

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

Thursday, June 3, 2021

2:10 – 4:00 p.m.

Zoom

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2. Announcements by the President – None	
3. Announcements by the Vice Presidents – None	
4. Announcements by the Chancellor – None	
5. Announcements by the Deans, Directors or other Executive Officers – None	
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7. Reports of Special Committees	
8. Reports of Standing Committees	
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Judy Van de Water, Secretary

*Consent Calendar. Items will be removed from the Consent Calendar on the request of any member of the Representative Assembly.

All voting members of the Academic Senate (and others on the ruling of the Chair) shall have the privilege of attendance and the privilege of the floor at meetings of the Representative Assembly, but only members of the Representative Assembly may make or second motions or vote.

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Representative Assembly of the
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MEETING SUMMARY

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| 1. November 5, 2020 Meeting Summary | 3 |
| 2. Announcements by the President – None | |
| 3. Announcements by the Vice Presidents – None | |
| 4. Announcements by the Chancellor – None | |
| a. State of the Campus Address – Chancellor Gary May | |
| • View presentation here. | |
| 5. Announcements by the Deans, Directors or other Executive Officers – None | |
| 6. Special Orders | |
| a. Remarks by Davis Division Chair Richard Tucker | |
| • Planning for fall quarter: Provost Croughan has created a workgroup for return to in-person instruction. | |
| 7. Reports of standing committees | |
| a. Public Service | |
| i. Confirmation of the 2020-2021 Distinguished Scholarship Public Service Award Recipients | 6 |
| • 78 in favor, 0 opposed. Approved. | |
| b. Distinguished Teaching Award | |
| i. Confirmation of the 2020-2021 Distinguished Teaching Award Recipients | 8 |
| • 76 in favor, 0 opposed. Approved. | |
| c. Faculty Distinguished Research Award | |
| i. Confirmation of the 2020-2021 Faculty Distinguished Research Award Recipient | 10 |
| • 76 in favor, 0 opposed. Approved. | |
| d. Elections, Rules and Jurisdiction | |
| i. Proposed Revision to Davis Division Regulation 521: University of California Entry Level Writing Requirement | 11 |
| • 72 in favor, 1 opposed. Approved. | |
| ii. Proposed Revision to Davis Division Regulation A545: Passed or Not Passed Grading | 13 |
| • 73 in favor, 1 opposed. Approved. | |
| iii. Proposed Revision to Davis Division Regulation A546: Satisfactory or Unsatisfactory Grading | 15 |
| • 76 in favor, 1 opposed. Approved. | |
| 8. Petitions of Students | |
| 9. Unfinished Business | |

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10. University and Faculty Welfare

11. New Business

12. Informational Items

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| a. Revision of the College of Agricultural and Environmental Sciences Bylaws and Regulations | 17 |
| b. Revision of the College of Engineering Bylaws and Regulations | 36 |

Judy Van de Water, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

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PROPOSED REVISION OF DAVIS DIVISION BYLAW 88:

Committee on Public Service

Submitted and endorsed by the Committee on Public Service.

Endorsed by Executive Council.

Rationale: The revision to Davis Division Bylaw 88, Committee on Public Service, is the addition of ex-officio Vice Provost of Public Scholarship in 88.A and 88.B.2.C after the previous revision to the Bylaw that removed the Vice Chancellor of Research. The office of Public Scholarship and Engagement is a newer unit on campus. By including the Vice Provost as ex-officio to the committee membership, this will help allow for communication on new campus initiatives and give the opportunity for the Senate to opine on such initiatives. There are no expected impacts to other committees or Departments with these modifications.

Proposed Revision: Davis Division Bylaw 88 shall be amended as follows. Deletions are indicated by strikeout; additions are in bold type.

88. Public Service

- A. This Committee shall consist of five Academic Senate members, two representatives appointed by the Davis Academic Federation, one undergraduate student representative, one graduate student representative, and as non-voting ex officio members, the Vice Provost and Associate Chancellor of Global Affairs, ~~and~~ the Dean of the Division of Continuing and Professional Education, **and the Vice Provost of Public Scholarship.** (Am. 3/16/93; 11/2/92; 10/20/97; 6/8/98) (Am. 9/1/2012, 9/1/2020)
- B. The duties of the committee shall be:
1. To review and advise on non-personnel matters relating to the involvement of faculty in public service activities, and to advise the Chief Campus Officer and the Academic Senate on such matters.
 2. To advise the Chief Campus Officer either on its own initiative or at their request on:
 - a. Goals and objectives of campus public service programs and policies;
 - b. Effectiveness of these programs and policies;
 - c. Such other matters as may be referred to the committee by the President, the Chief Campus Officer, Vice Provost and Associate Chancellor of Global Affairs, ~~or~~ the Dean of the Division of Continuing and Professional Education, **or the**

Vice Provost of Public Scholarship. (Renum 7/29/2011) (Am. 12/15/1967, 9/1/2020)

3. To review new offerings and the approval process for courses carrying Continuing and Professional Education credit. (Am. 9/1/2020)
4. To establish policies and criteria for admission to Continuing and Professional Education courses, including concurrent courses. (Am. 9/1/2020)
5. To advise the Dean of the Division of Continuing and Professional Education and the departments, divisions, schools, colleges, Graduate Studies, the Davis Division, and when appropriate, Cooperative Extension on: (Am. 9/1/2012, 9/1/2020)
 - a. Criteria for approval of Continuing and Professional Education courses offered for Continuing and Professional Education credit; and (Am. 9/1/2020)
 - b. Criteria for appointment and retention of Continuing and Professional Education instructors; and (effect 3/16/1979, Am. 9/1/2020)
 - c. Post-baccalaureate certificates offered solely through Continuing and Professional Education. (En. 9/1/2012, Am. 9/1/2020)
6. To select up to four members of the faculty to receive a Distinguished Scholarly Public Award. The name of the recipients shall be presented to the Representative Assembly for confirmation at its regular meeting in the winter or spring term of each academic year. (Renum 7/29/2011)

**PROPOSED REVISION OF DAVIS DIVISION REGULATION 524:
Posthumous Recognition of Undergraduate Achievements**

Submitted by the Academic Senate Chair.

Endorsed by Executive Council.

Rationale: The proposed revision to Davis Division Regulation 524: Posthumous Recognition of Undergraduate Achievements is intended to reconcile differences between the current version of Davis Division Regulation 524 and the “Model Policy for the Awarding of Posthumous Undergraduate Degrees” which was endorsed by the systemwide Academic Council in July 2018.

Proposed Revision: Davis Division Regulation 524 shall be amended as follows. Deletions are indicated by strikeout; additions are in bold type.

524. Posthumous Recognition of Undergraduate Achievements

- (A) A student with a cumulative grade point average of 2.00 or higher who had ~~completed all requirements for the Bachelor’s Degree, or was within 15 quarter units of having done so~~ **senior-level standing**, shall be awarded the Bachelor’s Degree.
- (B) A student with a cumulative grade point average of 2.00 or higher who had completed 84.0 or more quarter units, but who would not have been eligible for the award of the Bachelor’s Degree under the provisions of Paragraph (A) above, shall be posthumously awarded a certificate recognizing the student’s upper division standing. (En. 2/02/90; Am. 02/03/06; effective 02/03/06)

**PROPOSED REVISION OF DAVIS DIVISION REGULATION 521:
University of California Entry Level Writing Requirement**

Submitted by the Academic Senate Chair.

Endorsed by Executive Council.

Rationale: The proposed revision to Davis Division Regulation 521: University of California Entry Level Writing Requirement adds flexibility to the regulation allowing for completion of the Entry Level Writing Requirement in Summer Session(s) 2021 when a student passes a course with a grade of Passed or a C- or better. This allows students to take these courses on a Passed/Not Passed basis.

Proposed Revision: Davis Division Regulation 521 shall be amended as follows. Deletions are indicated by strikeout; additions are in bold type.

521. University of California Entry Level Writing Requirement (En. 6/1/2006)

- A. The University of California Entry Level Writing Requirement is a reading and writing proficiency requirement governed by Academic Senate Regulation 636 and this Divisional Regulation. (En. 6/1/2006, Am. 9/1/2018)
- B. Prior to enrollment at the University of California, each student may satisfy the University of California Entry Level Writing Requirement as specified by Academic Senate Regulation 636. (En. 6/1/2006, Am. 9/1/2018)
- C. A student who has not satisfied the University of California Entry Level Writing Requirement prior to enrollment in the University of California, Davis must satisfy the requirement either (En. 6/1/2006)
 - 1. by passing the University of California Analytical Writing Placement Exam administered Systemwide or on the Davis campus, or (En. 6/1/2006)
 - 2. by passing, with a grade of at least C or above, one of the Entry Level Writing Requirement courses certified by the Committee on Preparatory Education and Undergraduate Council. A student who receives a final grade of C- or below has not fulfilled the University of California Entry Level Writing Requirement and may repeat the course(s). The list of certified courses will be maintained by the Committee on Preparatory Education and publicized by the Director of Entry Level Writing. (En. 6/1/2006, Am. 9/1/2018)
 - a. For spring quarter 2020, summer session(s) 2020, fall quarter 2020, winter quarter 2021, ~~and~~ spring quarter 2021, **and summer session(s) 2021**, a student can satisfy the University Entry Level Writing Requirement by passing, with a grade of Passed or at least C-, one of the Entry Level Writing Requirement courses certified by the Committee on Preparatory Education and Undergraduate Council. The list of certified courses will be maintained by the Committee on Preparatory Education and publicized by the Director of Entry Level Writing.

