

Report of the Step Plus Assessment Special Committee

May 2020

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List of Abbreviations

APM	Academic Personnel Manual
CA&ES	College of Agricultural and Environmental Sciences
CAP	Committee on Academic Personnel – Oversight
CAPAC	Committee on Academic Personnel – Appellate
CBS	College of Biological Sciences
COE	College of Engineering
FPC	Faculty Personnel Committee
GSM	Graduate School of Management
IPI	Interim Progress Index
L&S	College of Letters and Science
LAW	School of Law
LPSOE	Lecturer with Potential Security of Employment
LSOE	Lecturer with Security of Employment
MIV	MyInfoVault
SOE	School of Education
SOM	School of Medicine
SON	The Betty Irene Moore School of Nursing
SVM	School of Veterinary Medicine
URM	Underrepresented minority
VPAA	Vice Provost of Academic Affairs

Introduction

The Representative Assembly of the Davis Division of the Academic Senate voted in favor of implementing the Step Plus personnel system for all Academic Senate faculty effective July 1, 2014. As part of that motion, the Representative Assembly directed Executive Council to assess Step Plus during the 2016-2017 academic year. When that report was presented, it was determined that there were too few years of post-implementation data for evaluating the system. The Representative Assembly then voted to assess Step Plus during the 2019-2020 academic year. This report provides that assessment. Appendices A-D provide historical documentation about Step Plus.

This report has four components, the first three of which use summary data provided to the Academic Senate's Special Committee by Academic Affairs. The first compares merit outcomes before and after Step Plus, including disaggregations by rank, gender, underrepresented minority (URM) status¹, and academic unit (college or school). The second component compares the speed of faculty members' rate of advancement using the Interim Progress Index (IPI) developed by Academic Affairs. The third component addresses questions regarding aspects of the merit and promotion process under Step Plus, such as the number of actions reviewed by the Committee on Academic Personnel (CAP) and the extent of agreement across departments, CAP, and the final decision. The fourth component reports the results of three surveys regarding the implementation and performance of Step Plus: one of all Academic Senate members; one of CAP or Faculty Personnel Committee (FPC) members under Step Plus; and one of Department Chairs.

Merit Outcomes

Merit outcomes are reported in the data by step advancement: no advancement, 1.0, 1.5, 2.0, 2.5, and 3.0 or higher. Accelerations in time that were denied under the previous system are reported as no advancement, and cannot be distinguished from normative time actions that were denied. Merit-promotion cycles are labeled using Academic Affairs' definition, which means that, for example, a 2018-19 advancement was effective July 1, 2019.

One way to report the effect of Step Plus on merit actions is to examine the success rate of merit actions to different levels, i.e., accelerations. Given that a 1.5-year acceleration did not exist under the previous Acceleration-in-Time system, one can reasonably compare a one-year acceleration in time (listed as a 2-step change in Tables 1-3) with the 1.5 and 2.0-step changes under the Step Plus system; both are measures of a greater than 1.0-step change during the merit cycle and are used for comparison in Tables 1-3. It is important to remember that merit outcomes, even accelerations, are not the same as the rate of progress. Actions can be deferred, and deferrals are not reflected in these data.

¹In the data provided by Academic Affairs, underrepresented minorities include Hispanic, African American and Native American.

Table 1 indicates that merit actions going beyond 1.0 step are achieved much more readily under the Step Plus system than under the previous system, with success rates of 55% and 3%, respectively. Step changes of 1.0 are down under the Step Plus system, but that reflects much higher rates of greater-than-1.0 successes. Denied merits are also less common in the Step Plus system than before.

Table 1. Merit outcomes before and after Step Plus

Change in Step	Before Step Plus	After Step Plus
3 or higher	0.2%	0.2%
2.5	0.0%	0.2%
2.0	3.4%	13.0%
1.5	0.0%	41.8%
1.0	87.8%	39.8%
0	8.4%	5.2%
1.5 + 2.0	3.4%	54.8%

Table 2 disaggregates merit outcomes by gender. Women were less likely to have an action denied under both the Acceleration-in-Time and the Step Plus systems. This table reiterates that a change of 1.5 or 2.0 steps in a merit action occurs more readily under the Step Plus system. Women had a larger share of higher-step outcomes under Step Plus, while the difference under the Acceleration-in-Time system was negligible.

Table 2. Merit outcomes before and after Step Plus: Gender

Change in Step	Before Step Plus			After Step Plus		
	Female	Male	Unknown	Female	Male	Unknown
3 or higher	0.4%	0.4%	0.0%	0.2%	0.1%	0.0%
2.5	0.0%	0.0%	0.0%	0.2%	0.2%	0.7%
2.0	4.0%	3.0%	3.6%	15.4%	11.5%	12.3%
1.5	0.0%	0.0%	0.0%	43.8%	39.5%	43.5%
1.0	89.8%	87.4%	86.0%	36.4%	41.8%	42.7%
0	6.4%	9.2%	10.6%	0.8%	5.6%	0.8%
2.0 + 1.5	4.0%	3.0%	3.6%	59.2%	51.0%	55.8%

Similar to Table 2, Table 3 indicates that the gap between URM and non-URM faculty in the rate of 1.5- and 2.0-step actions, while small, has been close to constant: 3% versus 3.4%. The gap in denials has equalized for the two groups under Step Plus. Again, the data

shows that both URM and non-URM faculty were more successful in attaining accelerated step changes under the Step Plus system.

Table 3. Merit outcomes before and after Step Plus: Ethnicity

Change in Step	Before Step Plus		After Step Plus	
	URM	not URM	URM	not URM
3 or higher	0.0%	0.2%	0.8%	0.0%
2.5	0.0%	0.0%	0.0%	0.2%
2.0	6.2%	3.2%	14.4%	12.8%
1.5	0.0%	0.0%	37.2%	42.2%
1.0	82.0%	88.6%	42.8%	39.6%
0	11.8%	8.2%	5.0%	5.0%
2.0 + 1.5	6.2%	3.2%	51.6%	55.0%

Rate of Advancement: Interim Progress Index

The Interim Progress Index (IPI) calculated by Academic Affairs compares how quickly an individual has advanced through the rank-step system since their date and rank-step of hire to normative time. A normative rate of progress is indicated by a baseline IPI of 100, and an IPI of 95 would indicate a speed 5% below normative, while an IPI of 105 would indicate a speed 5% above normative. In the data provided, an IPI that encompasses all progress since hire is computed at every action. For example, a faculty member who was a candidate for advancement in the 2009-10 merit cycle, the 2012-13 merit cycle, and the 2015-16 merit cycle would have three interim progress measures reported.

A drawback of using step advancements to compare the Acceleration-in-Time system and Step Plus is that a denied acceleration in time is reported as “no advancement,” even though the individual may be making normative or faster than normative progress. The IPI controls for this issue because it is a cumulative measure of progress since hire through the current action.

There are five years of data before Step Plus (2009-10 to 2013-14) and five years afterwards (2014-15 to 2018-19). All ranks in the Professor series increased their progress under Step Plus, with the greatest increase for Assistant Professors (from 105 to 124), followed by Associate Professors (from 109 to 126), and then Professors (from 120 to 126). All ranks have about the same average progress scores.

When gender is aggregated across all ranks, the increase in average progress is nearly the same for women (increasing from 115 to 126) and men (increasing from 117 to 125). The same is true when we compare URM faculty (increasing from 113 to 123) with non-URM faculty (increasing from 116 to 126).

However, some interesting differences emerge in the cross-tabulation of rank with gender or ethnicity (see Table 4). At the Assistant and full Professor ranks, the acceleration in progress for women and men are quite similar. However, they differ at the Associate Professor rank, where women increase (from 104.4 to 126.6) more rapidly than men (from 112.6 to 124.3), equalizing the previous disparity in rate of progression. Likewise, in the cross-tabulation by rank and gender, URM faculty at the Associate Professor rank accelerated more rapidly (from 102 to 130) than non-URM faculty at the Associate Professor rank (from 109 to 125), equalizing the previous disparity in rate of progression. For Assistant Professors, the acceleration is similar for URM and non-URM faculty, while non-URM Professors have accelerated somewhat faster so that they now match the progress of the URM Professors.

Table 4. Average Progress Index by Rank, Gender and Ethnicity

		Female	Male	URM	Not URM
Professor	Before Plus	122	120	125	120
	After Plus	128	126	125	127
Associate Professor	Before Plus	104	113	102	109
	After Plus	127	124	130	125
Assistant Professor	Before Plus	106	104	99	105
	After Plus	127	122	118	124

Unit and Rank

There are differences in the rate of advancement by rank and unit under Step Plus, as there were under the Acceleration-in-Time system. This section compares advancement rates by unit for Professors, Associate Professors, and Assistant Professors. Data sparsity precludes comparisons for Senior LSOE, LSOE, and LPSOE ranks.

For Professors, interim progress rates varied across units before Step Plus (Table 5). The change in interim progress rates after Step Plus also varied. The progress rates for Professors varied from 114 (GSM) to 137 (SVM) faster than the normative time. LAW marked the biggest improvement from 94 to 125, whereas the progress rates for CBS and COE remained about the same as before (123 and 121 respectively).

Table 5. Average Progress Index before and after Step Plus: Professor

College/School	Before Step Plus	After Step Plus
CA&ES	118	126
CBS	124	123
COE	120	121
GSM	104	114
LAW	94	125
L&S	124	129
SOE	111	115
SOM	115	123
SON	*	*
SVM	122	137

Note: Asterisks (*) indicate insufficient data.

Before Step Plus, Associate Professors across units had an IPI of 109 on average, ranging from SOM with 102 to COE with 114 (Table 6). After Step Plus, Associate Professors had an IPI of 123. The progress rates varied from 108 (GSM) to 137 (CA&ES) and 138 (SVM). SVM realized the largest increase, from 105 to 138 faster, whereas GSM progress rates declined from 113 to 108, though still faster than normative time.

Table 6. Average Progress Index before and after Step Plus: Associate Professor

College/School	Before Step Plus	After Step Plus
CA&ES	112	137
CBS	107	120
COE	114	113
GSM	113	108
L&S	110	122
SOE	107	119
SOM	102	125
SON	*	*
SVM	105	138

Note: Asterisks (*) indicate insufficient data.

Before Step Plus, Assistant Professors across units had an average IPI of 107, ranging from SVM at 103 to SOE at 116 (Table 7). After Step Plus, Assistant Professors had an average IPI of 123. The progress rates varied from 111 (COE) to 133 (SOE). SVM and CA&ES, respectively, marked the biggest improvements from 97 and 106 before Step Plus to 122 and 129 under Step Plus.

Table 7. Average Progress Index before and after Step Plus: Assistant Professor

College/School	Before Step Plus	After Step Plus
CA&ES	106	129
CBS	105	120
COE	101	111
GSM	*	*
L&S	105	125
SOE	116	133
SOM	114	120
SON	*	*
SVM	97	122

Note: Asterisks (*) indicate insufficient data.

Cohort Comparison

Another way of assessing whether or not the rate at which faculty members have progressed has changed under Step Plus is to compare cohorts. Table 8 compares the interim progress rates for the first six years for Assistant Professors beginning in 2008 and 2013. Each time faculty members are evaluated, their interim progress rates are computed. Comparing the indices, the 2013 cohort had an IPI of 117 compared to the IPI of 100 for the 2008 cohort as of year 6.

Table 8. Interim Progress Indices Years 1-6: Assistant Professors Beginning in 2008 and 2013

Year	Interim Progress Index		Number of individuals	
	2008	2013	2008	2013
1		*	17	*
2	94	114	40	24
3	93	*	7	*
4	103	117	53	36
5	100	*	6	*
6	100	117	21	14

Note: Asterisks (*) indicate insufficient data.

Merit and Promotion Process

The introduction of a new system invariably leads to questions regarding process. This section examines three: how CAP's workload has changed; the extent to which departments, CAP, and central administration agree on the step merited by a record; how Step Plus has interacted with "barrier step" actions (advancements to Step 6.0 and above scale).

CAP Workload and Recommendations

Figure 1 reports the number of all personnel actions completed by CAP and the FPCs by year using data in CAP's annual reports.² CAP's workload has increased. It reviewed an average of 455 actions annually in the five years prior to Step Plus and an average of 505 actions annually in the first five years under Step Plus, an increase of 11%. In contrast, actions reviewed by FPCs declined from an average of 321 actions to 253 actions annually, a 27% decrease.

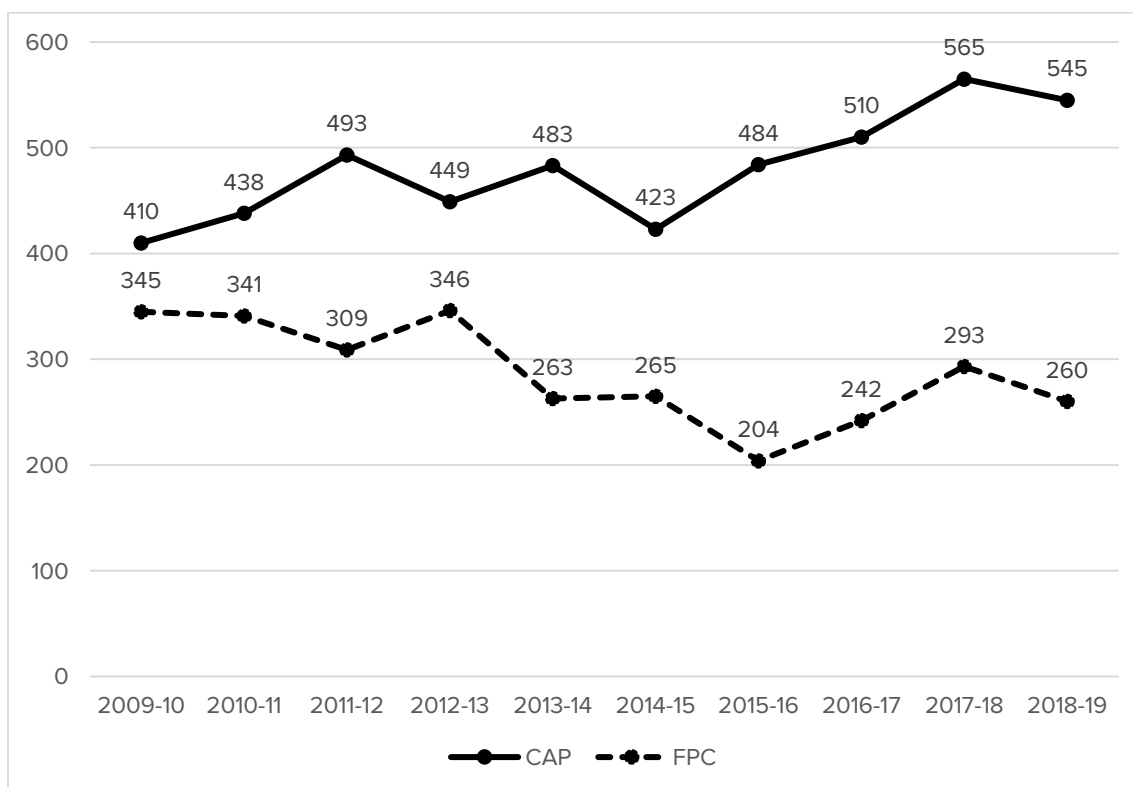


Figure 1. Academic Personnel Actions by CAP and FPCs

Source: Academic Senate Committee on Academic Personnel annual reports. Various years.

