in recent years reveals that recommendations for step accelerations occur with some frequency, although they remain a fraction of the total number of merit cases received. This situation prompts the present effort to clarify current policy by providing more thorough and accurate guidelines for recommending advancements greater than one step.

GUIDELINES FOR LARGER-THAN-NORMAL ADVANCEMENTS

General Principles

In formulating our criteria for recommending larger-than-normal advancements, we should aim to strike a balance between concreteness and flexibility. Our goal should be to clarify the criteria for accelerations without tying our hands to quantitative assessments that understate or overstate the total contributions of candidates.

Normal, One-Step Advancement

Normal one-step advancement generally requires meeting the Berkeley standard of achievement in all three areas of review: research, teaching, and service. The overall record may not demonstrate equal strength in all three areas but, at the very least, it should be a balanced record.

Exceptional strength in research may balance limited teaching or service. Exceptional performance in service *or* teaching can compensate for a temporary decrease in scholarly activity on a one-time basis for faculty through Professor, Step 5. However, the exceptional strengths and impact of the service or teaching record need to be clearly explained. Examples include winning a major award such as the campus Distinguished Teaching Award, successful completion of a particularly difficult assignment, or production of a major report with significant campus impact. Simply serving in a large

number of different roles or devoting an exceptional amount of time to service or teaching does not by itself warrant this kind of recognition. Furthermore, service duties are expected to increase as faculty advance in rank and step.

Therefore, a successful one-step merit case should present a balanced record of achievements in research, teaching, and service. Although one's research record is paramount, service and teaching are also integral to a successful merit advancement.

One-and-One-Half-Step Advancement

A larger-than-normal, 1.5-step advancement requires a strong and balanced record with **outstanding achievement in at least one area of review**, normally that of research. Chairs and Deans should be encouraged to articulate the grounds for acceleration due to outstanding research beyond simple numerical tabulations of papers and citations: for example, by describing the special impact of the research, the quality of publications, the awarding of prizes, or election to national or international academies. Outstanding service or teaching may also warrant a larger-than-normal advancement, when accompanying a good record of research, but as with research, the grounds for a larger-than-normal increase need to be clearly documented.

Two-Step Accelerations

A two-step acceleration requires an **exceptionally strong and balanced record in all three areas** of review, with **outstanding achievement in research and at least one additional area of review**. Where the Berkeley standard in teaching and service are met but not exceeded, only in the most exceptional cases can research achievement warrant a two-step acceleration on its own.

Larger-than-normal Above Scale Increments

The criteria for merit increases are steeper at this high rank. Normal increases of one increment generally require outstanding achievement in all areas of review.

Appendix III: Comparison of salaries under the current and Step Plus systems, including the quarter-step temporary supplement for advancements greater than one step

As explained in the main text, we propose a temporary salary supplement for individuals receiving an acceleration under the Step Plus system, which is intended to compensate for the fact that advancement greater than one step may come later (i.e. on the normative schedule) than accelerations in time. The rule we propose is that the supplement be calculated as *one-quarter* of the difference between the newly achieved and former full merit step. The calculation of this *temporary* supplement is shown in the last column of Table 1, and it would be paid for the normative years at the new step. This temporary salary supplement will roughly compensate individuals for that potential salary loss, as illustrated for an Assistant professor in Table 2 and a Professor in Table 3.

We first consider an individual hired as Assistant, Step 2 who achieves tenure after six years. Under current UCD policies in Table 2, Panel A, this individual has a single one-year acceleration, moving from Assistant, step 3 to Assistant, step 4 in their fourth year. Under the Half-Step system such as used at UCB, this individual comes up

Table 2: Sample Comparison of Base Salaries at UC Davis, UC Berkeley, and the proposed Step Plus system for an Assistant/Associate Professor*

Year	One	Two	Three	Four	Five	Six	Seven
Panel A: Current system at UC Davis with acceleration in time							
Rank/Step	**Assist 2**		**Assist 3**	**Assist 4**		**Assoc 1**	
Annual Base Salary	$59,300	$59,300	$62,500	$66,100	$66,100	$69,500	$69,500
Cumulative Salary	$59,300	$118,600	$181,100	$247,200	$313,300	$382,800	$452,300
Panel B: Current Half Step system at UC Berkeley							
Rank/Step	**Assist 2**		**Assist 3**		**Assist 4.5**	**Assoc 1**	
Annual Base Salary	$59,300	$59,300	$62,500	$62,500	$67,750	$69,500	$69,500
Cumulative Salary	$59,300	$118,600	$181,100	$243,600	$311,350	$380,850	$450,350
Panel C: Proposed Step Plus system at UC Davis with supplement for advancement greater than one step							
Rank/Step	**Assist 2**		**Assist 3**		**Assist 4.5**	**Assoc 1**	
Annual Base Salary	$59,300	$59,300	$62,500	$62,500	$67,750	$69,500	$69,500
Supplement					$900	$900	
Total of above	$59,300	$59,300	$62,500	$62,500	$68,650	$70,400	$69,500
Cumulative Salary	$59,300	$118,600	$181,100	$243,600	$312,250	$382,650	$452,150