- D. If a student is identified as an English language learner (ESL) on the University of California Analytic Writing Placement Exam, or through a placement exam on the Davis campus as determined by the Director for Entry Level Writing, the student will be placed into the ESL pathway for Entry Level Writing. The procedure for the ESL pathway will be maintained by the Committee on Preparatory Education and publicized by the Director of Entry Level Writing and the Director of ESL. (En. 6/1/2006, Am. 9/1/2018)
- E. In accordance with Academic Senate Regulation 636.D, students placed into the ESL pathway will have three quarters plus one quarter for each required ESL course to meet the requirement. Other students must satisfy the University of California Entry Level Writing Requirement as early as possible during the first year in residence at the University of California. A student who has not done so within the prescribed timeframe will not be eligible to enroll for additional quarters unless the student has been granted an extension by the Committee on Preparatory Education. The Committee on Preparatory Education may delegate the authority to grant such extensions to that student's college Dean, or adviser as authorized by the Dean. In the case of such delegation, the Dean shall submit an annual report to the Committee on Preparatory Education. (En. 6/1/2006, Am. 9/1/2016, 9/1/2018)

**PROPOSED REVISIONS OF DAVIS DIVISION REGULATION A545:
Passed or Not Passed Grading**

Submitted by the Academic Senate Chair.

Endorsed by Executive Council.

Rationale: The proposed revision to Davis Division Regulation A545: Passed or Not Passed Grading would allow for grading flexibility for undergraduate students during the COVID-19 public health emergency.

- A545.A.1: would allow for grading flexibility for undergraduate students not in good academic standing for Summer Session(s) 2021. Students not in good academic standing must seek a petition and approval through their respective dean's office.
- A545.B.1: would allow for grading flexibility for undergraduate students to extend into Summer Session(s) 2021.

Proposed Revision: Davis Division Regulation A545 shall be amended as follows. Deletions are indicated by strikeout; additions are in bold type.

A545. Passed or Not Passed Grading

- (A) A regular undergraduate student in good standing may opt to take specific courses on a Passed (P) or Not Passed (NP) basis up to the limits specified in Davis Division Regulation A545(B). (Am. by mail ballot 5/7/74)
- 1) For spring quarter 2020, summer session(s) 2020, fall quarter 2020, winter quarter 2021, ~~and~~ spring quarter 2021, **and summer session(s) 2021**, an undergraduate student not in good standing may opt to take specific courses on a Passed (P) or Not Passed (NP) basis up to the limits specified in the Davis Division Regulation A545(B) via petition and approval by the dean's office.
- (B) Not more than one-third of the units taken in residence on the Davis campus and presented for graduation by an undergraduate student may be in courses taken on a Passed or Not Passed basis, including courses graded in accordance with Davis Division Regulations A545(C) and A545(D). The faculty of any college or school on the Davis campus may establish regulations that are more restrictive regarding use of the Passed or Not Passed option by its students.
- 1) Spring quarter 2020, summer session(s) 2020, fall quarter 2020, winter quarter 2021, ~~and~~ spring quarter 2021, **and summer session(s) 2021** units taken Passed/Not Passed are exempt from the one-third calculation in both the numerator (Passed/Not Passed units taken) and the denominator (total units taken).

- (C) With approval of the appropriate department or division and of the appropriate committees on courses of instruction, the grades assigned by instructors in specific undergraduate courses may be, for undergraduate students, Passed or Not Passed only and, for graduate students, Satisfactory or Unsatisfactory only.
- (D) Each special study, directed group study, or other variable-unit undergraduate course shall be graded for undergraduate students on a Passed or Not Passed only basis and for graduate students on a Satisfactory or Unsatisfactory only basis unless specific approval for the use of a letter grade is given by the appropriate committees on courses of instruction.
- (E) For courses being undertaken on a Passed or Not Passed basis, the grade of Passed shall be awarded only for work which otherwise would receive a grade of C- or better. Units thus earned shall be counted in satisfaction of degree requirements, but courses undertaken on a Passed or Not Passed basis shall be disregarded in determining a student's grade point average.

**PROPOSED REVISION OF DAVIS DIVISION REGULATION A546:
Satisfactory or Unsatisfactory Grading**

Submitted by the Academic Senate Chair.

Endorsed by Executive Council.

Rationale: The proposed revision to Davis Division Regulation A546: Satisfactory or Unsatisfactory Grading would allow for grading flexibility for graduate students in summer session(s) terms 2021 during the COVID-19 public health emergency.

Proposed Revision: Davis Division Regulation A546 shall be amended as follows. Deletions are indicated by strikeout; additions are in bold type.

A546. Satisfactory or Unsatisfactory Grading

- (A) Under such rules as the Graduate Council and the appropriate program may determine, a graduate student in good standing (or who receives approval from the Office of Graduate Studies) is authorized to undertake, in addition to courses graded on a Satisfactory or Unsatisfactory only basis, one course each term on an optional Satisfactory (S) or Unsatisfactory (U) basis. After a graduate student has been advanced to candidacy for the Ph.D. degree, the student may undertake an unlimited number of courses on a Satisfactory or Unsatisfactory basis. (Am. 9/1/2018)
 - 1) For spring term and summer session(s) 2020: A graduate student in good standing (or who receives approval from the Office of Graduate Studies) is authorized to undertake, in addition to courses graded on a Satisfactory or Unsatisfactory only basis, not more than three courses in each term or session on an optional Satisfactory (S) or Unsatisfactory (U) basis.
 - 2) For fall term 2020, winter term 2021, ~~and~~ spring term 2021, **and summer session(s) 2021:** A graduate student in good standing (or who receives approval from the Office of Graduate Studies) is authorized to undertake, in addition to courses graded on a Satisfactory or Unsatisfactory only basis, not more than two courses on an optional Satisfactory (S) or Unsatisfactory (U) basis.
- (B) With the consent of the appropriate program and approval of the Graduate Council and of the Davis Division Committee on Courses of Instruction, the grades assigned in specific graduate courses may be, for graduate students, Satisfactory or Unsatisfactory only and, for undergraduate students, Passed or Not Passed only.
- (C) Students enrolled in individual research or individual study graduate courses (299 or 299D) shall be graded on a Satisfactory or Unsatisfactory only basis.

- (D) In courses being undertaken on a Satisfactory or Unsatisfactory basis, the grade of Satisfactory shall be awarded only for work which otherwise would receive a grade of B- or better and shall be awarded in undergraduate courses only for work which otherwise would receive a grade of C- or better. Units thus earned shall be counted in satisfaction of degree requirements but disregarded in determining a student's grade point average. No credit shall be allowed for work graded Unsatisfactory.

Resolution of Thanks

The Academic Senate Public Service Committee annually recognizes individuals and groups for contributions to the broader community. This year, the committee would like to recognize the wider UC Davis community for their response to the COVID pandemic, and therefore proposes a resolution of thanks to the entire UC Davis community. This past year has brought many challenges, and our staff, faculty and students have contributed immensely to addressing these challenges through their hard work, innovation, and flexibility. All members of the UC Davis community should take pride in the way they have embraced the responsibility to protect one another's health and well-being and support one another's work under such difficult circumstances. Thank you for your leadership and commitment.

May 5, 2021

Richard Tucker

Chair, Davis Division of the Academic Senate

RE: Step Plus Workgroup Revised Report

Dear Richard,

The Step Plus Workgroup reconvened in April 2021 to review and discuss feedback gathered through the Senate's Request for Consultation (RFC) process. To summarize this process, the Workgroup submitted their initial report with recommendations at the end of January 2021 to the Senate. This report was distributed to Senate committees in early February 2021. Committees were asked to respond with comments by mid-March 2021. Associate Deans were also given an opportunity to submit comments. All comments were provided to the Workgroup for their consideration.

The Workgroup would first like to thank the Senate committees and Associate Deans who provided robust and thoughtful responses to the initial report. The preliminary report was drafted with an awareness that the Senate's consultation process would allow the Workgroup to receive input from a broad range of faculty to improve the report and refine its recommendations. As many responses acknowledged, the Workgroup's charge required members to negotiate a challenging balance between providing implementable recommendations that would align with policy and mitigate issues within the system while also preserving the positive aspects of Step Plus that data show are working well. Indeed, a clear consensus in the comments received is that the Step Plus system is working as it was intended to, with faculty advancing more equitably than under the previous Acceleration-in-Time system.

A common concern expressed in the feedback was that some of the recommendations would undo the critical progress made since the implementation of Step Plus. As faculty, we share in this concern and agree, as some committees proposed, that better education and mentoring on Step Plus – rather than significant guideline revisions – would help address recurring issues and improve the advancement process. It is important to note that many of the Workgroup's recommendations are not changes to existing practice, but rather are language revisions intended to better communicate said practice. This letter and the revised report aim to make this distinction clearer.

Step Plus Clarifications and Recommendations

As detailed in the enclosed report, the Workgroup's charge included formalizing the "interim" Step Plus guidelines and clarifying policy guidance. The Special Committee on the Assessment of Step Plus demonstrated that Step Plus has exceeded the minimum standard for "success" previously defined in the [Step Plus Success Criteria](#)¹ as data show that faculty rates of progress have improved and become more equitable in comparison with the previous Acceleration-in-Time system.² However, the Special Committee also identified areas within the system where there is room for improvement, particularly in terms of clarifying Step Plus guidance for promotions and merits to the "barrier steps" (i.e., Step 6 and Above Scale).

¹ The Step Plus Success Criteria was endorsed by Executive Council in 2014.

² See the [Report of the Step Plus Assessment Special Committee \(2020\)](#).

The Workgroup's Report clarifies the Step Plus guidelines for promotions and merits to Step 6 so that they can be more uniformly applied and reduce inconsistency across reviewers. These clarifications align with how promotions and merits to Step 6 are currently evaluated by reviewing bodies such as the Committee on Academic Personnel – Oversight Subcommittee (CAP) and therefore should not be perceived as changes to the system.

In addition to these clarifications, the Workgroup does recommend changes to the current guidelines for merits to and at Above Scale, specifically that these merits should be evaluated outside the Step Plus system. The Report explains the justification behind this particular proposal, but the Workgroup would like to highlight that:

- This recommendation would not preclude the rare and compelling case from ultimately being awarded a Step Plus advancement to Above Scale or at Above Scale.
- Faculty can still indicate support for such rare and compelling advancements in their comments when they vote, as can other reviewers.
- This recommendation would bring the Step Plus guidelines closer to actual practice, where such Step Plus advancements to and at Above Scale have been rare.
- This recommendation would also reduce workload for departments, as preparing dossiers for advancement to Above Scale is an extensive process that involves requesting external letters. Under our proposed changes, such dossiers would be prepared only in cases where the candidate is already at Professor Step 9 or 9.5.