² These numbers include all personnel actions, not just merits and promotions. For CAP, actions include the following: appointments (Assistant Professor, Step 4 and above; LPSOE/LSOE; initial continuing appointments for Unit 18 Lecturers; Endowed Chair appointments/reappointments; change in title/change in department), accelerated merits for Unit 18 Lecturers, Career Equity Reviews, merits (proposing 2.0-step advancements and above, to Professor, Step 6 and above, after a third or fourth deferral or 5-year review until positive advancement, after a denied merit or promotion until positive advancement), appraisals, promotions (Assistant to Associate Professor [Clinical and Acting; in Residence only have approved promotions reviewed] Associate to Full [all titles in Professor series], accelerated promotions, LPSOE/LSOE), 5-year Reviews, removal of Acting Titles (Law School only). For FPCs, actions include the following: appointments to Assistant Prof (Steps 1-3), merits (less than 2.0-steps; to Assistant Professor Steps 2-6; to Associate Professor, Steps 2-5; to Professor, Steps 2-5; for LPSOE/LSOEs, every merit except for the first

Table 9 summarizes CAP's recommendations before and after Step Plus. The data are defined as follows: A "yes" means that the advancement recommended by the department was the recommendation or final outcome.³ An "other" means that the recommendation or final outcome included advancement, but not at the same number of steps as the departmental recommendation. For example, a decision of "other" would be entered if a department recommended that a candidate receive a 1.5-step advancement but the final decision was actually a 2.0-step advancement. Under both systems, a "no" is a denial. Under Step Plus, "no" means no advancement. Under Acceleration-in-Time, an acceleration that is denied is counted as a "no" and can't be differentiated from a "no" on an action occurring in the individual's "normative time" year.

The Special Committee compared CAP's recommendations for and against merit advancements and promotions during the five years before the implementation of Step Plus and the five years after implementation (Table 9). In the five years before Step Plus, CAP reviewed 591 total merits; after Step Plus, the number of merits increased by approximately 41% to 831. CAP reviewed a total of 400 promotions in the five years after Step Plus vs. 373 in the five years before Step Plus (Table 9).

CAP recommended the proposed advancement in 72% (428) of the actions before Step Plus vs. 54% (449) after Step Plus (Table 9). Only 3.2% (19) received an advancement recommendation by CAP that was different than the one proposed before Step Plus vs. 35% (293) after Step Plus. Denials of advancement declined by more than half after the implementation of Step Plus (11%) when compared to before it (24%) (Table 9). The number of CAP recommendations to deny promotions decreased from 14% (51) before to 4% (15) after (Table 9). While there are a few actions that were not supported by the department, overall the percentage of "yes" recommendations can be interpreted as the share of the time CAP's recommendation and the department's recommendation are the same.

Table 9. CAP Recommendations before and after Step Plus

	Yes	Other	No	Total
<i>Merits</i>				
Before Step Plus	428	19	144	591
After Step Plus	449	293	89	831
<i>Promotions</i>				
Before Step Plus	307	15	51	373
After Step Plus	283	102	15	400

normal merit after appointment and after promotion), appraisals, deferrals (1st and 2nd year after an unsatisfactory 5-year review or denied merit/promotion action, 3rd and 4th year).

³ There are a small number of cases for which the department's recommendation is labeled "no."

Note: One merit action and one promotion action did not have a final decision, and one promotion action had a final decision of incomplete. These three actions are excluded from the table.

Table 10 and Table 11 report CAP recommendations by year for merits and promotions respectively. Overall, CAP recommended against merits and promotions more frequently prior to Step Plus, and the year-to-year trend since the implementation of Step Plus shows fewer and fewer negative recommendations. There are also many more recommendations of “other” by CAP since Step Plus implementation, probably because CAP now has more options. For example, CAP can now recommend 1.5 steps instead of a proposed merit increase of 1.0 or 2.0 steps. CAP has made 240 more merit advancement recommendations during the 5 years since implementation when compared with the five years before Step Plus (Table 10).

CAP recommendations for merit and promotions were remarkably consistent during the years leading up to Step Plus. Following Step Plus, a change gradually occurred in which the percentage of cases in which CAP’s recommendation and the proposed action for merits decreased, while recommendations of “other” increased. The percentage of cases in which CAP’s recommendation agreed with the proposed action ranged from 39% to 73% after Step Plus vs 67% to 77% before Step Plus (Table 10). The number of “other” recommendations for advancement by CAP increased slightly in the first two years (14%) after Step Plus implementation, from a previous maximum of 4% before Step Plus (Table 10). The last three years saw a significant increase in “other” recommendations by CAP ranging from 42% to 52% (Table 10).

Similar to merit advancements, CAP’s promotion recommendations differed from the proposed actions more after Step Plus than before (Table 11). However, the share of cases for which CAP recommended denial declined.

Table 10. CAP Recommendations by Merit/Promotion Cycle: Merits

M/P Cycle	Yes	Other	No
2009-2010	67%	2%	31%
2010-2011	74%	3%	23%
2011-2012	77%	3%	19%
2012-2013	72%	3%	25%
2013-2014	72%	4%	24%
2014-2015	59%	14%	26%
2015-2016	73%	14%	14%
2016-2017	39%	52%	8%
2017-2018	50%	45%	5%
2018-2019	54%	42%	4%

Table 11. CAP Recommendations by Merit/Promotion Cycle: Promotions

M/P Cycle	Yes	Other	No
2009-2010	77%	5%	18%
2010-2011	84%	4%	12%
2011-2012	86%	0%	14%
2012-2013	77%	7%	16%
2013-2014	88%	4%	8%
2014-2015	86%	6%	8%
2015-2016	83%	13%	4%
2016-2017	57%	39%	4%
2017-2018	59%	40%	1%
2018-2019	67%	32%	1%

Agreement across Reviewers

Step Plus introduced criteria for evaluating whether a record merited a 1.0, 1.5, or 2.0-step advancement. A natural process question is the extent to which different parties in the academic personnel process agree on how those criteria should be interpreted.

CAP Recommendations and Final Decisions on Merits and Promotions

Comparing the five-year periods before (Table 12) and after (Table 13) Step Plus, there was a negligible difference in the percentage of final decisions and CAP recommendations that were both “yes” for merit actions (84% to 83%). However, Step Plus did result in an increase of CAP “other” recommendations, and a decrease of CAP “no” recommendations, relative to “yes” final decisions. The nature of the data preclude identifying whether the “other” recommendations from CAP were for more or fewer steps than the final decision.

For “other” final decisions, implementation of Step Plus resulted in a decrease in “yes” CAP recommendations and a corresponding increase in “other” CAP recommendations, as well as a decline in CAP “no” recommendations.

For “no” final decisions, there is no significant difference in the proportions of CAP “yes,” “other,” and “no” recommendations before and after Step Plus.

Table 12. Merit actions: 5 years before Step Plus

Final decision	CAP recommendation		
	Yes	Other	No
Yes	84%	0%	15%
Other	61%	20%	18%
No	2%	0%	98%

Table 13. Merit actions: 5 years after Step Plus

Final decision	CAP recommendation		
	Yes	Other	No
Yes	83%	14%	4%
Other	20%	76%	4%
No	2%	2%	97%

During the five-year periods before (Table 14) and after (Table 15) Step Plus, the percentage of final decisions and CAP recommendations regarding promotions that were both “yes” was the same. However, Step Plus did result in an increase of CAP “other” recommendations, and slight decrease of CAP “no” recommendations, relative to “yes” final decisions (Table 15).

For “other” final decisions, implementation of Step Plus resulted in a decrease in “yes” CAP recommendations, a very substantial increase in “other” recommendations, and a substantial decrease in CAP “no” recommendations.

For “no” final decisions, CAP did not make any “yes” recommendations before or after Step Plus. The proportion of CAP “other” decisions increased from 0% to 25%, while the CAP negative decisions decreased from 100% to 75%.

Table 14. Promotion actions: 5 years before Step Plus

Final decision	CAP recommendation		
	Yes	Other	No
Yes	92%	1%	7%
Other	56%	18%	26%
No	0%	0%	100%

Table 15. Promotion actions: 5 years after Step Plus

Final decision	CAP recommendation		
	Yes	Other	No
Yes	92%	7%	2%
Other	38%	60%	2%
No	0%	53%	47%

For those merit cases with “yes” department votes, the main difference before (Table 16) and after Step Plus (Table 17) is in cases with an “other” final decision — under Step Plus, CAP has moved more cases from the “yes” to the “other” category, and there are fewer “no” CAP recommendations. The data for merit cases with “no” department recommendations are sparse (Table 18, Table 19).

Table 16. Merit actions: before Step Plus, Department “Yes” recommendation

	CAP recommendation		
Final decision	Yes	Other	No
Yes	84%	0%	15%
Other	63%	19%	18%
No	2%	0%	98%

Table 17. Merit actions: after Step Plus, Department “Yes” recommendation

	CAP recommendation		
Final decision	Yes	Other	No
Yes	83%	13%	4%
Other	20%	76%	3%
No	2%	2%	97%

Table 18. Merit actions: before Step Plus, Department “No” recommendation

	CAP recommendation		
Final decision	Yes	Other	No
Yes	50%	0%	50%
Other	0%	50%	50%
No	0%	0%	100%

Table 19. Merit actions: after Step Plus, Department “No” recommendation

	CAP recommendation		
Final decision	Yes	Other	No
Yes	50%	50%	0%
Other	0%	50%	50%
No	0%	0%	100%

The trends seen for promotion cases (Table 20, Table 21) follow trends similar to those apparent in the merit cases. Again, the number of cases with “no” recommendations from the department is very low (Table 22, Table 23).

Table 20. Promotion actions: before Step Plus, Department “Yes” recommendation

Final decision	CAP recommendation		
	Yes	Other	No
Yes	92%	1%	7%
Other	58%	17%	25%
No	0%	0%	100%

Table 21. Promotion actions: after Step Plus, Department “Yes” recommendation

Final decision	CAP recommendation		
	Yes	Other	No
Yes	100%	0%	0%
Other	38%	60%	2%
No	0%	50%	50%

Table 22. Promotion actions: before Step Plus, Department “No” recommendation

Final decision	CAP recommendation		
	Yes	Other	No
Yes	50%	0%	50%
Other	0%	0%	100%
No	0%	0%	100%

Table 23. Promotion actions: after Step Plus, Department “No” recommendation

Final decision	CAP recommendation		
	Yes	Other	No
Yes	50%	50%	0%
Other	0%	100%	0%
No	0%	0%	100%

CAPAC Recommendations and Final Decisions Merits and Promotions

For the appealed merit cases, the overall agreement between the final decisions and the CAPAC recommendations before Step Plus and after Step Plus has increased. While the much greater use of “other” makes it difficult to determine the extent of agreement over actions that resulted in some merit advancement, it is clear that the final decision reflects a CAPAC recommendation for a merit denial a greater share of the time than in the past (Table 24). Before Step Plus, 61% of the final “yes” decisions were appeals denied by CAPAC; after Step Plus, this percentage reduced to 43%. The share of final “no” merit decisions that were appealed and that CAPAC supported has doubled (13% to 28%) after Step Plus, while the share that were appeals CAP recommended denying decreased. As for the “other” decisions on appealed merits, before Step Plus, all were appeals CAPAC recommended denying. After Step Plus, however, only 23% were denied appeals; 27% were supported appeals, and about half were recommended as “other” by CAPAC.

Table 24. CAPAC Recommendations and Final Decisions before and after Step Plus: Merits

Final decision	CAPAC recommendation		
	Yes	Other	No
<i>Before Step Plus</i>			
Yes	33%	6%	61%
Other			100%
No	13%	6%	81%
<i>After Step Plus</i>			
Yes	38%	20%	43%
Other	27%	49%	23%
No	28%	9%	62%

For the appealed promotion cases, the overall agreement between the final decisions by the Vice Provost of Academic Affairs (VPAA) and the CAPAC recommendations before Step Plus and after Step Plus are about the same, although the agreement on “yes” and “other” decisions has increased, whereas that for “no” decisions has decreased (from 92% to 70%) (Table 25). Both before and after Step Plus, about half of the final “yes” decisions were appeals CAPAC recommended denying. Furthermore, 50% of the “other” decisions were appeals CAPAC recommended denying before Step Plus; these recommendations reduced to 13% after Step Plus. 33% of the “other” decisions were appeals supported by CAPAC before Step Plus; these increased to 63% after Step Plus. Thus, the outcomes from the appeals process for promotion have improved under the Step Plus system.

Table 25. CAPAC Recommendations and Final Decisions before and after Step Plus: Promotions

Final decision	CAPAC recommendation		
	Yes	Other	No
<i>Before Step Plus</i>			
Yes	38%	8%	54%
Other	33%	17%	50%
No	8%		92%
<i>After Step Plus</i>			
Yes	50%	0%	50%
Other	63%	25%	13%
No	0%	30%	70%

For appealed merit cases, the overall agreement between CAP and CAPAC recommendations before Step Plus and after Step Plus has improved substantially (Table 26). Before Step Plus, all “yes” and “other” recommendations by CAPAC were “no” recommendations from CAP. After Step Plus, however, CAPAC recommendations were more evenly distributed. About forty percent of the denied appeals were either “yes” or “other” recommendations of CAP. Thus, the appeals process for merit cases also has become more aligned with CAP recommendations after the introduction of Step Plus.