* Using base salary for academic year, adjusted scale as shown in Table 1.

for the acceleration in normative time, moving from Assistant, step 3 to Assistant, step 4.5 in their fifth year; see Panel B. But we assume that they achieve tenure in the sixth year under either the current UCD or UCB policies. (As discussed in the main text, UCB policies allow for an acceleration in time to achieve promotion). Despite achieving tenure in the same year under the two systems, the cumulative base salary at UCD is $452,300 over seven years, as compared to $450,350 at UCB, for a net loss of $1,950 due to the lag in achieving the 1.5 step advancement.

In Panel C, we consider the Step Plus system proposed for UCD, which is similar to the Half-Step system used at UCB but also includes the temporary supplement for any advancement greater than one step. As shown in Table 1, the supplement for an advancement to Assistant, step 4.5 is $900, which is paid for the two normative years at that step. Despite the fact that the individual spends only one year at Assistant, step 4.5, and then takes a 0.5 step merit to achieve tenure the next year, they still receive the supplement for the normative two years. That supplement is shown in Panel C, and brings the cumulative salary up to $452,150. So the net loss from the delay in achieving the 1.5 step advancement is reduced to just $150 from its former value of $1,950.

We believe that the $150 loss is small enough to be considered minimal. It is easy to construct other scenarios for an Assistant professor where the difference between the cumulative salary under the Step Plus system (including the supplement for acceleration) is higher than that with current UCD policies, as illustrated next for a Professor.

In Table 3 we consider an individual starting at Professor, step 1, and progressing with steady advancement up to Professor, step 4. Under the current UCD system in Panel A, this individual has three one-year accelerations in a row, spending two years at step 1, step 2, step 3, and then three years at step 4. So he or she complete step 4 in nine years rather than the normative 12 years. Over those nine years, the cumulative salary earned is $832,300.

In Panel B we contrast this outcome with the current half-step system used at UCB, assuming that the individual progresses up the steps at the same rate. In particular, when he or she comes up for a personnel action after three years, and again after six years, we suppose that they receive a 1.5-step advancement both times. In that way, they reach Professor step 4 in six years, just like the person with three successive one-year accelerations. But unlike the person with the accelerations in time, the individual on the Half-Step system would end up earning $822,750 in cumulative salary, or $9,550 less, because the 1.5 step advancements do not come as quickly.

Under the proposed Step Plus system for UCD, in Panel C this individual would receive a supplement after receiving their first 1.5 step advancement, from Professor step 1 to step 2.5, and again after receiving the second advancement from step 2.5 to step 4. From Table 1 in the main text, these supplements are $1,575 for three years and then $1,700 for three years. Receiving this supplements over six years totals $9,825, which more than compensates for the salary shortfall so the individual earns $275 more in cumulative salary with the Step Plus system as compared to current UCD policies.

Table 3: Sample Comparison of Base Salaries at UC Davis, UC Berkeley, and the proposed Step Plus system for a Professor*

Year	One	Two	Three	Four	Five	Six	Seven	Eight	Nine
Panel A: Current system at UC Davis with acceleration in time									
Rank/Step	**Prof 1**		**Prof 2**		**Prof 3**		**Prof 4**		
Annual Base Salary	$81,700	$81,700	$88,000	$88,000	$94,500	$94,500	$101,300	$101,300	$101,300
Cumulative Salary	$81,700	$163,400	$251,400	$339,400	$433,900	$528,400	$629,700	$731,000	$832,300
Panel B: Current Half Step system at UC Berkeley									
Rank/Step	**Prof 1**			**Prof 2.5**			**Prof 4**		
Annual Base Salary	$81,700	$81,700	$81,700	$91,250	$91,250	$91,250	$101,300	$101,300	$101,300
Cumulative Salary	$81,700	$163,400	$245,100	$336,350	$427,600	$518,850	$620,150	$721,450	$822,750
Panel C: Proposed Step Plus system at UC Davis with supplement for advancement greater than one step									
Rank/Step	**Prof 1**			**Prof 2.5**			**Prof 4**		
Annual Base Salary	$81,700	$81,700	$81,700	$91,250	$91,250	$91,250	$101,300	$101,300	$101,300
Supplement				$1,575	$1,575	$1,575	$1,700	$1,700	$1,700
Total of above	$81,700	$81,700	$81,700	$92,825	$92,825	$92,825	$103,000	$103,000	$103,000
Cumulative Salary	$81,700	$163,400	$245,100	$337,925	$430,750	$523,575	$626,575	$729,575	$832,575

* Using base salary for academic year, adjusted scale as shown in Table 1.