To help mitigate the impact of the recommended changes for merits to Above Scale, the Workgroup proposes allowing candidates to receive a half-step advancement if they are at Step 9, may not yet meet the APM criteria for the high-level advancement to Above Scale, but who otherwise have a meritorious and balanced record. For these candidates who receive a half-step advancement from 9 to 9.5, the Workgroup also proposes that they have the option to be re-reviewed for advancement to Above Scale in two years rather than four.

Recommendations for Academic Affairs

The following recommendations concern the academic personnel process broadly and thus are being proposed separately for consideration by the Office of Academic Affairs. As a point of clarification, the Workgroup's role is only advisory on these matters; delegated authority over the administration of academic personnel resides with the Provost and the Vice Provost of Academic Affairs at UC Davis.³ However, the ability to propose systemwide changes to policy, as expressed by certain committees in the context of eliminating Professor Step 6 as a "barrier step," are beyond the Provost and Vice Provost's locally delegated authority. The Workgroup has therefore limited our recommendations to what is possible to implement at a local level.

Recommendation 1: Require candidates to submit complete student evaluations with comments for review period with advancement actions.

Response to Feedback and Rationale:

³ See [UCD DA 620: Administration of the Academic Personnel Program](#).

The Workgroup recognizes that student evaluations are only one component of a comprehensive teaching record. Like the [Special Committee on the Evaluation of Teaching \(SCET\)](#), we agree and recommend that “the evaluation of teaching must be informed from multiple sources, including (but not limited to) student evaluations of teaching (SET), peer evaluations of teaching, and self-assessment of teaching through reflective practices” (p. 2). As UC APM 210 states, “More than one kind of evidence shall accompany each review file” that demonstrates a candidate’s teaching effectiveness (p. 6). In the merit and promotion process, forms of evidence of teaching effectiveness include, but are not limited to: assessments of teaching provided in the department letter; peer comments provided in the departmental vote; peer evaluations of teaching (required for promotions); self-assessments of teaching in candidate statements; the Teaching, Advising and Curricular Development form on which teaching, mentoring, and curricular activities may be provided; and teaching evaluations.

The Workgroup received several comments regarding this recommendation, with some committees supportive and others concerned about how this requirement could disadvantage faculty, especially given the [evidence that student evaluations can reflect students’ racial and gender biases](#). Comments also expressed concern about the additional workload burden this requirement could create for departments and reviewing bodies. As faculty, we agree with our colleagues that student evaluations are imperfect assessments of teaching that can be subject to bias. However, the objective in making this recommendation is not to place a greater emphasis on what the Workgroup understands to be a flawed metric, but rather to promote a more holistic review process that is fairer to all candidates. UC APM 210 stipulates that all cases for advancement and promotion normally will include “evaluations and comments solicited from students **for most, if not all**, courses taught since the candidate’s last review” (p. 7; emphasis added). In practice, this policy has meant that while a candidate may only be required to submit two complete sets of evaluations, reviewing bodies still have the right to request complete evaluations for an entire review period. Therefore, departments are asked to retain all evaluations in the event that they are requested.⁴ This recommendation eliminates the ad hoc process through which reviewing bodies may request full evaluations and provides a consistent standard for all candidates. It should be noted that the current ad hoc process through which additional student evaluations may be requested can also be subject to bias and create unfairness, as some faculty may be asked to provide full sets of evaluations and others may not. Moreover, requiring only two complete sets of evaluations can actually undermine holistic review in that this small sample size can serve to amplify, rather than contextualize, certain comments.

While the Workgroup acknowledges that there are other teaching materials that could be required as some committee comments suggested – such as peer evaluations (which are already required for promotion) – we also understand that requesting other materials may be difficult to mandate in the short term, as teaching activities can vary significantly from unit to unit. As SCET noted in their report, “The landscape of current approaches to the evaluation of teaching at UC Davis could be described as ‘highly variable.’ There is very little consistency or commonality across units” (p. 5). Candidates are welcome to provide other forms of evidence of teaching effectiveness in their dossiers as listed above – some candidates, for example, link syllabi, course assignments, and other mentoring activities in their candidate statements.

In terms of workload concerns, it is important to note that the current requirement of only providing two complete sets of evaluations for a review period is an outdated requirement based on the previous history of evaluations being mainly paper rather than electronic. Over the past few years, more

⁴ See the [merit](#) and [promotion checklists](#) provided by Academic Affairs.

departments have transitioned to electronic evaluations, either by using the Academic Course Evaluation (ACE) system or other systems developed by their college or school. Moreover, the rapid transition to virtual operations has prompted the remaining departments to digitize their processes, including the collection of student evaluations. MyInfoVault (MIV) allows candidates to link all their evaluations, so that there is no longer a need to send boxes of paper evaluations. Candidates are already required to link summaries for all the courses that they do not provide full evaluations for, so what is being recommended is not an additional step for a candidate given that evaluation links need to be added for all courses. The only change in the process is what is being linked (a complete evaluation rather than a summary).

Recommendation 2: Reinforce and clarify Academic Personnel Manual (APM) criteria for teaching and service, particularly for high-level advancements, in the Academic Affairs Annual Call. CAP has also provided a statement on the expectations of service that may be helpful to include in the Annual Call.

UC APM Teaching Criteria:

- [UC APM 210-1.d.\(1\)](#) (Professor series)
- [UC APM 210-2.b.\(1\)](#) (Professor of Clinical series)
- [UC APM 210-3.d.\(1\)](#) (Lecturer with Security of Employment series)
- [UC APM 220-18.b\(4\)](#) (Advancement to Professor to Step 6 and higher)

UC APM University and Public Service Criteria:

- [UC APM 210-1.d.\(4\)](#) (Professor series)
- [UC APM 210-2.b.\(4\)](#) (Professor of Clinical series)
- [UC APM 210-3.d.\(3\)](#) (Lecturer with Security of Employment series)

CAP Statement on University and Public Service:

Service is expected of all Senate faculty as part of shared governance and plays a significant role in the merit and promotion process. Faculty should engage in both university and professional or community service. Service at the professional and/or community level does not substitute for university service except in extraordinary circumstances. Expectations increase with rank and step. Faculty at the Full Professor rank, especially those in the ladder rank series, have expectations of substantial service balanced among department, campus, and national-professional contributions. At higher Full Professor steps (i.e., Professor Step 6 to Above Scale), significant leadership with respect to service contributions will be expected.

Response to Feedback and Rationale:

As an advisory body, we did not perceive our role as a prescriptive one that would dictate what activities should or would count as “teaching” or “service.” However, many Workgroup members have observed confusion about what the minimum criteria for teaching and service are, which is why we recommended that the UC APM criteria for both be included in the Academic Affairs Annual Call. What is being recommended is not a change in practice, but a reiteration of the existing standards to help contextualize and clarify the candidate’s efforts during a review period. The Workgroup understands that teaching expectations vary across campus. Some comments noted that it is not an expectation that faculty in their college or school teach lower-division courses and the APM requirement of evidence of “teaching effectiveness at lower-division, upper-division, and graduate

levels of instruction” ([UC APM 210, p. 6](#)) is not applicable. For reviewing bodies, it is helpful if the department include its teaching expectations in the departmental letter so that this information may be taken into account. We agree that faculty should not be penalized for not teaching lower-division courses, for example, if this is not a normative expectation in the department, school or college. Similarly, in terms of service, the department can help contextualize a candidate’s service contributions and whether these contributions are commensurate with the candidate’s rank and step.

Some comments asked for additional guidance on how Diversity, Equity, and Inclusion (DEI) contributions should be considered in merits and promotions. DEI statements are optional for merits and promotions, but should candidates choose to highlight their contributions, the [UC APM 210-1.d](#) provides the following guidance:

The University of California is committed to excellence and equity in every facet of its mission. **Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.** These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California’s diverse population, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the **teaching or service categories of the academic personnel process.** (p. 6; emphases added)

In their feedback to the initial report, the Public Service Committee also recommended that “[d]epartments should discuss consistent criteria for considering how public-engaged scholarship should be recognized in the teaching, research, and/or service categories, to ensure that when this work is considered outstanding, there is a consistent vote for which categories are Outstanding.”

Recommendation 3: Encourage consistency in the superlatives used on departmental ballots in the Academic Affairs Annual Call.

Response to Feedback and Rationale:

The Workgroup did not receive much feedback on this recommendation. This recommendation was included because we have observed that departmental ballots vary significantly in the superlatives used in their balloting. While the Workgroup does not want to dictate what superlatives should be used, ballots should be clear about what specific areas (e.g., research, teaching, service) are being proposed as being “outstanding” and should try to align with the language provided in the guidelines to the extent possible.

Recommendation 4: Provide guidance on how administrators should be evaluated within the Step Plus system.

Response to Feedback and Rationale:

The Workgroup recommends Academic Affairs to develop and provide more guidance on how administrators with faculty appointments should be evaluated in the Step Plus system. Committee comments indicate support for this recommendation.

Recommendation 5: Extend eligibility for Distinguished Professor Emerita/us on retirement.

Response to Feedback and Rationale:

The Workgroup recommends extending eligibility for the title “Distinguished Professor Emerita/us” to faculty who are at Professor Step 9 or 9.5 and who choose to retire before completing four years at that step. Department(s) could prepare a dossier requesting the title “Distinguished Professor Emerita/us” that would be forwarded to the Dean’s office and to CAP per the Delegation of Authority and assessed by the standards of [UC APM 220-18.b.4](#). This action would need to be completed in the year of the faculty member’s retirement. If approved, this title would be conferred upon retirement. Note: this action would not be an advancement to Professor Above Scale because the candidate would not have completed normative time at Professor Step 9 or 9.5. Committee comments indicate support for this recommendation.