Table 26. CAP and CAPAC Recommendations before and after Step Plus: Merits

CAPAC Recommendation	CAP recommendation		
	Yes	Other	No
<i>Before Step Plus</i>			
Yes	0%	0%	100%
Other	0%	0%	100%
No	8%	25%	67%
<i>After Step Plus</i>			
Yes	21%	58%	21%
Other	6%	88%	6%
No	15%	26%	59%

For the appealed promotion cases, the overall agreement between CAP and CAPAC recommendations improved substantially, mainly because CAPAC rarely recommended “other” before Step Plus, whereas it recommended 40% of the cases as “other” after Step Plus (Table 27). Before Step Plus, about half of the “yes” recommendations by CAPAC were “no” recommendations from CAP. After Step Plus, only 11% of the “yes” recommendations by CAPAC were “no” recommendations from CAP. Similarly, before Step Plus, 38% of the “no” recommendations by CAPAC were “yes” recommendations from CAP. After Step Plus, 25% of the “no” recommendations by CAPAC were “yes” recommendations from CAP. Thus, the appeals process for promotion cases has become more aligned with CAP recommendations after the introduction of Step Plus.

Table 27. CAP and CAPAC Recommendations before and after Step Plus: Promotions

CAPAC Recommendation	CAP recommendation		
	Yes	Other	No
<i>Before Step Plus</i>			
Yes	33%	17%	50%
Other	50%	0%	50%
No	38%	5%	57%
<i>After Step Plus</i>			
Yes	44%	44%	11%
Other	0%	40%	60%
No	25%	25%	50%

Barrier Step Actions

One common theme since the implementation of Step Plus has been that it is challenging to integrate the Step Plus approach with the University of California’s “barrier step” actions, Professor Step 6 and Professor Above-Scale. If the departmental recommendation or the recommendations of other reviewers involves crossing the barrier step and the dossier was not prepared for barrier-step review, then it needs to be re-prepared to address the entire review period. Outside letters, if desired (Step 6) or required (Above-Scale), need to be solicited. Due to the way personnel actions are entered, the data provided by Academic Affairs cannot be used to analyze advancements to Above-Scale.

Regarding Step 6, Table 28 reports the outcomes of actions from a starting point of Step 4, 4.5, 5 or 5.5 by whether or not the outcome was an advancement to at least Step 6. Under the previous system, 43% of such actions resulted in advancement to Step 6 or above. Under Step Plus, 57% did. This difference suggests that there has not been a substantial decline in barrier step advancements under Step Plus. However, the data do not establish that there has been an increase in the success rate, because the number of actions is limited to one every three years under Step Plus. Under the previous system, one could have seen a one-year acceleration from Step 4 to Step 5 and a two-year acceleration from Step 5 to Step 6. Under the Step Plus system, these accelerations would be similar to a 2.0-step advancement from Step 4 to Step 6 after the same three-year period. The total number of eligible actions has therefore declined. Of course, the number of faculty at the relevant steps does not remain the same, which also affects the total number of eligible actions.

Table 28. Outcomes for Potential Barrier Step 6 actions by Merit-Promotion Cycle: 2009-10 to 2018-19

M/P Cycle	Did not cross Step 6	To Step 6 or Above
<i>Acceleration in Time</i>		
2009-2010	50	26
2010-2011	46	36
2011-2012	36	32
2012-2013	45	40
2013-2014	38	30
Five-year total	215	164
<i>Step Plus</i>		
2014-2015	37	24
2015-2016	34	30
2016-2017	24	41
2017-2018	24	46
2018-2019	24	45
Five-year total	143	186

Survey Analysis

This section briefly presents the survey methods and results. Survey responses are presented in four sections. Quantitative responses to each survey are summarized separately, followed by a section identifying themes and questions arising from qualitative responses.

Methods and Response Rates

The special committee conducted surveys of three groups: all Academic Senate faculty; faculty who were members of CAP and/or an FPC under the Step Plus system; and faculty who were/are Department Chairs. An announcement with a link to the survey was emailed to members of each group on January 6, 2020. Recipients were asked to complete the survey by January 21, 2020. A reminder was emailed on January 16, 2020. Table 29 reports the number of recipients, responses, and the response rate for each group. CAP and FPC members had the highest response rate (41%), just over twice that of the faculty as a whole (19%). Department Chairs also had a response rate significantly higher than that of the faculty as a whole (34%).

Table 29. Survey Response Rates

Survey group	Population size	Responses	Response rate
Academic Senate faculty	2,932	563	19%
CAP and FPC members	150	62	41%
Department Chairs	171	58	34%

Senate Faculty Responses

Faculty members were asked to share their rank, academic unit, and years at UC Davis. Table 30 reports respondents by rank/step and whether they arrived at UC Davis before or after Step Plus was implemented. Those who had arrived before Step Plus were asked additional questions comparing the Step Plus and acceleration-in-time systems. Table 31 reports respondents by rank and college/school.

Table 30. Faculty Survey Respondents by Rank/Step and Arrival Date

Rank/Step	Arrived before Step Plus	Arrived since Step Plus	Total
Assistant Professor	8	103	111
Associate Professor	71	32	103
Professor, Step 1.0-5.5	149	21	170
Professor, Step 6.0-9.5	109	3	112
Professor, Above Scale	67	0	67

Table 31. Faculty Respondents by Rank/Step and College/School

College /School	Assistant	Associate	Professor, Step 1.0-5.5	Professor, Step 6.0-9.5	Professor, Above Scale	Total
CA&ES	20	15	22	19	15	91
CBS	7	2	14	8	12	43
COE	17	8	15	11	6	57
LAW	1		5	3	2	11
L&S	33	42	55	38	19	187
GSM		3	1	2		7
SOE	1	6	4			11
SOM	23	17	31	21	12	104
SON	1	2	2			5
SVM	8	8	21	10	1	48
Total	111	103	170	112	67	563

Related sets of survey questions for Senate faculty are shown below in the text boxes. Each box is followed by a narrative summary of survey results. For many summaries, the responses “strongly agree” and “agree” are combined to mean “agree”; “strongly disagree” and “disagree” are combined to mean “disagree.” The percentage of faculty who “agree” and “disagree” do not add up to 100% since some respondents answered, “neither agree nor disagree” or “N/A.” Complete responses to the survey are available in Appendix G.

Comparing time spent on merits and promotions under the two systems

As a candidate for advancement, I have spent less time preparing my dossiers in the years under Step Plus than I did before the implementation of Step Plus.

Within the dossier, I have spent less time preparing my personal statement in the years under Step Plus than I did before the implementation of Step Plus.

I spent less time reviewing dossiers at the departmental or divisional level in the years under Step Plus than I did before the implementation of Step Plus.

56% of respondents disagreed and 12% agreed that less time was required to prepare their dossiers under Step Plus than under the previous system. A majority also disagreed that it takes less time to prepare the personal statement (60%) and to review colleagues' dossiers (60%) under Step Plus compared to the previous system. If one of the goals of the Step Plus implementation was to make the preparation and evaluation of merit and promotion actions less time consuming, the results of the survey appear to indicate that this goal was not achieved.

Comparing clarity of criteria and fairness under the two systems

Criteria for 1.0, 1.5, and 2.0 step merits are clearer now under Step Plus than the criteria for merits and accelerations were before the implementation of Step Plus.

Criteria for promotions are clearer now under Step Plus than they were before the implementation of Step Plus.

Criteria for merits to barrier steps (Step 6.0 and above scale) are clearer now under Step Plus than they were before the implementation of Step Plus.

The Step Plus system is fair.

The former acceleration in time system was fair.

Respondents were almost evenly split regarding the criteria for merits being clearer under Step Plus than under the earlier merit system (42% agree and 41% disagree). 40% disagreed and 21% agreed that the criteria for promotions are clearer under Step Plus, and 46% disagreed and 14% agreed that the criteria for barrier steps are clearer under Step Plus. Overall, more respondents indicated that the criteria in the Step Plus system are not clearer than those under the earlier system.

46% of respondents agreed and 26% disagreed that the Step Plus system is fair. As for the Acceleration-in-Time system, about 23% of respondents were unfamiliar with it. Of those who experienced both the systems, 31% neither agreed nor disagreed that the Acceleration-in-Time system is fair, while the remaining were split (26% agreed and 21% disagreed) on the fairness of the former system.

Comparing department outcomes under the two systems

In my department, outstanding performances in service and teaching are rewarded with rapid advancement more frequently now than they were before the implementation of Step Plus.

Merits and promotions are awarded more equitably in my department than they were before the implementation of Step Plus.

Among respondents, 50% agreed that outstanding performances in service and teaching are rewarded with more rapid advancement more frequently than before the implementation of Step Plus, while 32% disagreed. These data indicate that a majority of respondents believe that Step Plus has resulted in better recognition of outstanding contributions in service and teaching, but many disagree.

34% of respondents disagreed that merits and promotions are awarded more equitably than before the implementation of Step Plus, while 28% agreed. Those who perceive Step Plus to be more equitable are a minority, and it is noteworthy that twice as many strongly disagreed (16%) than strongly agreed (8%). However, “neither agree nor disagree” received that largest single response (36%). Overall, these data suggest that the respondents have mixed perceptions of whether Step Plus has resulted in more equitable award of merits and promotions.

Clarity of criteria under Step Plus & Understanding of Step Plus

Criteria for recommending 1.0 step are clear and appropriate.

Criteria for recommending 1.5 steps are clear and appropriate.

Criteria for recommending 2.0 steps are clear and appropriate.

I understand that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

I am knowledgeable about the Step Plus criteria.

I am knowledgeable about the Academic Personnel Manual (APM) criteria for merit and promotion.

Most respondents agreed that they are knowledgeable about Step Plus criteria (74%) and APM criteria (73%), though Assistant Professors agreed at a lower rate than faculty at other ranks. Most respondents agreed (92%) that it is clear that additional half-step increases require outstanding work in one category. However, while most agreed that the criteria for recommending 1.0 step are clear (64% agree and 21% disagree), there is decreasing clarity on the criteria for recommending 1.5- (45% agree and 39% disagree) and 2.0-steps (39% agree and 46% disagree). Professors Step 1-9.5 seem more comfortable with the criteria for 1.5- and 2.0-step increases than Assistant, Associate and Above-Scale Professors. Above-Scale and Associate Professors are the least comfortable with 1.0-step criteria, but there is still majority agreement.

Opinions regarding Step Plus

Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

Receiving a 1.0 step advancement is a sign of good work.

I feel (or would feel) demoralized receiving 1.0 step advancement.

I think this demoralization is an inherent defect of Step Plus.

This demoralization reflects poor communication of the criteria for an advancement.

Step Plus criteria are applied uniformly across all actions (e.g., merit, promotion).

Most agreed (62%) that a 1.0-step merit is a sign of good work, but a higher percentage of respondents who arrived before Step Plus agreed with this statement (68%) than respondents arriving after Step Plus implementation (48%). Whereas 75% of Professors Step 6 or higher agreed that a 1.0-step merit is a sign of good work, only 52% of Assistant Professors agreed with this statement. The respondents were split when asked if they would feel demoralized if they received a 1.0-step merit (37% agreed and 38% disagreed). Most agreed (54%) that the potential to feel demoralized after a 1.0-step merit is a flaw inherent in the Step Plus system. 49% of the respondents agreed (and 26% disagreed) that this demoralization reflects poor communication of the criteria that are used for advancement in the Step Plus system.

68% of the respondents agreed (and 15% disagreed) that they should be allowed to ask for a specific Step Plus merit advancement in their personal statement. Agreement among respondents was expressed by all faculty ranks and by faculty arriving before and after the implementation of Step Plus. Faculty who participated in the survey were split when asked if they agreed (37%) or disagreed (37%) with the statement that Step Plus criteria are equally applied across all merit and promotion actions. However, more respondents who arrived before Step Plus agreed (40%) than disagreed (35%) with this statement, whereas more respondents who arrived after Step Plus disagreed with this statement (43%) than agreed (29%).

Self-assessment of own outcomes under Step Plus

I have received merit and/or promotion at an appropriate rate under the Step Plus system.

If I receive an additional half step for outstanding performance in one area, I deserve an additional half step each time I go up for a merit if I am performing at the same level as before.

More respondents agreed (59%) than disagreed (27%) to having received a merit and/or promotion at an appropriate rate under Step Plus, and more (50%) agreed (and 20% disagreed) that if they received an additional half-step they should get that half-step the next time they go up for merit and/or promotion if they continue to perform at the same level.

Department and Step Plus

My department voting procedures clearly recognize that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

Has your department discussed Step Plus criteria?

Select how frequently your department discusses Step Plus criteria.

More than twice as many respondents agreed (60%) than disagreed (25%) that the department recognizes the importance of "outstanding" performance in one category for an extra half step. 90% of respondents agreed that their department has discussed Step Plus criteria. A slight majority of these (55%) report that the criteria are discussed once or twice a year. Of the remaining (45%) respondents, roughly two-thirds explain that the criteria are discussed more than twice a year, sometimes at every personnel meeting; the remainder report that the criteria are discussed less than once per year, with some of these individuals expressing dissatisfaction.

CAP/FPC Responses

Survey questions for current and former CAP and FPC members who have served under Step Plus are shown below in the text boxes. Each box is followed by a narrative summary of survey results. As above, when applicable the responses “strongly agree” and “agree” have been combined to mean “agree”; “strongly disagree” and “disagree” have been combined to mean “disagree”. The percentage of committee members who “agree” and “disagree” do not add up to 100% since it was also an option to answer “neither agree nor disagree” or “N/A”.

Comparing clarity of criteria and fairness under the two systems

Criteria for 1.0, 1.5, and 2.0 step merits are clearer now under Step Plus than the criteria for merits and accelerations were before the implementation of Step Plus.

Criteria for promotions are clearer now under Step Plus than they were before the implementation of Step Plus.

Criteria for merits to barrier steps (Step 6.0 and above scale) are clearer now under Step Plus than they were before the implementation of Step Plus.

Of the CAP and FPC members who responded, 15% neither agreed nor disagreed that the criteria for merits are clearer now than those before, whereas 44% neither agreed nor disagreed that the criteria for promotions or barrier steps are clearer now than those before. More agreed than disagreed that the criteria for merits (67% agreed and 16% disagreed), promotions (40% agreed and 15% disagreed), or barrier steps (38% agreed and 20% disagreed) are clearer under Step Plus than those before. Overall, most indicated that the criteria under Step Plus are clearer than those before its implementation.

Comparing outcomes under the two systems

Outstanding performances in service and teaching are rewarded with rapid advancement more frequently now than they were before the implementation of Step Plus.