Recommendation 6: The proposed, following guideline clarification for promotions should be included in the Academic Affairs FAQs:

Promotion is a higher academic achievement than merit advancement, requiring comprehensive review of the entire period since the terminal degree or promotion to the Associate rank to determine if the criteria stated in UC APM 220 have been met. To be eligible for promotion, and prior to considering any Step Plus recognition, the overall record should be balanced with evidence of meritorious accomplishments in all areas of review (e.g., research, teaching, service, professional competence). When the overall record does not meet the criteria for promotion, the candidate may be considered for 1.0-step merit advancement instead of promotion. This consideration is contingent on whether there are additional steps within the candidate’s current rank.

For consideration of additional steps at the time of promotion, if Step Plus recognition has been awarded in a previous merit cycle, further Step Plus recognition for that specific area (e.g., research, teaching, service, and professional competence and activities, as appropriate) will require additional and compelling evidence of outstanding achievement in the most recent merit period. For teaching and service, continued outstanding performance is not sufficient justification. Rather, the candidate should provide clear and convincing evidence of new achievement above and beyond what was previously recognized and which is distinctive and outstanding in accomplishment. For research, the same guiding principle applies such that increased productivity alone is not sufficient without compelling evidence of the attendant impact of this scholarship that merits recognition as outstanding.

Conclusion

The Workgroup thanks the Senate for facilitating the request for consultation process and gathering the faculty feedback to improve our recommendations. Enclosed is a revised report for consideration and endorsement by the Executive Council and Representative Assembly. This revised report takes into account the broad consensus that the Step Plus system is working and that the previously recommended changes to the system, particularly with respect to promotions and advancement to Professor Step 6, are not needed. The Workgroup’s report therefore has been revised to provide clarifying guideline language for Step Plus promotions and advancement to Professor Step 6. The

intent in providing this language is not to change existing practice but to clarify expectations within the Step Plus system for faculty.

As mentioned in our previous letter, the Workgroup recognizes that proposing clarifications or revisions to the Step Plus system is only one part of improving the academic personnel process. Committee comments indicate that greater education and mentoring are needed to help faculty candidates understand expectations as they advance in rank and step. Improving the Step Plus system therefore requires an ongoing investment in educating faculty. The Workgroup sees this investment as a worthy “cost” in exchange for the ongoing benefits of improving faculty advancement and making the process and outcomes more equitable. However, the Workgroup also knows that a large share of this workload burden falls upon department chairs. Department chairs play a critical role in guiding their faculty through the merit and promotion process and explaining to reviewing bodies the quality and impact of their faculty’s efforts in all the review areas. The COVID-19 pandemic will only exacerbate these challenges for department chairs, whose faculty will likely require more guidance in the face of research setbacks, teaching difficulties, and other complexities. The Workgroup therefore proposes that the Senate collaborate with Academic Affairs to provide more outreach and support to department chairs. In particular, there was consensus that an annual workshop or retreat where department chairs, Faculty Personnel Committee (FPC) chairs, and CAP could gather and discuss the academic personnel process and Step Plus would be a helpful start.

Sincerely,



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Distinguished Professor, Department of Chemical Engineering

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STEP PLUS WORKGROUP REPORT

MAY 2021

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INTRODUCTION

The Step Plus personnel system at UC Davis was implemented on July 1, 2014.¹ The Representative Assembly of the Davis Division supported the adoption of Step Plus by a majority vote at its meeting on June 3, 2014. At that time, the Representative Assembly directed the Executive Council of the Davis Division of the Academic Senate to appoint a task force that would be charged with “reviewing the Step Plus System including an assessment of whether the efficiency and efficacy envisioned was achieved.” In 2019-2020, the task force, chaired by Professor Rachael Goodhue, convened and produced the [*Report of the Step Plus Assessment Special Committee*](#) (May 2020), which was presented to the Representative Assembly on June 4, 2020.

The Special Committee recommended that 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” (p. 42). Accordingly, on August 31, 2020, the UC Davis Academic Senate Committee on Committees

¹ The implementation on July 1, 2014 was for the Senate titles of Professor, Professor in Residence, Professor of Clinical _____, and Acting Professor of Law. Other titles were incorporated into the Step Plus system on July 1, 2015 and 2017 (see the information listed on the Academic Affairs website in the following footnote).

(CoC) and the Academic Senate leadership appointed the Step Plus Workgroup, chaired by Professor Ahmet Palazoglu, with the following charges:

- Evaluate the current Step Plus “interim” guidelines² and decide which wording be modified or clarified to make these guidelines standing policy. As part of this process, review relevant portions of the current UCD Academic Personnel Manual (APM) and make recommendations to better align the UCD APM with our Step Plus program.
- Clarify options for faculty voting within the Step Plus framework that departments can use to explain expectations to faculty and that department chairs can use to tailor their letters.

The Step Plus Workgroup’s recommendations follow from analysis done by the Special Committee, specifically the findings detailed in the conclusion of the *Report* (p. 41):

- Merit actions of 1.0 step or greater are achieved more readily under Step Plus.
- Both URM [underrepresented minorities] and non-URM faculty have been more successful in obtaining merit actions of more than 1.0 step under Step Plus than the previous system.
- All ranks in the Professor series (Assistant, Associate, and Full) have increased their rate of progress under Step Plus, with Assistant Professors experiencing the greatest rate of increase.
- The rates of progress for women and men have both increased, with women accelerating more rapidly than men at the Associate Professor rank.
- Survey respondents (Senate faculty, former and current department chairs, former and current CAP/FPC members) generally agreed across all groups on 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 (Professor Step 6 and Above Scale).

These generally positive outcomes indicate that major changes to the Step Plus system – that would apply across all ranks and steps – are not needed. The Special Committee findings show that there is little disagreement among Senate faculty, department chairs, and CAP/FPC members of the criteria for a 1.0-step advancement. However, these findings also show that there is uncertainty regarding the criteria for additional half steps and for advancements to the barrier steps of Professor Step 6 and Professor Above Scale.

This report therefore encloses guideline revisions to clarify the criteria for:

- Additional half steps in regular merit actions
- Additional half steps in promotion actions
- Advancements to the barrier steps of Professor Step 6 and Professor Above Scale
- Merits to Professor Further Above Scale
- Departmental voting procedures

These clarifications align the Step Plus guidelines with the UC and UCD APMs and promote consistency in the review process. As the Step Plus system has not been adopted at every UC campus, modifying systemwide academic personnel policy to address these conflicts is not feasible. Therefore, in addition to the proposed clarifications, the Workgroup also proposes some revisions to help mitigate conflicts between the Step Plus system and the UC APM.

² These guidelines are available at: <https://academicaffairs.ucdavis.edu/step-plus-system>.

SUMMARY OF CLARIFICATIONS AND REVISIONS

Regular Merits

For merit actions, the Workgroup systematically reviewed the wording of the Step Plus “interim” guidelines, and made recommendations for clarifying the guidelines to align more closely with the APM and existing practice. For example, the Workgroup has revised the language regarding advancements greater than 2.0 steps to better reflect existing practice.

The following table lists the clarifications being proposed alongside the current guideline language.

Current	Proposed Clarification
At every review, the individual may be considered for more than 1.0 step, i.e., 1.5- steps, 2.0-steps, etc. (Step Plus Overview)	At every review conducted in normative time, except for advancements to Professor Above Scale and Professor Further Above Scale , an individual may be considered for more than 1.0 step, i.e., 1.5 steps or 2.0 steps. (Appendix A)
An advancement of only 0.5 step is not an option in the Step Plus System. (Step Plus Overview ; Frequently Asked Questions)	An advancement of only a 0.5 step will only be considered for faculty at Professor Step 9 who may not meet the APM 220-18 criteria to advance to Above Scale. (Appendix A ; Appendix E)
Advancements of greater than 2.0 steps are permitted in Step Plus, although they are expected to be extremely rare. (Step Plus Overview)	Advancements of greater than 2.0 steps are expected to be extremely rare. For consistency, no departments or programs should include a greater than 2.0-step option on their ballots but voting faculty may advocate for a greater than 2.0-step advancement in their comments. (Appendix A)
All merit and promotion dossiers that are reviewed in normative time should be considered for Step Plus advancement (i.e., 1.0, 1.5, or 2.0 steps). (Suggestions for Conducting Department Votes)	All merit and promotion dossiers that are reviewed in normative time are considered for Step Plus advancement (i.e., 1.0, 1.5, or 2.0 steps) if eligible, with the exception of advancement to Professor Above Scale and Professor Further Above Scale. (Appendix B)

Promotions

For promotions, clarification of the Step Plus wording is needed, particularly for promotions that involve more than a 1.0-step advancement. The UC APM [APM 210-1.d, APM UCD 220-IV.E.2] specifies that a promotion should be based on a holistic review of the candidate’s accomplishments during the period of review, based on the areas of (1) Research and Creative Work; (2) Teaching; (3) University and Public Service; and (4) Professional Competence and Activities, as appropriate. UC APM 285 specifies Lecturer with Security of Employment (LSOE) promotions are evaluated on the entire period of review, based on the areas of (1) Teaching Excellence; (2) Professional and/or

Scholarly Achievement and Activity, including creative activity; and (3) University and Public Service. This review will include several earlier merit periods, and within those periods, the candidate would have been evaluated for 0, 1.0, 1.5, or 2.0-step advancement.

In accordance with the UC APM, promotions are viewed as a higher academic achievement than a simple merit action. Further clarification is needed to provide guidance on how any previous Step Plus merit advancements should be evaluated at promotion. The proposed guideline clarification aims to provide a consistent framework for reviewers to evaluate promotions.

Current guideline:

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, per APM 220 or applicable series policy. Advancements greater than a 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. ([Guide for Step Plus Promotions and Barrier Reviews](#))

Proposed clarification:

Promotion is a higher academic achievement than merit advancement, requiring comprehensive review of the entire period since the terminal degree³ or promotion to the Associate rank to determine if the criteria stated in UC APM 220 have been met. To be eligible for promotion, and prior to considering any Step Plus recognition, the overall record should be balanced with evidence of meritorious accomplishments in all areas of review (e.g., research, teaching, service, professional competence). When the overall record does not meet the criteria for promotion, the candidate may be considered for 1.0-step merit advancement instead of promotion. This consideration is contingent on whether there are additional steps within the candidate's current rank.

For consideration of additional steps at the time of promotion, if Step Plus recognition has been awarded in a previous merit cycle, further Step Plus recognition for that specific area (e.g., research, teaching, service, and professional competence and activities, as appropriate) will require additional and compelling evidence of outstanding achievement in the most recent merit period. For teaching and service, continued outstanding performance is not sufficient justification. Rather, the candidate should provide clear and convincing evidence of new achievement above and beyond what was previously recognized and which is distinctive and outstanding in accomplishment. For research, the same guiding principle applies such that increased productivity alone is not sufficient without compelling evidence of the attendant impact of this scholarship that merits recognition as outstanding.⁴

³ Should a candidate have multiple terminal degrees (e.g., M.D. and Ph.D.; D.V.M. and Ph.D.), the review period for promotion to the Associate rank would be since the awarding of the first terminal degree.

⁴ The Workgroup would like to acknowledge and thank Executive Dean Pascoe for his suggestions for clarifying the language for promotions.

Advancement to Professor Step 6

It is essential to review the policies of the UC APM to ensure that the formulation of the Step Plus system on the Davis campus is consistent with these provisions. To be sure, CAP (and the FPCs as subcommittees of CAP) appropriately takes the APM policies very seriously in their recommendations on all cases. To the extent that the operation of Step Plus on the Davis campus has deviated from UC APM policies, then these conflicting guidelines need to be brought into conformity.

The UC APM 220 defines the criteria for advancement to Professor Step 6 as follows:

The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service. Above and beyond that, great academic distinction, recognized nationally, will be required in scholarly or creative achievement or teaching. [UC APM 220.18.b.4]

For advancement to Senior Lecturer with Security of Employment Step 6:

Advancement to Step VI usually will not occur after less than three years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories, with teaching excellence receiving primary weighting above the others: (1) extraordinary effectiveness and excellence in teaching and teaching-related tasks; (2) professional and/or scholarly achievement and activity; and (3) University and public service. [UC APM 285.19(3)].

While it is beyond the Workgroup's advisory authority to change systemwide policy, we recognize that the APM allows more flexibility in terms of time spent at Professor Step 5 than at Professor Step 9. In contrast to the "rare and compelling" requirement in the APM criteria to advance to Above Scale, the APM states that "[a]dvancement to Step VI **usually** will not occur after less than three years at Step V" (emphasis added). Therefore, merit advancements to Professor Step 6 should be considered within the Step Plus guidelines. Reviewers should follow the same guidelines of evaluation provided for promotions given that the APM stipulates that this advancement "involves an overall career review." The Workgroup strongly recommends that faculty receive regular mentorship from department chairs and senior faculty well before submitting a dossier to advance to Professor Step 6, given the APM criteria that the overall record must demonstrate "evidence of sustained and continuing excellence" in all review areas for advancement to this step.

Advancement to Professor Above Scale and Further Above Scale

The APM criteria for advancement to Professor Above Scale and Further Above Scale are as follows:

For advancement to Professor Above Scale:

Advancement to an Above Scale rank involves an overall career review and is reserved only for the most highly distinguished faculty (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant

impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur after less than four years at Step IX. [UC APM 220.18.b.4]

For advancement to Professor Further Above Scale:

A further merit increase in salary for a person already serving at an Above Scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved. [UC APM 220.18.b.4]

For advancement to Senior Lecturer with Security of Employment Above Scale:

Advancement to an Above Scale rank involves an overall career review and is reserved only for the most highly accomplished faculty (1) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; (2) whose contributions to University teaching and education outcomes are excellent; and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur after less than four (4) years at Step IX. [UC APM 285.19(3)].

These policies from the APM indicate that Above Scale merits are by definition an outstanding achievement: they are granted only to faculty whose performance in research, teaching, and service has reached the highest level based on a career review. We believe that the application of Step Plus guidelines – under which a 1.5- or 2.0-step advancement can be awarded for outstanding performance in one or two areas – diminishes the very nature of Above Scale merits, since *all faculty* receiving these advancements will be outstanding in multiple areas of review. For example, the merit to Professor Above Scale brings with it the title of Distinguished Professor, and we find that it is impossible for someone to be “doubly distinguished,” as would be suggested by a 2.0-step merit to Above Scale, or in a Further Above Scale action. Additionally, once a Professor advances to Above Scale, there are no longer “steps” but significant salary increases. As stated in the APM, the salary increase for an Above Scale Professor must be “justified by new merit and distinction.”

Furthermore, by requiring the department faculty to vote on a 0-, 1.0-, 1.5-, or 2.0-step advancement during an Above Scale advancement, the operation of the Step Plus system is introducing unrealistic expectations among the faculty members who are voting and the candidates themselves. As CAP will recommend Above Scale actions in accordance with the above provisions of APM 220, it follows that any action other than a normal merit (i.e., 1.0 step) is exceedingly rare.⁵

For these reasons, we recommend that all actions for advancement to Professor Above Scale, or advancement to Professor Further Above Scale, should be evaluated *outside of the Step Plus program*. This means that department ballots for possible advancement to Above Scale will specify only two options: Support for 1.0-step advancement to Above Scale, or Decline to support this advancement. In

⁵ Those may be very rare cases where a greater-than-normal action is required at a barrier step merit or at the Further Above-Scale level, such as the receipt of a major international prize. Such cases can be dealt with by an equity review or by the awarding of off-scale salary.

addition, for possible advancement to Professor Further Above Scale, the department ballots will specify only two options: Support for advancement to Professor Further Above Scale, or Decline to support this advancement.

Proposed revisions:

- Half-step advancement for Professor Step 9:** Faculty who are at Professor Step 9 and who do not meet the very high expectations for advancing to Professor Above Scale may receive a half-step merit advancement to Professor Step 9.5, contingent upon meeting all the expectations for a 1.0-step merit action at that level after four or more years since advancement to Professor Step 9. For faculty who receive a half-step merit advancement to Professor Step 9.5, they will have the option to advance to Above Scale after two years at Step 9.5 rather than waiting four more years. Note: this shortened review period does not apply to faculty at Step 8 or 8.5 who receive a 1.5- or 1.0-step advancement to Step 9.5, as they would not have spent the required four years at Step 9 or 9.5 as stipulated in the APM. ([Appendix A](#); [Appendix E](#))
- Voting and advancement options to Above Scale and Further Above Scale:** All actions for advancement to Above Scale, or advancement to Professor Further Above Scale, should be evaluated *outside of the Step Plus program*. This means that department ballots for possible advancement to Above Scale will specify only two options: Support for 1.0-step advancement to Above Scale, or Decline to support this advancement. In addition, for possible advancement to Professor Further Above Scale, the department ballots will specify only two options: Support for advancement to Professor Further Above Scale, or Decline to support this advancement. ([Appendix B](#))
- Normative time alignment with APM for advancement to Professor Above Scale:** Advancement to Professor Above Scale can be considered only for faculty who are already at Professor Step 9 or 9.5. In these cases, for faculty who have met the normative time requirements, the department ballots for possible advancement to these steps will specify only two options: Support for advancement to Above Scale, or Decline to support this advancement. ([Appendix A](#); [Appendix B](#); [Appendix E](#))

APPENDICES

Appendix A: Step Plus Overview

Main website: <https://academicaffairs.ucdavis.edu/step-plus-system>

Overview of the Step Plus System

The Step Plus system, as described below, was 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. On July 1, 2015, the Step Plus System was implemented for the following title 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. On July 1, 2017, Step Plus was implemented for the following title series: Academic Administrator, Academic Coordinator, Assistant/Associate University/Law Librarian, Continuing Educator, and University Extension Teacher.

Overview of the Step Plus System for Personnel Actions

These guidelines are to be used in addition to the policies, procedures, and exhibits provided in the [Academic Personnel Manual \(APM\)](#) and the [APM-UCD](#). If an apparent conflict between the APM and the Step Plus guidelines is discovered, please contact Academic Affairs for guidance. Key guidelines for applying the Step Plus system in academic personnel actions are as follows:

- New appointments are allowed only at full steps.
- All merits are considered on a fixed two-, three- or four- year schedule, as determined by normative time at their current rank and step. Normative time is defined in [APM 220-18](#) or applicable [title series policy](#) and can also be found on the [Step Plus System Salary scales](#). At every review conducted in normative time, except for advancements to Professor Above Scale and Professor Further Above Scale, an individual may be considered for more than 1.0 step, i.e. 1.5 steps or 2.0 steps ([Guidelines for Advancements—Senate](#), [Guidelines for Advancements—Federation](#); [Guide for Step Plus Promotions and Barrier Steps](#); [Above Scale Merits in the Step Plus System](#)).
- An advancement of only a 0.5 step will only be considered for faculty at Professor Step 9 who may not meet the [APM 220-18](#) criteria to advance to Above Scale.
- Promotions to Associate and Full ranks can be accelerated in time or can be evaluated according to Step Plus Guidelines, but not both. (See [Guide for Step Plus Promotions and Barrier Reviews](#))
- Advancement to Professor Above Scale or Professor of Teaching (Senior Lecturer with Security of Employment) Above Scale, like other merits, will only be considered on the fixed four-year schedule. These advancements should be evaluated outside the Step Plus System and in accordance with [APM 220-18](#) criteria.
- Advancements of greater than 2.0 steps are expected to be extremely rare. For consistency, no departments or programs should include a greater than 2.0-step option on their ballots but voting faculty may advocate for a greater than 2.0-step advancement in their comments.
- Outside of the formal [Career Equity Review Process](#), CAP reviews all merits and promotions for equity and may recommend additional half step(s) for equity.

Action Form for Step Plus

The Action Form should reflect a 1.0-step advancement as the default action type for *all* actions during the initial department review and vote.