Merits and promotions are awarded more equitably across departments than they were before the implementation of Step Plus.

Merits and promotions are awarded more equitably across schools and colleges than they were before the implementation of Step Plus.

Among the CAP and FPC respondents, 69% agreed that outstanding performances in service and teaching are rewarded with more rapid advancement more frequently than before Step Plus, while 15% disagreed. It is noteworthy that the fractions in strong agreement (33%) and agreement (36%) are almost equal, while the fraction in strong disagreement is only 2%.

43% of respondents agreed that merits and promotions are awarded more equitably across departments than before the implementation of Step Plus, while 23% disagreed. These data indicate that most CAP and FPC members perceive Step Plus to have been more equitable across departments, although a substantial fraction (26%) neither agreed nor disagreed with this perception.

63% of respondents agreed (and 6% disagreed) that merits and promotions are awarded more equitably across departments, schools, and colleges than before the implementation of Step Plus. Overall, a majority of CAP and FPC respondents perceive Step Plus to have resulted in more equitable award of merits and promotions across departments, schools, and colleges.

Understanding of Step Plus

New committee members are given an adequate orientation to Step Plus.

50% of CAP and FPC respondents agreed that new committee members are given an adequate orientation to Step Plus, while only 16% disagreed.

Clarity of criteria under Step Plus

Criteria for recommending 1.0 step are clear and appropriate.

Criteria for recommending 1.5 steps are clear and appropriate.

Criteria for recommending 2.0 steps are clear and appropriate.

80% of CAP and FPC respondents agreed that the 1.0-step criteria are clear. For 1.5-steps, 73% agreed that criteria are clear, and for 2.0-steps, 61% agreed (and 27% disagreed) that criteria are clear. Overall, the CAP and FPC members who responded generally agreed that criteria used for advancement under Step Plus are clear.

Opinions regarding Step Plus

Some departments routinely ask for additional steps for their members.

Some department do not routinely ask for additional steps for their members.

Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

Departments apply Step Plus standards uniformly.

Colleges/Schools apply Step Plus standards uniformly.

Most current and former members of CAP and FPC who participated in the survey agreed that some departments routinely ask for additional steps for their members (76% agreed and 5% disagreed), and that some departments do not routinely ask for additional steps (53% agreed and 13% disagreed). 65% disagreed (and 15% agreed) that Step Plus standards are applied uniformly across departments, and 50% disagreed (and 25% agreed) that Step Plus standards are applied uniformly across schools and colleges.

73% of CAP and FPC respondents agreed (and 16% disagreed) that candidates for advancement should be allowed to ask for a particular merit in their personal statement.

Department Chair Responses

Survey questions for Department Chairs are shown below in the text boxes. Each box is followed by a narrative summary of survey results. As above, the responses “strongly agree” and “agree” are frequently combined to mean “agree”; “strongly disagree” and “disagree” are combined to mean “disagree”. The percentage of Chairs who “agree” and “disagree” do not add up to 100% since respondents could also answer “neither agree nor disagree” or “N/A.”

Comparing time spent on merits and promotions under the two systems

Department staff spend less time preparing and processing dossiers for regular merits in the years under Step Plus than they did before the implementation of Step Plus.

Department staff spend less time preparing and processing dossiers for promotions in the years under Step Plus than they did before the implementation of Step Plus.

Department staff spend less time preparing and processing dossiers for merits to barrier steps (Step 6.0 and above scale) in the years under Step Plus than they did before the implementation of Step Plus.

Candidates in my department spend less time preparing dossiers in the years under Step Plus than they did before the implementation of Step Plus.

Faculty in my department spend less time reviewing dossiers at the departmental or divisional level now than they did before the implementation of Step Plus.

31% of Department Chair respondents disagreed (and 22% agreed) that staff spend less time preparing dossiers for regular merits under Step Plus when compared to the earlier system. 43% disagreed (and 8% agreed) that staff spend less time preparing dossiers for promotions under Step Plus. 45% disagreed (and 10% agreed) that staff spend less time under Step Plus preparing dossiers for barrier step actions. Respondents disagreed that their faculty spend less time preparing (57% disagreed and 14% agreed) and reviewing (55% disagreed and 14% agreed) dossiers under Step Plus than they did before its implementation. Overall, most Department Chair respondents find that staff and candidates are spending more time preparing, processing and reviewing dossiers under Step Plus.

Comparing clarity of criteria and fairness under the two systems

Criteria for 1.0, 1.5, and 2.0 step merits are clearer now under Step Plus than the criteria for merits and accelerations were before the implementation of Step Plus.

Criteria for promotions are clearer now under Step Plus than they were before the implementation of Step Plus.

Criteria for merits to barrier steps (Step 6.0 and above scale) are clearer now under Step Plus than they were before the implementation of Step Plus.

Of the Department Chairs who responded, 10% neither agreed nor disagreed that the criteria for merits are clearer now than before the Step Plus implementation. 41% agreed that criteria for merits are now clearer, and 41% disagreed. 35% disagreed (and 27% agreed) that criteria for promotions are now clearer, and 49% disagreed (and 12% agreed) that criteria are now clearer at barrier steps under Step Plus. Overall, more respondents indicated that the criteria in the Step Plus system are not clearer than those before for promotions and barrier steps.

Comparing department outcomes under the two systems

In my department, outstanding performances in service and teaching are rewarded with rapid advancement more frequently now than they were before the implementation of Step Plus.

Merits and promotions are awarded more equitably in my department than they were before the implementation of Step Plus.

Among the Department Chairs who responded, 55% agreed (and 24% disagreed) that outstanding performances in service and teaching are rewarded with more rapid advancement more frequently than before the implementation of Step Plus. 33% agreed that merits and promotions are awarded more equitably than before the implementation of Step Plus, while 31% disagreed. The remainder neither agreed nor disagreed (27%) or responded N/A (8%). Overall, most Department Chair respondents believe that Step Plus has resulted in better recognition of outstanding contributions in service and teaching, but they have ambivalent views on whether Step Plus has resulted in more equitable award of merits and promotions.

Department and Step Plus

I should establish the expectations needed for my faculty to obtain a normal (1.0 step) merit.

My department voting procedures clearly recognize that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

I understand that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

Most respondents agreed (94%) that they personally recognized the importance of "outstanding" performance in one category for an extra half-step. 76% agreed (and 18% disagreed) that this rule was also recognized in their department's voting procedures. 70% agreed (and 8% disagreed) that they should establish the expectations needed for their department's faculty to obtain a normal (1.0 step) merit.

Clarity of criteria under Step Plus

Criteria for recommending 1.0 step are clear and appropriate.

Criteria for recommending 1.5 steps are clear and appropriate.

Criteria for recommending 2.0 steps are clear and appropriate.

78% of Department Chair respondents agreed that the 1.0-step criteria are clear. For 1.5-steps, 60% of Department Chairs agreed that criteria are clear. For 2.0-steps, 43% of Department Chairs agreed (and 43% disagreed) that criteria are clear.

Opinions regarding Step Plus

Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

53% of Department Chair respondents agreed (and 29% disagreed) that candidates for advancement should be allowed to ask for a particular merit in their personal statement.

Survey Comments Analysis

In response to the request for comments regarding how the Step Plus system improved or worsened the academic personnel process, the comments ranged significantly in both opinion and length. Several indicated that the Step Plus system was more effective in rewarding teaching and service and decreasing the gender gap in advancement, while others offered concern that it was placing insufficient rewards on research. There was some concern about the clarity of what constituted “outstanding” work; recognition of problematic variation in application and practice across departments and units; and challenges in understanding the criteria imposed at both FPC and CAP levels of evaluation. Despite these concerns, many still found the system more effective than the previous model.

Unsurprisingly, many of the comments reflected individual experiences of satisfaction or dissatisfaction with the process. Some specific instances of concern centered on the application of standards, and communication of expectation and process, most notably around barrier steps and promotions (including, in a few cases, too rapid promotion from the point of view of the candidate). There were also some concerns that a “well-balanced” file might not be as easily rewarded as a file that strove for outstanding in one area as a means to game the system. There were some complaints that the new system has resulted in less collegiality, often in relation to concerns about lack of clarity about criteria for “outstanding.”

In the responses to the question about trends in 1.5- and 2.0-step actions, there seemed to be a general consensus that 1.5-step actions were very common. Some characterized the 1.5 step as “the new normal,” though many of these same respondents indicated significant variation across departments or units. Some viewed this normalization as a sign of the overall excellence and hard work of UC Davis faculty and others as a form of “grade inflation.” A significant number of responses indicated confusion over the criteria for a 2.0-step advancement. Some respondents reported the perception that it was now more difficult to receive a 2.0-step advancement than it was when Step Plus was first implemented, and some perceived a demand for increasing productivity to continue to receive 1.5-step advancements.

Conclusion

The Step Plus Assessment Special Committee was charged with reviewing the Step Plus system and assessing whether the efficiency and efficacy envisioned has been achieved. As will become clear in this conclusion, the Special Committee’s assessment of the Step Plus system is not as complete as desired due to the limitations in the data available in campus personnel process systems. APHID, the Academic Affairs database into which all academic personnel information is entered, has several text fields that preclude the extraction of quantitative data that can be analyzed for patterns and trends among departments, peer review bodies (FPC, CAP), and decision-making authorities (deans, VPAA). APHID does not connect with the other academic personnel systems used, including MIV and UC Path, which means that data are not only manually entered at

different points in the academic personnel process, they may also be entered inconsistently across systems. At present, any data that can be pulled from these systems requires significant clean up and verification; the text fields also make the data unusable since they have no language standardization that can systematically be analyzed. The Special Committee thus provides this report with the caveat that, until further refinements to the academic personnel data collection and reporting are made, a comprehensive assessment of the Step Plus system cannot be performed.

The Special Committee proceeded with its assessment of Step Plus by working with Academic Affairs to extract the data available and by surveying Senate faculty, former and current department chairs, and former and current CAP/FPC members. To assess efficiency, specifically, the Special Committee asked respondents to the Senate faculty and department chair surveys a series of questions about the workload associated with Step Plus. The Special Committee also reviewed CAP annual report data, which provides the number of the academic personnel actions CAP reviews in a committee year (9/1-8/31). The CAP annual report data show that Step Plus has reduced the workload for FPCs, but has increased the workload for CAP. The majority of Senate faculty and department chair survey respondents also indicated that Step Plus has not led to reductions in workload.

To assess efficacy, the Special Committee worked with the Office of Academic Affairs to pull data on average progress rates, final decisions, CAP recommendations, and CAPAC recommendations. The Special Committee also examined the survey data provided by the three respondent groups (Senate faculty, department chairs, CAP/FPC members) to assess how well understood the Step Plus criteria appear to be.

Overall, the data suggest the following:

- Merit actions of 1.0-step or greater are achieved more readily under Step Plus (Table 1)
- Both URM and non-URM faculty have been more successful in obtaining merit actions of more than one step under Step Plus than the previous system (Table 4)
- All ranks in the Professors series (Assistant, Associate, and Full) have increased their rate of progress under Step Plus, with Assistant Professors experiencing the greatest rate of increase (Table 4)
- The rate of progress for women and men have both increased, with women accelerating more rapidly than men at the Associate Professor rank (Table 4)
- Among the survey respondents (Senate faculty, former and current department chairs, former and current CAP/FPC members), there was general agreement across all groups of the criteria for recommending a 1.0-step advancement. However, the three groups differed in their assessment of the clarity in the criteria for additional steps and for advancement to the “barrier” steps (Step 6 and Above-Scale).

While broad conclusions may be drawn from the data provided, more nuanced questions regarding specific features of Step Plus could not be addressed. As the APHID personnel system only allows for three advancement outcomes (“yes,” “no,” “other,”), “other” is a

blanket category for any decisions or recommendations that differ in step—either higher or lower—from the departmental recommendation. This categorization does not adequately capture half-step differences in recommendations and decisions. For example, if a department recommends a candidate be promoted 1.5 steps, the Dean recommends 1.0 step, CAP recommends 2.0 steps, and the VPAA agrees with CAP to promote the candidate 2.0 steps, the Dean’s recommendation, CAP’s recommendation, and the VPAA’s final decision are all logged in APHID as “other,” even though there is a 1.0-step difference between what the Dean recommended and what the VPAA decided. This conflation of higher-step recommendations and decisions with lower-step recommendations and decisions indicates that “other” is not a sufficient term for characterizing the different outcomes that are possible within Step Plus.

While it was not within the charge of this committee to make policy recommendations, the Special Committee has two recommendations regarding related matters. First, it recommends that the systems that collect academic personnel information (e.g., APHID, MIV) be modified to capture the different data points that Step Plus has introduced (e.g., half-steps, criteria for additional steps, Step Plus history). This will enable any future policy recommendations to be informed by clear data. Second, it recommends that the Office of Academic Affairs work with the Academic Senate to review the policy impacts of Step Plus, formalize the Step Plus interim guidelines into campus policy, and clarify policy guidance, especially in cases where Step Plus appears to conflict with the APM.

Appendix A. Charge Letter

UC DAVIS: Academic Senate

~~September 8, 2019~~

AMENDED

September 30, 2019

Professor Rachael Goodhue, Chair (CAES)
Professor Christine Cocanour, Surgery (SOM)
Professor Rida Farouki, Mechanical & Aerospace Engineering (ENG)
Professor Robert Feenstra, Economics (L&S)
Professor Prasad Naik, Graduate School of Management (GSM)
Professor Jon Rossini, Theatre and Dance (L&S)
Professor Steven Theg, Plant Biology (CBS)
Professor Richard Tucker, Davis Division Vice Chair (SOM)

RE: Appointment to the Step Plus Assessment Special Committee

Thank you for agreeing to serve on the Step Plus Assessment Special Committee. The special committee will begin its work in the fall quarter and produce a report that will be presented to the Academic Senate Representative Assembly during the spring quarter.

Please feel free to contact Academic Senate Executive Director Edwin Arevalo (emarevalo@ucdavis.edu) if you have any questions. Director Arevalo will be in touch soon to start coordinating meeting dates.

On behalf of the Committee on Committees, thank you for agreeing to share your valuable time and participating in shared governance at UC Davis.

Sincerely,

Judy Van de Water, Chair
Committee on Committees

Appendix B. Original RA Motion

Motion 1:

We support Step-Plus System implementation effective July 1, 2014, for all Academic Senate titles. Our understanding of the system is based on the descriptions provided in the *“Step Plus System for Personnel Actions, and Guidelines for Advancements Under the Step-Plus System – Academic Senate Titles”* documents.