Reminder: If the action is an Endowed Chair/Professorship Appointment/Reappointment or a Department Chair Five-Year Review, the current and proposed status on the Action Form should be the same rank and step.

If the candidate is eligible to be promoted, the department should prepare the dossier matching the longest potential review period. As the advancement to a promotion step would require extramural letters, the candidate must be consulted regarding soliciting extramural letters. The actual solicitation of letters can be delayed until after the initial department vote. However, if any of the recommending bodies (departments, FPC, and/ or deans) makes a recommendation for an advancement that requires extramural letters (e.g., promotion), additional review and voting are required by the department(s) after receipt of the extramural letters.

In the case of an evenly split department vote, the highest step supported by at least half of the voters shall be the department recommendation. Every department shall determine how to consistently include/exclude abstentions in the total number of eligible department voters.

Faculty are encouraged in their candidate statement to emphasize their areas of strength and identify accomplishments they feel are especially outstanding or noteworthy. Candidates should not, however, request or make the case for a particular Step Plus advancement (1.0, 1.5, or 2.0 steps), nor would such a request or recommendation change the Action Form or Delegation of Authority.

After the results of the department vote are shared with the candidate, the candidate retains the option to pursue the action even if advancement is not supported by the majority of department voters. In this case, the Action Form should be presented as a 1.0-step advancement. Alternatively, the candidate may defer consideration for advancement by requesting a deferral, unless policy requires promotion or five-year review.

For split appointments, the primary department should update the proposed status on the Action Form to reflect the highest advancement recommendation from any of the candidate's departments (home department, secondary department, etc.). The proposed action then determines the delegation of authority (see delegation discussion below). If the action is an Above Scale merit, the proposed advancement will only be a 1.0 step.

Delegation of Authority Guidance

The Delegation of Authority for the action should be updated by the primary department after the recommendation(s) of the department(s) is/are received. The Delegation of Authority may also be changed after receipt of the recommendation(s) from the FPC(s) and/or dean(s). To determine the delegation of authority, see <http://academicaffairs.ucdavis.edu/dofa.cfm> and use the following guidance:

- If none of the reviewing bodies (departments, FPCs or deans) supports a 2.0-step advancement or promotion and the highest supported advancement action is redelegated, then select

“Redelegated” as the delegation of authority. If this redelegated action is the first action after appointment or promotion, the dean has decision authority and FPC review is optional.

- If any department recommends a 2.0-step advancement or an action that is a promotion or 1.0-step merit to Above Scale or Further Above Scale, the action is entered as “Non-redelegated.” This applies to any primary or joint department(s) recommendation(s).

Appendix B: Conducting Department Votes

Step Plus Guidelines for Conducting Departmental Votes

General Principles

Step Plus enables departments to recognize outstanding performance in the merit and promotion process. Advancement of 1.5 or 2.0 steps can be recommended for faculty whose performance in one or more areas of review is evaluated as outstanding and greatly exceeding expectations for a normative 1.0-step advancement (see Step Plus Guidelines for Advancement). All merit and promotion dossiers that are reviewed in normative time are considered for Step Plus advancement (i.e., 1.0, 1.5, or 2.0 steps) if eligible, with the exception of advancement to Professor Above Scale and Professor Further Above Scale.

Departments should develop and use a Step Plus ballot that facilitates voting for a specific Step Plus action and to identify and comment on those outstanding area(s) of evaluation that may warrant a vote for 1.5 or 2.0 steps. Step Plus voting does not replace [each department's own voting procedures](#) (per [Academic Senate Bylaw 55](#)), but is intended to achieve the following required outcomes:

- a specific action recommended by the department
- the degree of support for the proposed action, based on the vote from Senate peers
- the area of evaluation that forms the basis for the votes and the proposed action

A Step Plus ballot that delineates a candidate's performance in specific academic areas (e.g., research, teaching, service) is recommended as a way for voting faculty to convey their support for the specific area(s) that may warrant an additional step. By rating performance in each area of academic evaluation, departments can clarify their academic priorities and expectations, and justify the recommended action. Comments accompanying all votes for >1.0 step are also strongly encouraged.

Examples of performance ratings and departmental voting templates are provided below.

Departments are encouraged to incorporate performance ratings into their ballot. Rating categories and the scoring system should be determined. Because the recommendation for Step Plus advancement depends on how peers perceive the candidate's academic performance, it is recommended that performance ratings *precede* the actual voting section on the ballot. Alternatively or in addition to performance ratings, voting templates should provide a field for voters to specify the area(s) of evaluation that warrant an additional half step and to provide explanatory comments.

All potential voting options should be provided on department Step Plus ballots, with appropriate modifications for merits versus promotions. If voting indicates support for promotion, extramural letters will be required and a second vote will be conducted. If the candidate has spent less than normative time at rank or clearly does not meet the criteria for promotion (e.g., absence of an in-press or published book in the book disciplines), the candidate has the option to have promotion removed as a voting option from the Step Plus ballot. In all other circumstances, the promotion option under Step Plus must be included on the ballot.

Once the department agrees on a Step Plus ballot, it must be used for all Step Plus actions for that review cycle. Changes can be made for the following review cycle, if needed.

Examples of Performance Ratings and Ballot Templates

Example A. Performance rating (primary areas of evaluation)

	Research/Scholarly and Creative Work	Teaching	Service
Does not meet expectations			
Somewhat below expectations			
Clearly meets expectations for 1.0-step			
Somewhat above expectations			
Outstanding			

Example B. Performance rating (primary areas of evaluation)

(1) Please rate your overall evaluation of Teaching:

- ☐ Outstanding
- ☐ Very Good
- ☐ Average
- ☐ Below Average
- ☐ Poor
- ☐ Abstain

Comments on Teaching:

(2) Please rate your overall evaluation of Service:

- ☐ Outstanding
- ☐ Very Good
- ☐ Average
- ☐ Below Average
- ☐ Poor
- ☐ Abstain

Comments on Service:

(3) Please rate your overall evaluation of Scholarly/Creative Activities:

- ☐ Outstanding
- ☐ Very Good
- ☐ Average
- ☐ Below Average
- ☐ Poor
- ☐ Abstain

Comments on Scholarly/Creative Activities:

(4) Please rate your overall evaluation of Professional Competence:

- ☐ Outstanding
- ☐ Very Good
- ☐ Average

- ☐ Below Average
☐ Poor
☐ Abstain

Comments on Professional Competence:

Example C. (For Professor of Clin__) Performance rating (primary and secondary areas of evaluation)

	No comment	Poor	Below average	Average	Above average	Outstanding
PROFESSIONAL (CLINICAL/DIAGNOSTIC) COMPETENCE AND ACTIVITIES						
Advancements and innovations in specialty practice area						
Regional/national reputation						
TEACHING						
Clinical and didactic teaching						
Resident or graduate training & mentoring						
Curricular development						
RESEARCH/SCHOLARLY AND CREATIVE WORK						
Peer-reviewed publications						
Research impact/significance						
SERVICE						
Dept, college/school, campus, systemwide service						
Public and professional service						
CONTRIBUTIONS TO DIVERSITY						

Example D. Voting template

Unit	Voting action				
	Do not support	1.0 step	1.5 steps	2.0 steps	Abstain
Division/section					
Department					
Total					

Example E. Voting template

I support: ☐ 0 steps (no advancement) ☐ 1.0 step ☐ 1.5 steps ☐ 2.0 steps ☐ Promotion

If you selected 0 steps (no advancement), explain why in the comments

If you selected 1.5 steps, indicate the 1 area of evaluation that warrants the extra half step

If you selected 2.0 steps, indicate the 2 areas of evaluation that warrant the extra step

Comments:

Example F. Voting template

Vote*	Check ONE box	Area(s) of evaluation that warrant 1.5 or 2.0 steps (e.g., research, teaching, service)
Support 1.0 (normal advancement)	<input type="checkbox"/>	—
Support 1.5 steps	<input type="checkbox"/>	Specify:
Support 2.0 steps	<input type="checkbox"/>	Specify:
Do not support advancement	<input type="checkbox"/>	—
Abstain	<input type="checkbox"/>	—

*Comments are requested to justify additional steps or to explain a ‘do not support’ vote or abstention.

Example G. Voting template

Which of the following options do you feel is most appropriate for merit advancement? **Please vote for only one option.** (Note: a vote for a higher step implies support for all lower steps.)

- ☐ I vote in favor of a 2.0-step increase
- ☐ I vote in favor of a 1.5-step increase. Specify area: _____
- ☐ I vote in favor of a 1.0-step increase. Specify areas: _____
- ☐ I do not support merit advancement.
- ☐ Abstain

Please specify the area(s) that you feel warrant an additional half step, from among the primary areas of evaluation (research/scholarly and creative activity, teaching, university and public service).

Please explain provide explanatory comments for “do not support” votes and abstentions:

Example H. Voting template

Please choose one of the following options:

- ☐ Support for advancement to Professor Further Above Scale
- ☐ Do not support advancement to Professor Further Above Scale
- ☐ Abstain

Please provide explanatory comments for ‘do not support’ votes and abstentions:

Appendix C: Guidelines for Advancement – Senate

These Step Plus guidelines are designed to be used in addition to the policies, procedures, and exhibits provided in the Academic Personnel Manual (APM) and APM-UCD. If an apparent conflict between the APM and Step Plus guidelines is discovered, please contact Academic Affairs for guidance. These guidelines apply to the following Senate series:

Professor and Professor in Residence Series
 Professor of Clin _ Series
 Professor of Teaching (/SLSOE) Series

General Principles

- **Advancement schedule.** All members of the Academic Senate are eligible for advancement at normative time for their rank and step. Per APM guidelines, before advancing to Professor Above Scale, faculty are required to spend four years at Professor Step 9 or 9.5. Only exceptionally rare cases will deviate from these guidelines.
- **Criteria for Step Plus.** Criteria for recommending greater than 1.0-step advancements aim to strike a balance between objectivity and flexibility, with consideration of both quantitative and qualitative assessments. Qualitative achievements, such as the special impact or high quality of work, the awarding of prizes for achievement, and the scale and scope of the undertaking are as important as quantitative assessments, such as numerical tabulation of papers, citations, courses, and committees. Professional competence generally overlaps with other areas. However, accomplishments by faculty in the professional schools and colleges or in the Professor of Clinical _ series, the category of professional competence and activities may be considered for outstanding achievement. Performance in each area may be considered for an extra half step only for actions based on a complete review period (i.e., two or three years, depending on rank).

Justification for Step Plus. Department Chairs, FPCs, and Deans should clearly articulate the basis and level of support for the recommended advancement. Department letters and FPC committees need to provide explanations based on votes and comments of department faculty and committee members, respectively. The area of performance being proposed for an advancement of greater than 1.0 step needs to be justified in the reviewing body's letter.

Department Chairs, FPCs, and Deans should take into account previously awarded extra half steps through the Step Plus program, as detailed below:

- In each merit/promotion cycle, Department Chairs, FPCs, and Deans should review each candidate's dossier to ascertain that prior Step Plus advancements are not automatically carried forward (see **Increased Expectations with Rank and Step**).
- Repeated half steps for research/creative activities should not be based solely on quantitative metrics but also on impact and novel approaches.
- Repeated half steps for teaching will include innovation in pedagogical approaches or highly distinguished teaching awards.

- Repeated half steps for university and public service are awarded with the expectation that such service responsibilities increase as faculty advance in rank and step, with evidence of leadership at Professor Step 6 and beyond.

Department Chairs, FPCs, and Deans should explicitly identify the area(s) determined to justify a Step Plus increase. Combining or overlapping of areas is not permitted.

Increased Expectations with Rank and Step. As faculty members progress toward promotion (Associate or Professorial Rank) or high-level merit actions (Professor Step 6 or Above Scale), increasingly greater activity in all areas is expected. Faculty advancing to Professor Step 6 and beyond should assume positions of leadership in their university and/or public service. Per CAP's "Statement on University and Public Service:

Service is expected of all Senate faculty as part of shared governance and plays a significant role in the merit and promotion process. Faculty should engage in both university and professional or community service. Service at the professional and/or community level does not substitute for university service except in extraordinary circumstances. Expectations increase with rank and step. Faculty at the Full Professor rank, especially those in the ladder rank series, have expectations of substantial service balanced among department, campus, and national-professional contributions. At higher Full Professor steps (i.e., Professor Step 6 to Above Scale), significant leadership with respect to service contributions will be expected.

Step Plus for Faculty in Compensated Administrative positions. Faculty in compensated administrative positions (e.g., Dean, Associate Dean, Department Chair) undergo a separate administrative review of their university service. It is in this administrative review (rather than the academic/Step Plus review) where outstanding accomplishments in the administrative position are recognized. However, university and public service beyond the scope or expectations of the administrative position may warrant an additional half-step advancement in the academic review.

Professor, Professor-in-Residence, Acting Professor of Law series

1.0-Step Advancement

A 1.0-step advancement requires a balanced and meritorious record of achievement, appropriate for rank and step, in all areas of review (research/scholarly and creative work, teaching, university and public service, and, professional competence).

1.5-Step Advancement

A 1.5-step advancement requires a balanced and meritorious record in all areas of review with outstanding achievement in one area of review (research/scholarly and creative activity, teaching, university and public service) during the full review period (two or three years, depending on rank). Professional competence generally overlaps with other areas. Only one area of review, which must be identified as such in the department, FPC, and/or Dean's letter, can be proposed for an extra half-step advancement, with no combining or overlapping of areas. Although reasonable flexibility may be applied in balancing heavier responsibilities in one area against lighter responsibilities in another area, outstanding achievement in one area does not compensate for performance in another area that does not meet advancement standards.

2.0-Step Advancement

A 2.0-step advancement will require a balanced and meritorious record in all areas of review with outstanding achievement in two areas of review (research/scholarly and creative activity, teaching, university and public service) during the full review period (two or three years, depending on rank). In most cases, one of those areas will be research/scholarly and creative activity; however, in rare cases, outstanding achievement in two other areas (teaching, university and public service) might warrant 2.0 steps. Professional competence generally overlaps with other areas. The two areas must be identified in the department, FPC, and/or Dean's letter, with no combining or overlapping of areas.

Advancement Greater than 2.0 Steps

An advancement greater than 2.0 steps is extremely rare.

Above Scale Advancement

The criteria for merit increases are steep at this high rank, so candidates are only eligible for a 1.0-step advancement. A 1.0-step advancement must be justified by new evidence of merit and distinction, with a high level of performance in all areas of review (research/scholarly and creative activity, teaching, university and public service).

Professor of Clin. Series

1.0-Step Advancement

A 1.0-step advancement requires a balanced and meritorious record of achievement, appropriate for rank and step, in all areas of review (scholarly and creative activity, teaching, university and public service, professional [clinical/diagnostic] competence and activities)) during the full review period (two or three years, depending on rank). Professional competence and activities in this series refers to professional practice (e.g., clinical or diagnostic medicine) in professional schools and colleges that comprise a substantial proportion of academic effort.

1.5-Step Advancement

A 1.5-step advancement requires a balanced and meritorious record in all areas of review with outstanding achievement in one area of review (scholarly and creative activity, teaching, university and public service, professional [clinical/diagnostic] competence and activities) during the full review period (two or three years, depending on rank). Only one area of review, which must be identified as such in the department, FPC and/or Dean's letter, can be proposed for an extra half-step advancement, with no combining or overlapping of areas. Although reasonable flexibility may be applied in balancing heavier responsibilities in one area against lighter responsibilities in another area, outstanding achievement in one area does not compensate for performance in another area that does not meet advancement standards.

2.0-Step Advancement

A 2.0-step advancement will require a balanced and meritorious record in all areas of review with outstanding achievement in at least two areas during the full review period (two or three years, depending on rank). In most cases, one of those areas will be teaching or professional [clinical/diagnostic] competence and activities; however, in rare cases, outstanding achievement in the two other areas (university and public service, scholarly and creative activity) might warrant 2.0 steps. The two areas must be identified in the department, FPC, and/or Dean's letters, with no combining or overlapping of areas.

Advancement Greater than 2.0 Steps

An advancement greater than 2.0 steps is extremely rare.

Above Scale Advancements

The criteria for merit increases are steep at this high rank, so candidates are only eligible for a 1.0-step advancement. A 1.0-step advancement must be justified by new evidence of merit and distinction, with a high level of performance in all areas of review (scholarly and creative activity, teaching, university and public service, professional [clinical/diagnostic] competence and activities).

Professor of Teaching (Lecturer with Security of Employment [LSOE]) Series

1.0-Step Advancement

A 1.0-step advancement requires excellent and highly effective teaching as part of a balanced and meritorious record of achievement, appropriate for rank and step, in all areas of review (teaching; professional and/or scholarly achievement and activity, including creative activity; university and public service).

1.5-Step Advancement

A 1.5-step advancement requires excellent and highly effective teaching as part of a balanced and meritorious record in all areas of review with outstanding achievement in one area of review (teaching; professional and/or scholarly achievement and activity, including creative activity; university and public service) during the full review period (two or three years, depending on rank). Outstanding professional and/or scholarly achievement and activity refers to pedagogical or curricular innovation, research/scholarly and creative activity on pedagogy, or research/scholarly and creative activity in the candidate's field as related to pedagogy. Only one area of review can be proposed for an extra half-step advancement and should be identified in the department, FPC, and/or Dean's letters, with no combining or overlapping of areas. Although reasonable flexibility may be applied in balancing heavier responsibilities in one area against lighter responsibilities in another area, outstanding achievement in one area does not compensate for performance in another area that does not meet advancement standards.

2.0-Step Advancement

A 2.0-step advancement requires excellent and highly effective teaching as part of a balanced and meritorious record in all areas of review with outstanding achievement in two areas. Outstanding professional and/or scholarly achievement and activity refers to pedagogical or curricular innovation, research/scholarly and creative activity on pedagogy, or research/scholarly and creative activity in the candidate's field as related to pedagogy. One of the two areas would be teaching, with no deficiencies in other areas; the other should be identified in the department, FPC, and/or Dean's letters, with no combining or overlapping of areas.

Advancement Greater than 2.0 Steps

An advancement greater than 2.0 steps is extremely rare.

Above-Scale Advancement

The criteria for merit increases are steep at this high rank. Candidates are only eligible for a 1.0-step advancement. A 1.0-step advancement must be justified by new evidence of merit and distinction, with

a high level of performance in all areas of review (teaching; professional and/or scholarly achievement and activity, including creative activity; university and public service).

Appendix D: Guide to Step Plus Promotion, Step 6, and Above Scale

Promotions to Associate and Full can be accelerated in time or can be evaluated according to Step Plus guidelines, but not both.

Rationale: The Step Plus system eliminates accelerations in time, except for promotions to Associate and Full Professor. It has proven difficult to make consistent recommendations on such accelerations in conjunction with Step Plus criteria. Some departments have considered the acceleration to be equivalent to a half-step advancement for candidates who are outstanding in one category of review, and then use Step Plus criteria to recommend an additional half-step advancement based on outstanding performance in another area. Other departments have applied the Step Plus criteria without taking the acceleration in time into account. This policy preserves flexibility to allow for early promotion, while making it easier to make consistent recommendations for advancement in such cases.

Implementation: A dossier that is being evaluated for a promotion that is accelerated in time (i.e., an “early” promotion that occurs before normative time has elapsed for the next eligible action) will not be considered or approved for advancement of more than one step. For example, a candidate at Associate Professor Step 3.5 who is going up for promotion one year early will not be considered for advancement beyond Professor Step 1.5. Candidates can request an early promotion without waiting for normative time at their current step, but there will be only two possible advancement outcomes: promotion to the lateral step, if applicable, or 1.0-step promotion. Merit advancement to overlapping steps will not be considered if an early promotion is denied.