The Representative Assembly directs the Executive Council to appoint a task force charged with reviewing the Step-Plus System including an assessment of whether the efficiency and efficacy envisioned was achieved. The review will commence in early 2016-2017. The task force will seek endorsement of its report during the April 2017 (spring) Representative Assembly meeting.

Motion 2:

We support no longer requiring submittal of extramural letters when advancing to Professor Step 6.

Step Plus Merit Outcomes 2014-15 and 2015-16

Interim Report

Acknowledgments

- Phil Kass, Associate Vice Provost, Academic Affairs
- CAP chairs:
 - David Simpson (14-15)
 - Debra Long (15-16)
 - Rida Farouki (16-17)
- Maureen Stanton, Vice Provost, Academic Affairs
- Kimberly Pulliam, Associate Director, Academic Senate

Step Plus objectives

- Reduce the number of personnel actions per year, thus saving staff and faculty time.
- Increase the likelihood that deserving candidates who have not historically put forward their dossiers for accelerated review will benefit from their excellent performance.
 - Service
 - Teaching
- Implemented effective July 1, 2014 and adopted immediately for personnel actions in the Senate titles of Professor, Professor in Residence, Professor of Clinical__, and Acting Professor of Law.
 - In third year

<http://academicaffairs.ucdavis.edu/policies/step-plus/>

Monitoring and refinements to date (1)

March 5, 2015 – Merit Actions to Professor, Step 6

- Advisory from CAP noting the difficulty with reviewing dossiers for advancement to Step 6. Step 6 remains a barrier step subject to the criteria in APM 220-18.b.4 and UCD-APM 220.IV.C.4a. In the absence of extramural letters, department letters should be very clear in specifically addressing the Step 6 criteria.

September 18, 2015 - Action Form for Step Plus and Delegation of Authority Guidance

- The Action Form should now reflect, as the default action type, a 1.0 step advancement for all actions during the initial department review and vote.
 - If the candidate's advancement eligibility (up to 2.0 steps) could potentially cross a promotion/barrier step, the department should prepare the dossier matching the longest potential review period.
 - The Delegation of Authority for the action should be updated by the primary department after the recommendation of the department is received. The Delegation of Authority may also be changed after receipt of the recommendation from the FPC and/or Dean.

Monitoring and refinements to date (2)

September 21, 2015 – Step Plus Advisory: Accuracy of Academic Senate Step Plus Dossiers

- Under Step Plus the campus is now consistently awarding more than one-step advancement for outstanding teaching and service. Thus is it now extremely important that the dossier accurately document both the extent and the quality of teaching and service.
 - CAP will routinely return improperly prepared dossiers to departments/candidates, which will result in significant delays in processing merit cases, and will likely require the department to revote

October 22, 2015 – Step Plus Guidelines for Above Scale Advancements in the Senate series

- Step Plus guidelines for Above Scale advancements were revised as follows:
 - Above Scale 1.0 Step Advancement – Continued performance at levels commensurate with the expectations for an Above Scale Professor.
 - Above Scale 1.5 Step Advancement – Continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding achievement in one area.
 - Above Scale 2.0 step Advancement – Continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding performance in two areas.

Monitoring and refinements to date (3)

October 31, 2016 – Step Plus Clarification

- Step Plus policy change for promotions that are accelerated in time
 - Promotions to Associate or Full Professor can be accelerated in time or can be evaluated according to Step Plus guidelines, but not both.
 - That is, candidates can request an early promotion, but there will be only two possible advancement outcomes: promotion to a lateral step or 1.0-step promotion. Advancements to overlapping steps will not be considered if an early promotion is denied.
- Clarification on how to apply Step Plus criteria in the context of promotions and merit advancements to Professor, Step 6 and Professor, Above Scale.
 - When evaluating a candidate for promotion, or advancement to or through a barrier step, Step Plus guidelines should be applied to the entire period of review. Advancements beyond a normal 1.0-step merit should be recommended when achievements during the period of review have not been recognized, or have been insufficiently recognized, by advancements during previous merit evaluations.

Monitoring and refinements to date (4)

December 11, 2016 (original memo September 18, 2015) – UPDATED: Action Form for Step Plus and Delegation of Authority Guidance

- The Action Form should now reflect a 1.0 step advancement for the initial department review and vote.
- The faculty vote should consider a 1.0, 1.5, and 2.0 step advancement in every case.
- Departments should update the proposed status and the delegation of authority on the Action Form according to the highest department recommendation.

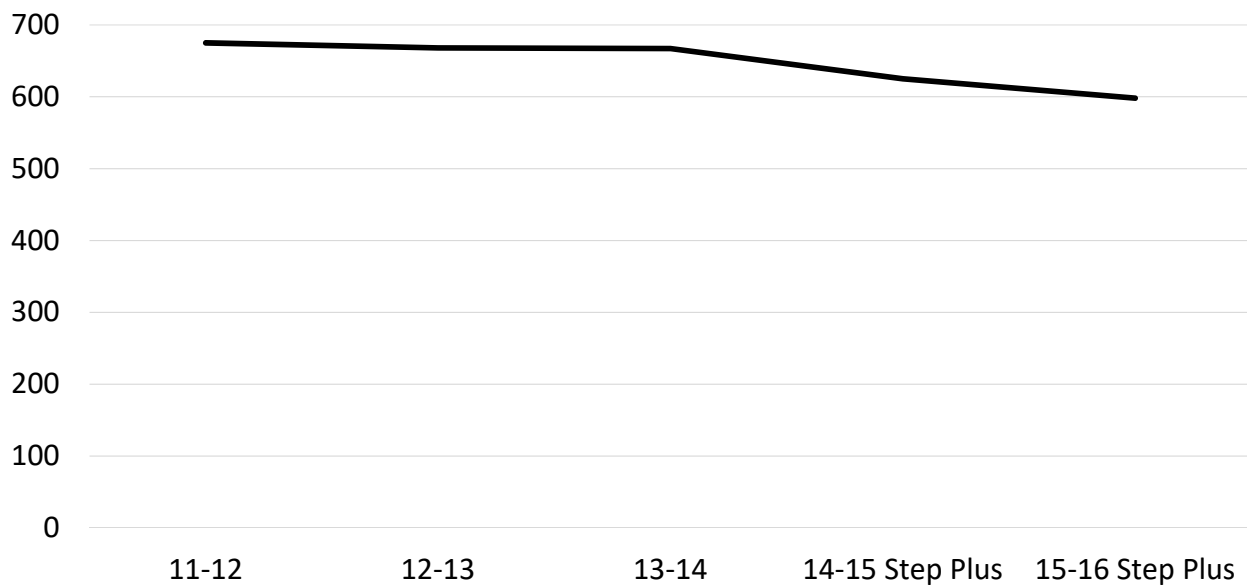
Data available

- Three years under previous system: “advancement in time”
 - 2011-12, 2012-13, 2013-14
- (Almost) two years under Step Plus
 - 2014-15 complete
 - 2015-16 some actions still have final decision pending
 - **Data availability lags completion of actions**
- Data on all merit and promotion actions
 - Prepared by Academic Affairs
 - Disaggregated by college/school, rank, race/ethnicity, gender, outcome of personnel action
 - Cross-tabulations often involved very few actions
 - Anonymous

Number of actions

- Total number of actions fell
- Accelerations in time still permitted
 - Smaller number and share in 2015-16 than in 2014-15
 - 16-17 final year
- Reduction in number of actions different across reviewers
 - A larger share/number of cases went to CAP and Vice Provost in 2015-16
 - Fewer to FPCs/deans
- Cases take longer to review

Number of merit and promotion actions by year

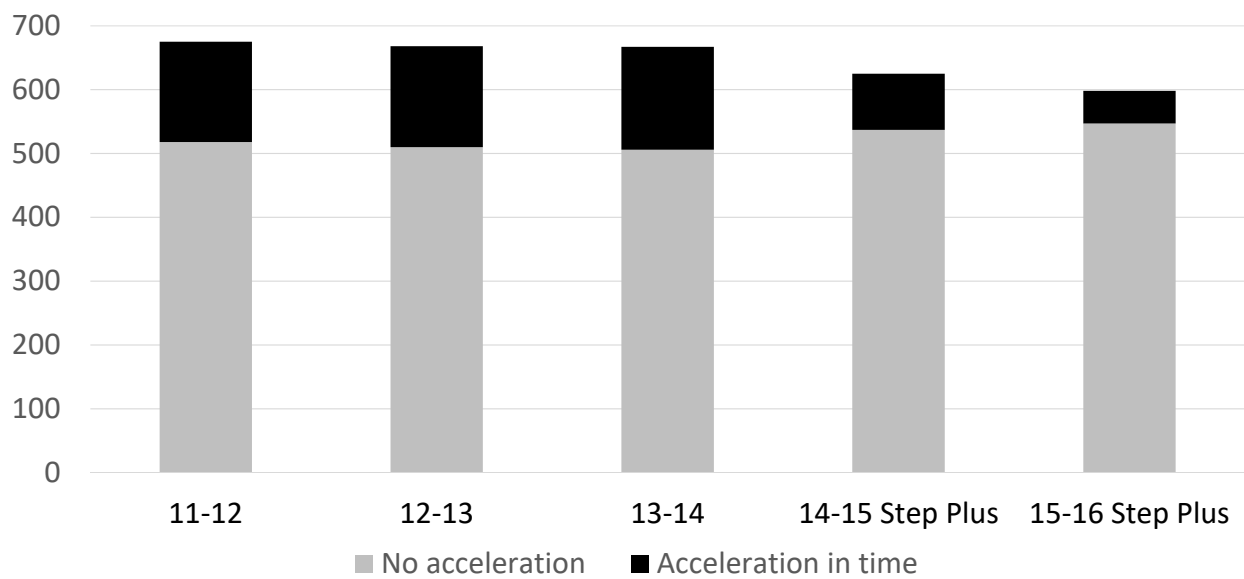


Reduction in number of merit and promotion actions/year

Likely an underestimate of the long-term effect of Step Plus

1. Accelerations in time still allowed in transition period
2. The number of faculty is growing relative to three comparison years
3. Replacing senior faculty with junior faculty (anticipated)
 - 3 years or 4 years vs. 2 years normative time
 - Step 5 and above not required to request a merit action
 - NOTE: not yet apparent in the data

Acceleration in time: number of actions

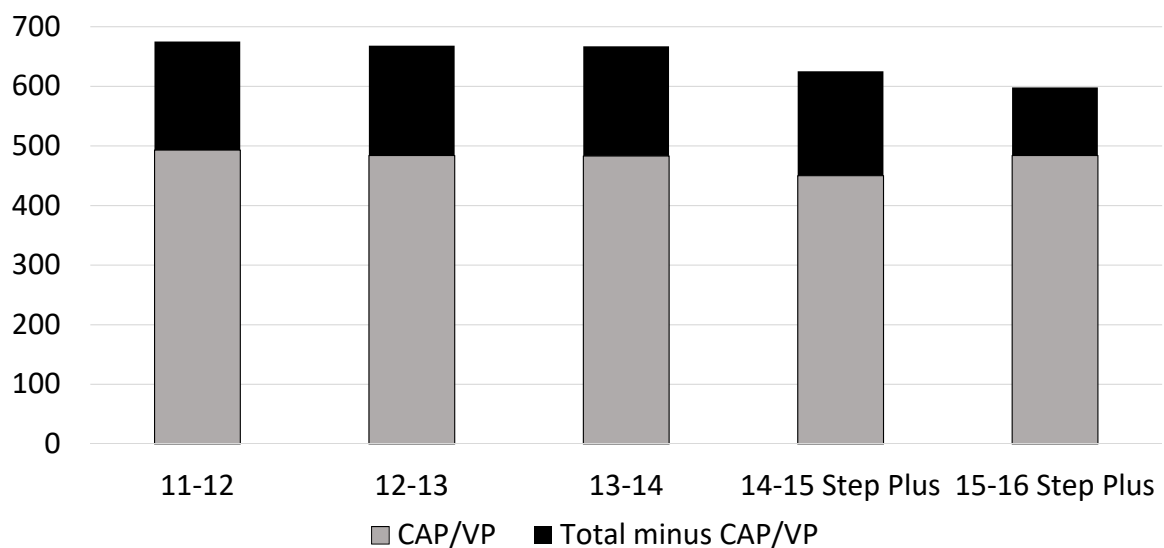


Number of Actions Reviewed by CAP: 2010-2016

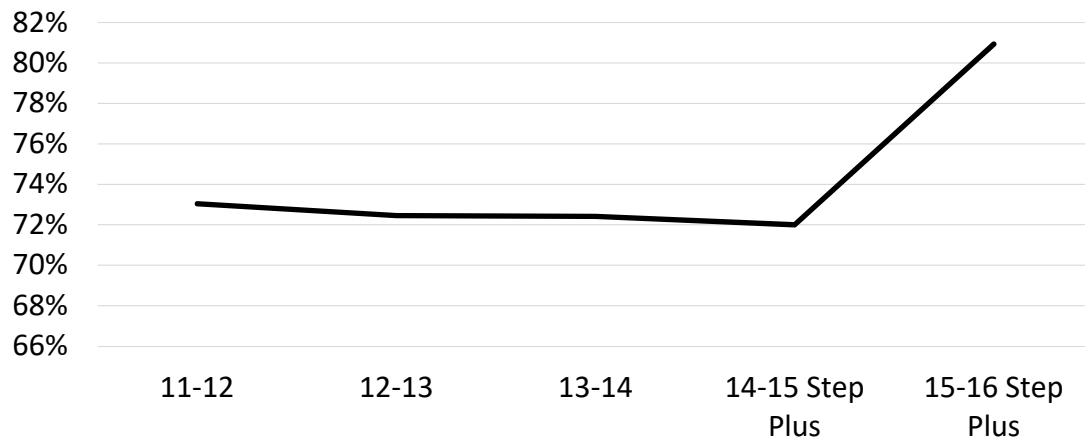
Academic Year	Number of Cases Reviewed
2010-2011	438
2011-2012	493
2012-2013	484
2013-2014	483
2014-2015	450
2015-2016	484
2016-2017*	456

*Estimate based on cases reviewed and cases pending as of 5/23/17.

Cases reviewed by CAP and all cases



Cases reviewed by CAP: % of all cases



Comparing Step Plus and advancement in time outcomes

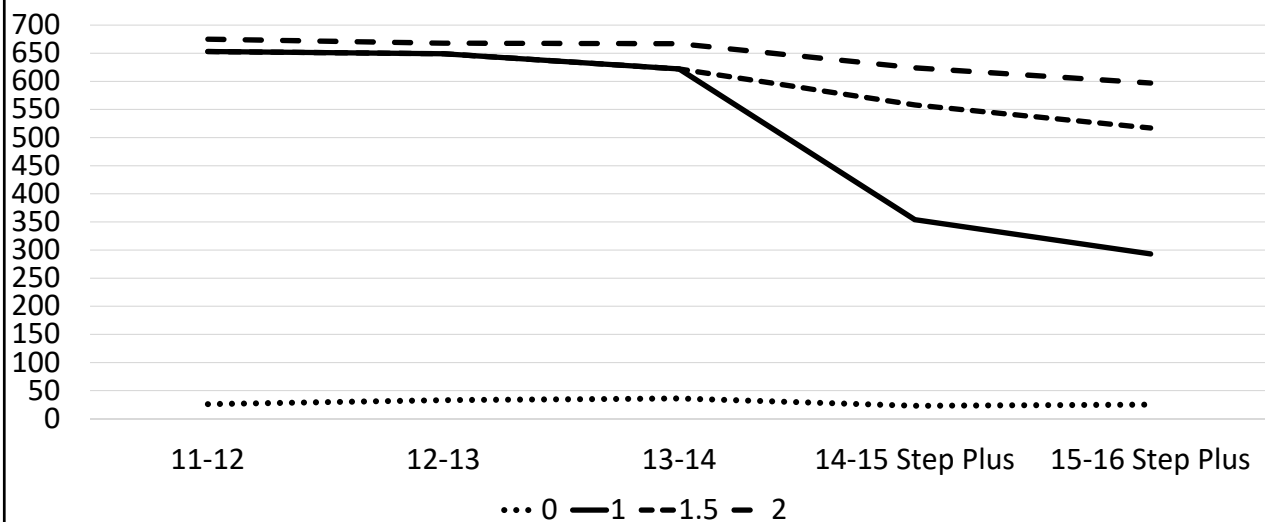
- Accelerations in time were recorded as one step, except when two steps were awarded
 - Academic Affairs wrote code to extract accelerations from dataset (**beta version**)
- Step Plus designed to recognize achievement in one area with an additional half step.
 - Half steps didn't exist under previous system
 - Expect 1.5 steps to replace (some) one-step outcomes
- Expect no differences in the percentage of actions receiving zero steps
 - Criteria remain the same
- Has the number of two-step actions changed?
- Has the number of appeals or appeal outcomes changed?

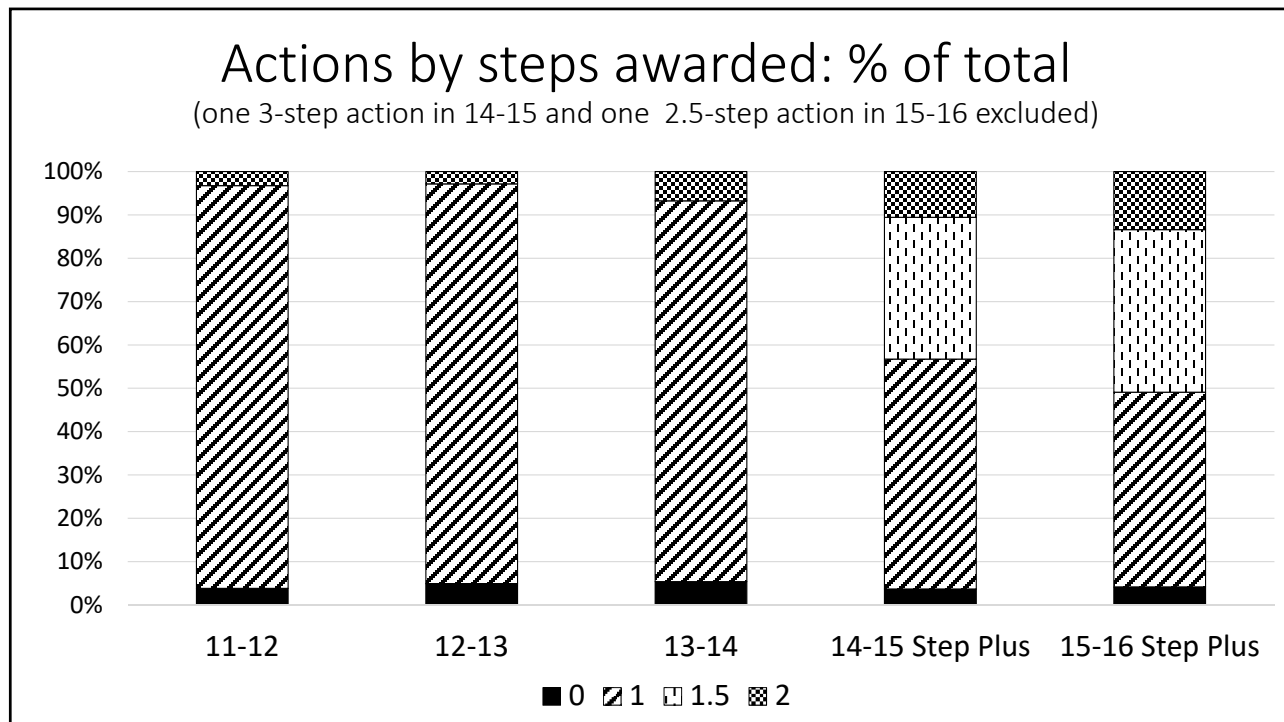
Step Plus step advancements

- Share of non-accelerated actions declined under Step Plus
 - Appears to be primarily that the existence of 1.5 step reduced 1 step actions
- No clear change in actions resulting in no advancement

Actions by steps awarded: cumulative number of actions

(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)





Step Plus actions by steps awarded:
% by rank
(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
Assistant	0	66	32	2
Associate	1	47	39	13
Full 1-5	1	44	40	14
Full 6-9	0	47	35	17
Above scale	46	44	3	7

Advancement in Time actions: % by rank

	No advancement	Non-accelerated merit/promotion	Accelerated merit/promotion
Assistant & Associate 1-3	2	84	14
Associate 4-5 & Professor 1-8	2	64	34
Professor 9 & Above Scale	33	40	26

Actions with no advancement by year: % of total actions

(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	Advancement in time	Step Plus
2011-12	4	
2012-13	5	
2013-14	5	
2014-15		4
2015-16		4

Actions with no advancement: % by college/school

	Advancement in time	Step Plus
CA&ES	4	6
CBS	8	8
Education	0	0
COE	3	8
Law	<i>Likely data entry error</i>	0
L&S: HArCS	4	2
L&S: MPS	9	6
L&S: DSS	4	4
GSM	5	4
SOM	5	3
BIMSON	0	0
SVM	1	1

Two-step actions under advancement in time system and under Step Plus: % of total actions
(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	Advancement in time	Step Plus
CA&ES	3	15
CBS	4	5
SOE	0	14
COE	5	3
SOL	0	0
L&S: HArCS	6	21
L&S: MPS	6	11
L&S: DSS	2	11
GSM	5	0
SOM	6	11
BIMSON	20	20
SVM	2	21

Appeals

	Total Actions	Appealed (% of total)	Denied Appeals (% of appeals)	Denied Appeals (% of total actions)
2011-12	676	3	14	0.4
2012-13	668	3	33	0.9
2013-14	666	3	52	1.8
2014-15	625	5	69	3.5
2015-16	593	4	38	1.3

Step Plus action outcomes

- College/school
- Gender
- Race/ethnicity
- Rank
- All outcomes reported as percentages
- Many reported percentages based on **small** absolute numbers
 - Many cross-tabulations can not be reported as absolute numbers due to the small number of individuals in many categories, e.g rank and race/ethnicity
 - Any category with five or fewer individuals labeled with an asterisk
 - * 5 or fewer

Step Plus actions by steps awarded: % by college/school
(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
CA&ES	6	42	40	15
CBS	8	51	37	5
SOE	0	50	36	14
COE	8	58	31	3
SOL	0	27	73	0
L&S: HARCS	2	40	37	21
L&S: MPS	6	59	25	11
L&S: DSS	4	42	42	11
GSM	4	78	17	0
SOM	3	57	29	11
BIMSON*	0	40	40	20
SVM	1	36	43	21

* 5 or fewer

Step Plus actions by steps awarded: % by college/school, assistant
(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
CA&ES	0	44	52	4
CBS	0	90	10	0
SOE*	0	20	60	20
COE	0	77	23	0
SOL*	0	0	100	0
L&S: HARCS	0	61	39	0
L&S: MPS	0	86	14	0
L&S: DSS	0	74	65	0
GSM*	0	100	0	0
SOM	0	73	23	3
BIMSON*	0	100	0	0
SVM	0	84	26	0

* 5 or fewer

Step Plus actions by steps awarded: % by college/school, associate

(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
CA&ES	2	37	40	21
CBS	0	60	40	0
SOE	0	60	30	10
COE	0	57	43	0
SOL	---	---	---	---
L&S: HArCS	0	47	44	9
L&S: MPS	0	50	36	14
L&S: DSS	4	42	47	7
GSM	10	90	0	0
SOM	0	56	23	21
BIMSON*	0	0	67	33
SVM	0	23	83	14

* 5 or fewer

Step Plus actions by steps awarded: % by college/school, full 1-5

(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
CA&ES	0	36	56	9
CBS	4	38	54	4
SOE*	0	60	20	20
COE	2	60	34	40
SOL	0	32	69	0
L&S: HArCS	0	21	37	42
L&S: MPS	0	59	30	11
L&S: DSS	0	36	46	18
GSM	0	43	57	0
SOM	1	54	35	10
BIMSON*	0	100	0	0
SVM	0	30	38	32

* 5 or fewer

Step Plus actions by steps awarded: % by college/school, full 6-9
(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
CA&ES	0	47	36	17
CBS	0	36	45	18
SOE*	0	50	50	0
COE	0	57	33	10
SOL	0	17	83	0
L&S: HArCS	0	38	31	31
L&S: MPS	0	64	20	16
L&S: DSS	0	25	50	25
GSM*	0	100	0	0
SOM	0	51	41	8
BIMSON*	---	---	---	---
SVM	0	38	24	38

* 5 or fewer

Step Plus actions by steps awarded: % by college/school, above scale
(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
CA&ES	41	50	0	9
CBS	50	50	0	0
SOE	---	---	---	---
COE	50	44	6	0
SOL*	0	100	0	0
L&S: HArCS	22	56	0	22
L&S: MPS	60	40	0	0
L&S: DSS	33	22	22	22
GSM*	0	100	0	0
SOM	73	27	0	0
BIMSON	---	---	---	---
SVM*	33	67	0	0

* 5 or fewer

Step Plus Actions by steps awarded: % by gender, race/ethnicity, 14-16

(one 3-step action in 14-15 and one 2.5-step action in 15-16 excluded)

	0	1	1.5	2
Gender (number of actions)				
Female (442)	2	47	36	14
Male (781)	5	50	34	11
Race/ethnicity (number of actions)				
African American /African Diaspora (22)	0	59	27	14
Native American (9)	0	33	67	0
Asian/Asian American (244)	4	57	31	9
Hispanic (76)	1	54	34	11
White (829)	4	46	36	13
Unknown (43)	2	77	13	8

Summary (1)

- Step Plus has reduced the number of faculty merit and promotion actions
 - Observed data may understate long-term effect
 - Number of faculty growing
 - Accelerations in time were still an option (16-17 last transition year)
 - Reallocation of cases from FPCs/deans to CAP/Vice Provost in 15-16
- Faculty are advancing faster
 - Fewer 1-step actions with introduction of 1.5 steps
 - More two-step actions
- No clear change in the share of total actions resulting in no advancement
 - Consistent with expectations

Summary (2)

- No clear change in the share of actions appealed or the share of appeals denied.
- Differences across colleges and schools
 - Share of two-step advancements
- Differences by rank
 - Above scale actions much more likely to be denied
- Gender
 - Small percentage difference
- Race/ethnicity
 - Small numbers
 - Percentages suggest hasn't altered historical pattern of slower progress
- ***Less than two years of data for Step Plus system***
- Need more outcomes to evaluate effects
- CAP chairs for 14-15, 15-16, 16-17 support five years of data

Appendix D. 2016 RA Motion

Motion on Step-Plus Evaluation:

We support using five complete years of data (2014-15 to 2018-19) in the Davis Division's analysis of the Step-Plus merit and promotion system. The final report, with endorsement from Executive Council, will be submitted to the Representative Assembly for endorsement by its final meeting in Spring 2020.

Appendix E. Step Plus Assessment Special Committee Membership

Rachael Goodhue, Department Chair and Professor of Agricultural and Resource Economics, *Chair*

Richard Tucker, Academic Senate Vice Chair and Professor of Cell Biology and Human Anatomy

Christine Cocanour, Professor of Surgery

Rida Farouki, Professor of Mechanical and Aerospace Engineering

Robert Feenstra, Distinguished Professor of Economics

Prasad Naik, Professor of Marketing

Jon Rossini, Associate Professor of Theatre and Dance

Steven Theg, Professor of Plant Biology

Edwin Arevalo, Academic Senate Executive Director

Kelly Adams, Academic Senate Policy Analyst

Appendix F. Step Plus Changes/Updates (2014-2016)

June 3, 2014 – Step Plus approved by Representative Assembly; announced in Annual Call 2014-2015 dated June 23, 2014

1. Implementation effective July 1, 2014 for Senate titles of Professor, Professor in Residence, Professor of Clinical_, and Acting Professor of Law.

March 5, 2015 – Merit Actions to Professor, Step 6 (##AA2015-02 archived advisory – changes from this advisory are reflected in our current merit checklists and in the Senate FAQ)

1. Advisory from CAP noting the difficulty with reviewing dossiers for advancement to Step 6. Step 6 remains a barrier step subject to the criteria in APM 220-18.b.4 and UCD-APM 220.IV.C.4a. In the absence of extramural letters, department letters should be very clear in specifically addressing the Step 6 criteria.

July 1, 2015 – Step Plus for Federation research titles announced in Annual Call 2015-2016 dated July 1, 2015

1. Implementation effective July 1, 2015 for the following titles series: Adjunct Professor, Agronomist in the Agricultural Experiment Station (AES), Specialist in Cooperative Extension (CE), Health Sciences Clinical Professor, Professional Researcher, Project Scientist, and Specialist.

September 18, 2015 - Action Form for Step Plus and Delegation of Authority Guidance (##AA2015-08)

1. The Action Form should now reflect, as the default action type, a 1.0 step advancement for all actions during the initial department review and vote.
 - a. If the candidate's advancement eligibility (up to 2.0 steps) could potentially cross a promotion/barrier step, the department should prepare the dossier matching the longest potential review period.
 - b. In the case of an evenly split vote, the recommendation should default to the highest recommendation.
 - c. The Proposed Status and the Delegation of Authority, if applicable, for the action should be updated by the primary department to reflect the highest advancement recommendation from any of the candidate's departments. The Delegation of Authority may also be changed after receipt of the recommendation from the FPC and/or Dean.

September 21, 2015 – Step Plus Advisory: Accuracy of Academic Senate Step Plus Dossiers

1. Under Step Plus the campus is now consistently awarding more than one-step advancement for outstanding teaching and service. Thus is it now extremely

important that the dossier accurately document both the extent and the quality of teaching and service.

- a. CAP will routinely return improperly prepared dossiers to departments/candidates, which will result in significant delays in processing merit cases, and will likely require the department to revote

October 22, 2015 – Step Plus Guidelines for Above Scale Advancements in the Senate series (#AA2015-10, archived advisory – changes from this advisory are reflected in the Above Scale Step Plus Advancement Guidelines)

1. Step Plus guidelines for Above Scale advancements were revised as follows:
 - a. Above Scale 1.0 Step Advancement – Continued performance at levels commensurate with the expectations for an Above Scale Professor.
 - b. Above Scale 1.5 Step Advancement – Continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding achievement in one area.
 - c. Above Scale 2.0 step Advancement – Continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding performance in two areas.

October 22, 2015 – Step Plus System for Academic Federation (#AA2015-09, archived advisory – changes from this advisory are reflected in the Guidelines for Advancement Under the Step Plus System)

2. “Notification of advancement eligibility for an Academic Federation member” form is required every year that a Federation member is eligible. This form is required in order to submit an action or a deferral of an action.

June 20, 2016 – Academic Federation Step Plus Phase 1 Practice change for Delegation of Authority (##AA2016-06, archived advisory – delegation changes in this advisory are reflected in the current delegation of authority)

1. The following change effective for the 2016-2017 review cycle, is intended to minimize unnecessary reviewing workload for cases in which the candidate has restricted his or her advancement options on the form Notification of advancement eligibility for an Academic Federation member. In such cases, if the action proposed by the department is redelegated and the JPC recommends a non-redelegated advancement (e.g. of 2.0 steps), the Dean retains approval authority for the redelegated advancement if the candidate selection on the form is also a redelegated action. This approach retains the JPC’s recommendation in the candidate’s personnel record, but eliminates the need for higher-level review that the candidate has elected not to pursue. The delegation of authority for these titles has been updated accordingly.

August 15, 2016 – Annual Call 2016-2017

1. Updated “Notification of advancement eligibility for an Academic Federation member” form. Forms submitted from all previous deferral requests must be included until the candidate advances. The checklists for these series have been updated to include this new requirement.

October 31, 2016 – Step Plus Clarification (#AA2016-09, archived advisory – changes from this advisory are reflected in the Guide to Step Plus Promotions)

1. Step Plus policy change for promotions that are accelerated in time
 - a. Promotions to Associate or Full Professor can be accelerated in time or can be evaluated according to Step Plus guidelines, but not both.
 - b. That is, candidates can request an early promotion, but there will be only two possible advancement outcomes: promotion to a lateral step, if applicable, or 1.0-step promotion. Advancements to overlapping steps will not be considered if an early promotion is denied.
2. Clarification on how to apply Step Plus criteria in the context of promotions and merit advancements to Professor, Step 6 and Professor, Above Scale.
 - a. When evaluating a candidate for promotion, or advancement to or through a barrier step, Step Plus guidelines should be applied to the entire period of review. Advancements beyond a normal 1.0-step merit should be recommended when achievements during the period of review have not been recognized, or have been insufficiently recognized, by advancements during previous merit evaluations.

December 11, 2016 (original memo September 18, 2015) – UPDATED: Action Form for Step Plus and Delegation of Authority Guidance

1. The Action Form should now reflect a 1.0 step advancement for the initial department review and vote.
2. The faculty vote should consider a 1.0, 1.5, and 2.0 step advancement in every case.
3. Departments should update the proposed status and the delegation of authority on the Action Form according to the highest department recommendation.

August 9, 2017 – Annual Call 2017-2018

1. Updated “Notification of advancement eligibility for an Academic Federation member” form. Please note the following major changes: (1) the form should not be made available to department reviewers/voters; and (2) Health Sciences Clinical Professors are no longer required to submit the form. Further modifications of the form may be forthcoming, as the Federation has voted positively on extending Step Plus to Academic Coordinators, Academic Administrators, Assistant/Associate University Librarians and Law Librarians, Continuing Educators, and University Extension Teachers, beginning with the 2017-18 academic year.
2. New – Streamlining Measure – Change to order of Joint Department Review per APM UCD 220, effective 2017-2018: According to APM UCD 220 Procedure 3 for Joint Appointments, a candidate’s joint department conducts their review prior to the home department, and the home department is expected to consider all the

joint department recommendations in their own review (see steps 14 and 15). With the implementation of Step Plus, and the rule that the highest department recommendation becomes the action submitted to the Dean's Office, the joint department's review is no longer required to take place prior to the home department. In short, a candidate's joint department(s) and home department may conduct their reviews concurrently, and both are expected to meet the deadline for submission of the candidate's dossier to their dean's office. This change is effective with the 2017- 2018 review cycle and will be included in the revision to APM UCD 220 and all of its procedures

August 13, 2018 – Annual Call 2018-2019

1. **New – Step Plus Supplements:** No new Step Plus Supplements will be awarded for actions that result in a greater-than-one-step advancement. The supplement was created to make up for the fact that the campus was phasing out accelerations-in-time for merit actions and to incentivize candidates to wait for normative time to pursue their action during the pilot. The Step Plus pilot ended with the 2016-2017 review cycle, which was the last year that acceleration-in-time merit actions were permitted. The only acceleration-in-time option that remains permissible is for promotions; however, those acceleration-in-time promotions are limited to a one-step promotion. Now that acceleration-in-time merit actions are no longer permitted, the supplement no longer serves a purpose; indeed, it was never originally envisioned to last beyond the three-year Step Plus pilot. The existing supplements awarded during the pilot (through the 2016-2017 review cycle) will continue through their current end dates at their current rate.

September 20, 2019 – Annual Call 2019-2020

1. **Reminder – Advancement Actions and Step Requests:** Departments should not ask academic appointees what step they want or believe they deserve for their advancement actions. Candidates have the discretion to accelerate in time for promotions (which are 1.0-step advancements only), and have the discretion to request a deferral or postponement. Otherwise, departments are required to evaluate all candidates for 0, 1.0, 1.5, and 2.0-step advancements.

Senate Faculty Survey

Start of Block: General

Q1 Were you a faculty member at UC Davis prior to Step Plus?

☐ Yes

☐ No

Q2 As a candidate for advancement, I have spent less time preparing my dossiers in the years under Step Plus than I did before the implementation of Step Plus.

☐ Strongly agree

☐ Agree

☐ Neither agree nor disagree

☐ Disagree

☐ Strongly disagree

☐ N/A

Q3 Within the dossier, I have spent less time preparing my personal statement in the years under Step Plus than I did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q4 I spent less time reviewing dossiers at the departmental or divisional level in the years under Step Plus than I did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q5 Criteria for 1.0, 1.5, and 2.0 step merits are clearer now under Step Plus than the criteria for merits and accelerations were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q6 Criteria for promotions are clearer now under Step Plus than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q7 Criteria for merits to barrier steps (Step 6.0 and above scale) are clearer now under Step Plus than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q8 Criteria for recommending 1.0 step are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q9 Criteria for recommending 1.5 steps are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q10 Criteria for recommending 2.0 steps are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q11 In my department, outstanding performances in service and teaching are rewarded with rapid advancement more frequently now than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q12 I understand that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q13 My department voting procedures clearly recognize that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q14 Merits and promotions are awarded more equitably in my department than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q15 Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q16 Receiving a 1.0 step advancement is a sign of good work.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q17 I feel (or would feel) demoralized receiving 1.0 step advancement.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q18 I think this demoralization is an inherent defect of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q19 This demoralization reflects poor communication of the criteria for an advancement.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q20 I have received merit and/or promotion at an appropriate rate under the Step Plus system.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q21 If I receive an additional half step for outstanding performance in one area, I deserve an additional half step each time I go up for a merit if I am performing at the same level as before.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree
- ☐ N/A

End of Block: General

Start of Block: Background Information

Q22 How many years have you been at UC Davis?

- ☐ 3 or fewer
 - ☐ 4-6
 - ☐ 7-12
 - ☐ More than 12
-

Q23 What is your current rank?

- ☐ Assistant
 - ☐ Associate
 - ☐ Professor, Step 1.0-5.5
 - ☐ Professor, Step 6.0-9.5
 - ☐ Professor, Above Scale
-

Q24 Select your School or College.

- ☐ College of Agricultural and Environmental Sciences
- ☐ College of Biological Sciences
- ☐ College of Engineering
- ☐ College of Letters and Science
- ☐ Graduate School of Management
- ☐ School of Education
- ☐ School of Law
- ☐ School of Medicine
- ☐ School of Nursing
- ☐ School of Veterinary Medicine

End of Block: Background Information

Start of Block: Direct Experience with Step Plus System

Q25 Were you reviewed for a merit action under the previous acceleration in time system?

☐ Yes

☐ No

Q26 Did you ever accelerate in time under the previous system?

☐ Yes

☐ No

Q27 Have you ever received an additional 0.5 step under Step Plus?

☐ Yes

☐ No

Q28 Have you ever received an additional 1.0 step under Step Plus?

☐ Yes

☐ No

Q29 Have you applied for a promotion under Step Plus?

☐ Yes

☐ No

Q30 Please select the type of promotion you applied for under Step Plus.

- ☐ Assistant to Associate
 - ☐ Associate to Professor
 - ☐ N/A
-

Q31 Was your application for a promotion successful?

- ☐ Yes
 - ☐ No
 - ☐ N/A
-

Q32 Have you applied for an advancement that included achieving or surpassing a barrier step (Step 6.0 or above scale)?

- ☐ Yes
 - ☐ No
-

Q33 Please select the barrier step.

- ☐ Step 6.0
 - ☐ Above Scale
-

Q34 Was your application successful?

☐ Yes

☐ No

☐ N/A

Q35 Has your department discussed Step Plus criteria?

☐ Yes

☐ No

Q36 Select how frequently your department discusses Step Plus criteria.

☐ Once a year

☐ Twice a year

☐ Other _____

End of Block: Direct Experience with Step Plus System

Start of Block: Knowledge/Perceptions of Step Plus

Q37 I am knowledgeable about the Step Plus criteria.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q38 Step Plus criteria is applied uniformly across all actions (e.g., merit, promotion).

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q39 The Step Plus system is fair.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q40 The former acceleration in time system was fair.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q41 I am knowledgeable about the Academic Personnel Manual (APM) criteria for merit and promotion.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree
- ☐ N/A

End of Block: Knowledge/Perceptions of Step Plus

Start of Block: Comments

Q42 Please provide additional comments regarding how the Step Plus system improved, failed to improve, or worsened the academic personnel advancement process.

Q43 Do you see trends regarding 1.5 and 2.0 step actions since Step Plus went into effect?

End of Block: Comments

Department Chair Survey

Start of Block: Experience

Q1 Did you serve on CAP, FPC, or as Department Chair for at least one year under the previous acceleration in time system? Please select all that apply.

☐ CAP

☐ FPC

☐ Department Chair

Q2 Please select the number of years you served on [\\${Q1/ChoiceDescription/1}](#) under the previous acceleration in time system.

☐ 1

☐ 2

☐ 3

☐ More than 3 _____

Q3 Please select the number of years you served on an [\\${Q1/ChoiceDescription/2}](#) under the previous acceleration in time system.

☐ 1

☐ 2

☐ 3

☐ More than 3 _____

Q4 Please select the number of years you served as [\\${Q1/ChoiceDescription/3}](#) under the previous acceleration in time system.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q5 Did you serve on CAP, FPC, or as Department Chair for at least one year under Step Plus? Please select all that apply.

- ☐ CAP
- ☐ FPC
- ☐ Department Chair
-

Q6 Please select the number of years you served on [\\${Q5/ChoiceDescription/1}](#) under Step Plus.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q7 Please select the number of years you served on an [\\${Q5/ChoiceDescription/2}](#) under Step Plus.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q8 Please select the number of years you served as [\\${Q5/ChoiceDescription/3}](#) under Step Plus.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q9 How many years have you been at UC Davis?

- ☐ 3 or fewer
- ☐ 4-6
- ☐ 7-12
- ☐ More than 12

End of Block: Experience

Start of Block: General

Q10 Please answer from your perspective as a Department Chair.

If you have any comments on the questions, please provide them in the comments section at the end of the survey.

Q11 Department staff spend less time preparing and processing dossiers for regular merits in the years under Step Plus than they did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q12 Department staff spend less time preparing and processing dossiers for promotions in the years under Step Plus than they did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q13 Department staff spend less time preparing and processing dossiers for merits to barrier steps (Step 6.0 and above scale) in the years under Step Plus than they did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q14 Candidates in my department spend less time preparing dossiers in the years under Step Plus than they did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q15 Faculty in my department spend less time reviewing dossiers at the departmental or divisional level now than they did before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q16 Criteria for 1.0, 1.5, and 2.0 step merits are clearer now under Step Plus than the criteria for merits and accelerations were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q17 Criteria for promotions are clearer now under Step Plus than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q18 Criteria for merits to barrier steps (Step 6.0 and above scale) are clearer now than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q19 Criteria for recommending 1.0 step are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q20 Criteria for recommending 1.5 steps are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q21 Criteria for recommending 2.0 steps are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q22 In my department, outstanding performances in service and teaching are rewarded with rapid advancement more frequently now than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q23 I should establish the expectations needed for my faculty to obtain a normal (1.0 step) merit.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q24 I understand that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service)

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q25 My department voting procedures clearly recognize that, under the Step Plus system, additional half-step advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q26 Merits and promotions are awarded more equitably in my department than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q27 Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree
- ☐ N/A

End of Block: General

Start of Block: Comments

Q28 Please answer from your perspective as a Department Chair.

Q29 Please provide additional comments regarding how the Step Plus system improved, failed to improve, or worsened the academic personnel advancement process.

Q30 Do you see trends regarding 1.5 and 2.0 step actions since Step Plus went into effect?

End of Block: Comments

CAP and FPC Survey

Start of Block: Experience

Q1 Did you serve on CAP, FPC, or as Department Chair for at least one year under the previous acceleration in time system? Please select all that apply.

☐ CAP

☐ FPC

☐ Department Chair

Q2 Please select the number of years you served on [\\${Q1/ChoiceDescription/1}](#) under the previous acceleration in time system.

☐ 1

☐ 2

☐ 3

☐ More than 3 _____

Q3 Please select the number of years you served on an [\\${Q1/ChoiceDescription/2}](#) under the previous acceleration in time system.

☐ 1

☐ 2

☐ 3

☐ More than 3 _____

Q4 Please select the number of years you served as [\\${Q1/ChoiceDescription/3}](#) under the previous acceleration in time system.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q5 Did you serve on CAP, FPC, or as Department Chair for at least one year under Step Plus? Please select all that apply.

- ☐ CAP
- ☐ FPC
- ☐ Department Chair
-

Q6 Please select the number of years you served on [\\${Q5/ChoiceDescription/1}](#) under Step Plus.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q7 Please select the number of years you served on an [\\${Q5/ChoiceDescription/2}](#) under Step Plus.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q8 Please select the number of years you served as [\\${Q5/ChoiceDescription/3}](#) under Step Plus.

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ More than 3 _____
-

Q9 How many years have you been at UC Davis?

- ☐ 3 or fewer
- ☐ 4-6
- ☐ 7-12
- ☐ More than 12

End of Block: Experience

Start of Block: General

Q10 Please answer from your perspective as a CAP and/or FPC member.

If you have any comments on the questions, please provide them in the comments section at the end of the survey.

Q11 Criteria for 1.0, 1.5, and 2.0 step merits are clearer now under Step Plus than the criteria for merits and accelerations were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q12 Criteria for promotions are clearer now under Step Plus than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q13 Criteria for merits to barrier steps (Step 6.0 and above scale) are clearer now than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q14 Criteria for recommending 1.0 step are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q15 Criteria for recommending 1.5 steps are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q16 Criteria for recommending 2.0 steps are clear and appropriate.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q17 Outstanding performances in service and teaching are rewarded with rapid advancement more frequently now than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q18 Merits and promotions are awarded more equitably across departments than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q19 Merits and promotions are awarded more equitably across departments, schools and colleges than they were before the implementation of Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q20 The information necessary for deciding if a candidate should be recommended for no advancement, 1.0 step, 1.5 steps or 2.0 steps is found in the dossier.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q21 Some departments routinely ask for additional steps for their members.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q22 Some departments do not routinely seek additional steps for their members.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q23 Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q24 New committee members are given an adequate orientation to Step Plus.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q25 Departments apply Step Plus standards uniformly.

- ☐ Strongly agree
 - ☐ Agree
 - ☐ Neither agree nor disagree
 - ☐ Disagree
 - ☐ Strongly disagree
 - ☐ N/A
-

Q26 Colleges/Schools apply Step Plus standards uniformly.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neither agree nor disagree
- ☐ Disagree
- ☐ Strongly disagree
- ☐ N/A

End of Block: General

Start of Block: Comments

Q27 Please answer from your perspective as a CAP and/or FPC member.

Q28 Please provide additional comments regarding how the Step Plus system improved, failed to improve, or worsened the academic personnel advancement process.

Q29 Do you see trends regarding 1.5 and 2.0 step actions since Step Plus went into effect?

End of Block: Comments

Senate Faculty Survey Results

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Response rate: 21% (615 surveys submitted out of 2932 possible)

Table 1. Survey respondents by arrival to UC Davis (Q1)

	Arrived before Step Plus	Arrived since Step Plus	Total
Count	405	161	566

Table 2. Survey respondents by current rank (Q23)

	Assistant	Associate	Professor, Step 1.0-5.5	Professor, Step 6.0-9.5	Professor, Above Scale	Total
Count	111	103	170	112	67	563

Table 3. Survey respondents by arrival to UC Davis (Q1) and current rank (Q23)

	Arrived before Step Plus	Arrived since Step Plus	Total
Assistant	8	103	111
Associate	71	32	103
Professor, Step 1.0-5.5	149	21	170
Professor, Step 6.0-9.5	109	3	112
Professor, Above Scale	67	0	67

Table 4. Survey Respondents by School/College (Q24) and by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
College of Agricultural and Environmental Sciences	65	26	91
College of Biological Sciences	33	10	43
College of Engineering	33	24	57
College of Letters and Science	136	51	187
Graduate School of Management	5	2	7
School of Education	8	3	11
School of Law	9	2	11
School of Medicine	77	27	104
School of Nursing	4	1	5
School of Veterinary Medicine	35	13	48

Table 5. Survey Respondents by School/College (Q24) and by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
College of Agricultural and Environmental Sciences	20	15	22	19	15	91
College of Biological Sciences	7	2	14	8	12	43
College of Engineering	17	8	15	11	6	57
College of Letters and Science	33	42	55	38	19	187
Graduate School of Management	0	3	1	2	0	6
School of Education	1	6	4	0	0	11
School of Law	1	0	5	3	2	11
School of Medicine	23	17	31	21	12	104
School of Nursing	1	2	2	0	0	5
School of Veterinary Medicine	8	8	21	10	1	48

Table 6. Criteria for recommending 1.0 step are clear and appropriate (Q8) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	36	25	61
Agree	219	82	301
Neither agree nor disagree	57	26	83
Disagree	53	20	73
Strongly disagree	37	8	45
N/A	3	0	3

Table 7. Criteria for recommending 1.0 step are clear and appropriate (Q8) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	18	8	17	12	6	18
Agree	61	50	91	69	29	61
Neither agree nor disagree	18	17	26	12	8	18
Disagree	10	22	18	8	14	10
Strongly disagree	4	6	17	8	9	4
N/A	0	0	1	0	1	0

Table 8. Criteria for recommending 1.5 steps are clear and appropriate (Q9) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	24	13	37
Agree	162	57	219
Neither agree nor disagree	66	28	94
Disagree	86	44	130
Strongly disagree	67	19	86
N/A	3	0	3

Table 9. Criteria for recommending 1.5 steps are clear and appropriate (Q9) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	8	4	12	7	6	37
Agree	41	39	71	53	15	219
Neither agree nor disagree	20	15	28	21	7	91
Disagree	29	29	33	19	20	130
Strongly disagree	13	16	25	12	18	84
N/A	0	0	1	0	1	2

Table 10. Criteria for recommending 2.0 steps are clear and appropriate (Q10) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	19	11	30
Agree	136	55	191
Neither agree nor disagree	58	23	81
Disagree	109	48	157
Strongly disagree	81	23	104
N/A	3	0	3

Table 11. Criteria for recommending 2.0 steps are clear and appropriate (Q10) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	6	4	9	7	4	30
Agree	39	34	62	40	16	191
Neither agree nor disagree	15	12	27	16	8	78
Disagree	34	32	39	36	16	157
Strongly disagree	16	20	32	13	22	103
N/A	0	0	1	0	1	2

Table 12. Department voting procedures (Q13) by arrival

My department voting procedures clearly recognize that, under the Step Plus system, additional advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	67	0	67
Agree	180	0	180
Neither agree nor disagree	46	0	46
Disagree	67	0	67
Strongly disagree	43	0	43
N/A	4	0	4

Table 13. Department voting procedures (Q13) by rank

My department voting procedures clearly recognize that, under the Step Plus system, additional advancements require performance that is outstanding, not just above average or exceeding expectations, in at least one category (research/creative activity, teaching, service).

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	1	11	26	21	7	66
Agree	2	33	67	50	27	179
Neither agree nor disagree	0	6	16	14	10	46
Disagree	3	13	23	14	13	66
Strongly disagree	2	8	15	9	9	43
N/A	0	0	2	0	1	3

Table 14. Faculty advancement requests (Q15) by arrival

Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	112	53	165
Agree	175	48	223
Neither agree nor disagree	62	30	92
Disagree	40	18	58
Strongly disagree	16	10	26
N/A	3	1	4

Table 15. Faculty advancement requests (Q15) by rank

Faculty should have the option to ask for a specific merit advancement and document their rationale for the proposed merit advancement in their statement.

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	34	37	46	30	16	163
Agree	34	38	65	50	35	222
Neither agree nor disagree	20	14	32	16	8	90
Disagree	14	13	16	10	5	58
Strongly disagree	7	1	11	5	2	26
N/A	1	0	0	1	1	3

Table 16. Receiving a 1.0 step advancement is a sign of good work (Q16) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	48	8	56
Agree	229	69	298
Neither agree nor disagree	80	46	126
Disagree	41	29	70
Strongly disagree	9	8	17
N/A	1	1	2

Table 17. Receiving a 1.0 step advancement is a sign of good work (Q16) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	7	5	18	15	11	56
Agree	51	60	78	73	35	297
Neither agree nor disagree	28	23	44	16	13	124
Disagree	18	12	26	7	5	68
Strongly disagree	6	3	4	1	3	17
N/A	1	0	0	0	0	1

Table 18. I feel (or would feel) demoralized receiving 1.0 step advancement (Q17) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	39	19	58
Agree	99	55	154
Neither agree nor disagree	101	37	138
Disagree	119	44	163
Strongly disagree	48	5	53
N/A	2	1	3

Table 19. I feel (or would feel) demoralized receiving 1.0 step advancement (Q17) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	7	5	18	15	11	56
Agree	51	60	78	73	35	297
Neither agree nor disagree	28	23	44	16	13	124
Disagree	18	12	26	7	5	68
Strongly disagree	6	3	4	1	3	17
N/A	1	0	0	0	0	1

Table 20. Appropriate rates of advancement (Q20) by arrival*I have received merit and/or promotion at an appropriate rate under the Step Plus system.*

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	67	16	83
Agree	193	60	253
Neither agree nor disagree	61	23	84
Disagree	58	21	79
Strongly disagree	15	3	18
N/A	13	36	49

Table 21. Appropriate rates of advancement (Q20) by rank*I have received merit and/or promotion at an appropriate rate under the Step Plus system.*

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	10	14	24	25	10	83
Agree	43	53	75	53	29	253
Neither agree nor disagree	15	15	25	16	12	83
Disagree	12	16	30	10	10	78
Strongly disagree	2	2	9	1	4	18
N/A	29	3	7	7	2	48

Table 22. Half-step for advancement (Q21) by arrival

If I receive an additional half step for outstanding performance in one area, I deserve an additional half step each time I go up for merit if I am performing at the same level as before.

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	43	28	71
Agree	147	64	211
Neither agree nor disagree	111	38	149
Disagree	74	19	93
Strongly disagree	19	3	22
N/A	12	7	19

Table 23. Half-step for advancement (Q21) by rank

If I receive an additional half step for outstanding performance in one area, I deserve an additional half step each time I go up for merit if I am performing at the same level as before.

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	19	11	24	16	1	71
Agree	39	49	72	34	17	211
Neither agree nor disagree	34	23	41	27	24	149
Disagree	12	15	17	30	19	93
Strongly disagree	2	4	10	1	4	21
N/A	5	1	6	4	1	17

Table 24. I am knowledgeable about Step Plus criteria (Q37) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	108	18	126
Agree	212	73	285
Neither agree nor disagree	59	31	90
Disagree	16	28	44
Strongly disagree	6	3	9
N/A	1	1	2

Table 25. I am knowledgeable about Step Plus criteria (Q37) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	8	16	43	37	21	125
Agree	49	61	90	59	26	285
Neither agree nor disagree	25	16	23	13	13	90
Disagree	21	8	12	0	3	44
Strongly disagree	3	1	0	3	2	9
N/A	1	0	1	0	0	2

Table 26. Step Plus criteria is applied uniformly across all actions (Q38) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	36	5	41
Agree	124	39	163
Neither agree nor disagree	99	33	132
Disagree	90	44	134
Strongly disagree	49	22	71
N/A	3	11	14

Table 27. Step Plus criteria is applied uniformly across all actions (Q38) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	1	4	18	13	5	41
Agree	30	29	51	33	20	163
Neither agree nor disagree	27	20	43	28	14	132
Disagree	24	31	35	24	20	134
Strongly disagree	15	17	21	13	4	70
N/A	10	1	1	1	1	14

Table 28. The Step Plus system is fair (Q39) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	39	10	49
Agree	151	58	209
Neither agree nor disagree	109	43	152
Disagree	67	31	98
Strongly disagree	35	11	46
N/A	1	1	2

Table 29. The Step Plus system is fair (Q39) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	1	4	18	13	5	41
Agree	30	29	51	33	20	163
Neither agree nor disagree	27	20	43	28	14	132
Disagree	24	31	35	24	20	134
Strongly disagree	15	17	21	13	4	70
N/A	10	1	1	1	1	14

Table 30. The former acceleration system was fair (Q40) by arrival

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	21	0	21
Agree	117	4	121
Neither agree nor disagree	148	23	171
Disagree	83	7	90
Strongly disagree	23	1	24
N/A	8	119	127

Table 31. The former acceleration system was fair (Q40) by rank

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	0	0	6	8	7	21
Agree	4	9	43	33	32	121
Neither agree nor disagree	15	45	55	40	16	171
Disagree	5	16	37	22	10	90
Strongly disagree	0	6	12	6	0	24
N/A	83	26	15	3	0	127

Table 32. APM Knowledge (Q41) by arrival*I am knowledgeable about the Academic Personnel Manual (APM) criteria for merit and promotion.*

	Arrived before Step Plus	Arrived since Step Plus	Total
Strongly agree	100	14	114
Agree	217	75	292
Neither agree nor disagree	50	28	78
Disagree	32	31	63
Strongly disagree	2	3	5
N/A	0	3	3

Table 33. APM Knowledge (Q41) by rank*I am knowledgeable about the Academic Personnel Manual (APM) criteria for merit and promotion.*

	Assistant	Associate	Professor, Step 1.0- 5.5	Professor, Step 6.0- 9.5	Professor, Above Scale	Total
Strongly agree	9	15	32	33	24	113
Agree	42	58	111	51	30	292
Neither agree nor disagree	25	12	17	19	5	78
Disagree	27	14	9	7	6	63
Strongly disagree	2	2	0	1	0	5
N/A	2	1	0	0	0	3