See examples of Step Plus promotions that can be accelerated in time below:

Current rank and step	1.0-step promotion to:	Lateral promotion to:	Acceleration in time of:
Assistant Prof 4.5	Assoc. Prof. 1.5	--na--	1 year
Assistant Prof. 5.0	Assoc. Prof. 2.0	Assoc. Prof. 1.0	1 year
Assistant Prof 6.0	Assoc. Prof. 3.0	Assoc. Prof. 2.0	1 year
Associate Prof. 3.5	Professor 1.5	--na--	1 year
Associate Prof. 4.0	Professor 2.0	Professor 1.0	1 or 2 years
Associate Prof. 5.0	Professor 3.0	Professor 2.0	1 or 2 years

Candidates at Assistant rank Steps 2-3.5 and Associate rank Steps 1-2.5 are not eligible for promotion that is accelerated in time.

In other words, if these candidates do not wait for normative time at the current step before seeking promotion, they are not eligible for more than 1.0-step advancement and, accordingly, cannot promote to the next rank. Eligibility for promotion that is accelerated in time begins only after the candidate has achieved Assistant rank Step 4 or Associate rank Step 3. For example, a candidate who has spent only one year at Assistant Professor Step 3 is not eligible for promotion. In contrast, it will occasionally be

the case that an Assistant Professor Step 3 or an Associate Professor Step 2 may seek advancement after spending normative time (2 years) at their current step; they could receive an on-time 2.0-step Step Plus promotion if the dossier includes all requirements for promotion review, the overall record is judged as worthy of promotion, and there are two areas of outstanding performance, including research.

Candidates who have been at the Assistant Professor rank for 7 years and must be considered for promotion before normative time has elapsed at the current step (a “technical acceleration”) may still be considered for Step Plus and may be put forward for a ‘greater-than-one-step’ advancement.

Candidates for promotion who wait for normative time to request advancement may be considered under the Step Plus criteria for promotion of greater than one step, assuming that the Step Plus criteria for advancement *and* the expectations for promotion are met. In addition, on-time requests for promotion, if not approved, may result in merit advancement without promotion, if applicable.

Examples of normative-time promotion requests resulting in advancement of greater than 1.0-step under Step-Plus (please note that this is not a comprehensive list):

Current rank and step	On-time, 1.5-step Step Plus promotion to:	On-time, 2.0-step Step Plus promotion to:
Assistant Prof 3.0	--na—*	Assoc. Prof. 1.0*
Assistant Prof. 3.5	Assoc. Prof. 1.0*	Assoc. Prof. 1.5*
Assistant Prof 4.0	Assoc. Prof. 1.5*	Assoc. Prof. 2.0*
Assistant Prof. 4.5	Assoc. Prof. 2.0*	Assoc. Prof. 2.5
Assistant Prof 5.0	Assoc. Prof. 2.5	Assoc. Prof. 3.0
Associate Prof. 2.0	--na—*	Professor 1.0*
Associate Prof. 2.5	Professor 1.0*	Professor 1.5*
Associate Prof. 3.0	Professor 1.5*	Professor 2.0*
Associate Prof. 3.5	Professor 2.0*	Professor 2.5*
Associate Prof. 4.0	Professor 2.5*	Professor 3.0
Associate Prof. 5.0	Professor 3.5	Professor 4.0

*Alternatively, a merit advancement of 1.5 steps (or, very rarely, 2.0 steps) would be allowed

How to Apply Step Plus Criteria for Promotions and Advancements to Professor Step 6

Promotion is a higher academic achievement than merit advancement, requiring comprehensive review of the entire period since the terminal degree⁶ or promotion to the Associate rank to determine if the criteria stated in UC APM 220 have been met. To be eligible for promotion, and prior to considering any Step Plus recognition, the overall record should be balanced with evidence of meritorious accomplishments in all areas of review (e.g., research, teaching, service, professional competence). When the overall record does not meet the criteria for promotion, the candidate may be considered for 1.0-step merit advancement instead of promotion. This consideration is contingent on whether there are additional steps within the candidate's current rank.

For consideration of additional steps at the time of promotion, if Step Plus recognition has been awarded in a previous merit cycle, further Step Plus recognition for that specific area (e.g., research, teaching, service, and professional competence and activities, as appropriate) will require additional and compelling evidence of outstanding achievement in the most recent merit period. For teaching and service, continued outstanding performance is not sufficient justification. Rather, the candidate should provide clear and convincing evidence of new achievement above and beyond what was previously recognized and which is distinctive and outstanding in accomplishment. For research, the same guiding principle applies such that increased productivity alone is not sufficient without compelling evidence of the attendant impact of this scholarship that merits recognition as outstanding.

Reviews of merit advancements to Professor Step 6 should follow the same Step Plus principles as promotion.

Promotions Using Overlapping Steps Under the Step-Plus System

Promotions inevitably involve interpreting overlapping steps. The following guidance is provided to define lateral, 1.0 step, and greater than 1.0 step promotions.

Assistant to Associate rank Promotions

Half-Step promotion is not an option

Lateral promotion followed by 1.0-step merit (normal time in parentheses)

Assistant Step 5 (1 year) -> Associate Step 1 (1 year) -> Associate Step 2
 Assistant Step 5.5 (1 year) -> Associate Step 1.5 (1 year) -> Associate Step 2.5
 Assistant Step 6 (1 year) -> Associate Step 2 (1 year) -> Associate Step 3
 Assistant Step 6.5 (1 year) -> Associate Step 2.5 (1 year) -> Associate Step 3.5

1.0-step promotion followed by 1.0-step merit (normal time in parentheses)

Assistant Step 4 (2 years) -> Associate Step 1 (2 years) -> Associate Step 2
 Assistant Step 4.5 (2 years) -> Associate Step 1.5 (2 years) -> Associate Step 2.5
 Assistant Step 5 (2 years) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 5.5 (2 years) -> Associate Step 2.5 (2 years) -> Associate Step 3.5
 Assistant Step 6 (2 years) -> Associate Step 3 (2 years) -> Associate Step 4
 Assistant Step 6.5 (2 years) -> Associate Step 3.5 (2 years) -> Associate Step 4.5

⁶ Should a candidate have multiple terminal degrees (e.g., M.D. and Ph.D.; D.V.M. and Ph.D.), the review period for promotion to the Associate rank would be since the awarding of the first terminal degree.

1.5-step promotion followed by 1.0-step merit (normal time in parentheses)

Assistant Step 4 (2 years) -> Associate Step 1.5 (2 years) -> Associate Step 2.5
 Assistant Step 4.5 (2 years) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 5 (2 years) -> Associate Step 2.5 (2 years) -> Associate Step 3.5
 Assistant Step 5.5 (2 years) -> Associate Step 3 (2 years) -> Associate Step 4
 Assistant Step 6 (2 years) -> Associate Step 3.5 (2 years) -> Associate Step 4.5
 Assistant Step 6.5 (2 years) -> Associate Step 4 (2 years) -> Associate Step 5

2.0-step promotion followed by 1.0-step merit (normal time in parentheses)

Assistant Step 4 (2 years) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 4.5 (2 years) -> Associate Step 2.5 (2 years) -> Associate Step 3.5
 Assistant Step 5 (2 years) -> Associate Step 3 (2 years) -> Associate Step 4
 Assistant Step 5.5 (2 years) -> Associate Step 3.5 (2 years) -> Associate Step 4.5
 Assistant Step 6 (2 years) -> Associate Step 4 (3 years) -> Associate Step 5
 Assistant Step 6.5 (2 years) -> Associate Step 4.5 (3 years) -> Associate Step 5.5

Promotions that are accelerated in time are allowed and are limited to 1.0 step or lateral advancement. Promotions that are accelerated in time may not be evaluated using Step Plus guidelines.

Following are examples of one-step promotions that are accelerated in time:

Assistant Step 4 (1 year) -> Associate Step 1 (2 years) -> Associate Step 2
 Assistant Step 4.5 (1 year) -> Associate Step 1.5 (2 years) -> Associate Step 2.5
 Assistant Step 5 (1 year) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 5.5 (1 year) -> Associate Step 2.5 (2 years) -> Associate Step 3.5

		PROPOSED							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT	Asst 4	1.0 step	1.5 step	2.0 step					
	Asst 4.5		1.0 step	1.5 step	2.0 step				
	Asst 5	Lateral		1.0 step	1.5 step	2.0 step			
	Asst 5.5		Lateral		1.0 step	1.5 step	2.0 step		
	Asst 6			Lateral		1.0 step	1.5 step	2.0 step	
	Asst 6.5				Lateral		1.0 step	1.5 step	2.0 step

Associate to Full rank Promotions**Half-Step promotion is not an option****Lateral promotion followed by 1.0-step merit (normal time in parentheses)**

Associate 4 (1 year) -> Full Step 1 (2 years) -> Full Step 2
 Associate 4 (2 years) -> Full Step 1 (1 year) -> Full Step 2
 Associate 4.5 (1 year) -> Full Step 1.5 (2 years) -> Full Step 2.5
 Associate 4.5 (2 years) -> Full Step 1.5 (1 year) -> Full Step 2.5
 Associate 5 (1 year) -> Full Step 2 (2 years) -> Full Step 3

Associate 5 (2 years) -> Full Step 2 (1 year) -> Full Step 3
 Associate 5.5 (1 year) -> Full Step 2.5 (2 years) -> Full Step 3.5
 Associate 5.5 (2 years) -> Full Step 2.5 (1 year) -> Full Step 3.5

1.0-step promotion followed by 1.0-step merit (normal time in parentheses)

Associate Step 3 (2 years) -> Full Step 1 (3 years) -> Full Step 2
 Associate Step 3.5 (2 years) -> Full Step 1.5 (3 years) -> Full Step 2.5
 Associate 4 (3 years) -> Full Step 2 (3 years) -> Full Step 3
 Associate 4.5 (3 years) -> Full Step 2.5 (3 years) -> Full Step 3.5
 Associate 5 (3 years) -> Full Step 3 (3 years) -> Full Step 4
 Associate 5.5 (3 years) -> Full Step 3.5 (3 years) -> Full Step 4.5

1.5-step promotion followed by 1.0-step merit (normal time in parentheses)

Associate Step 3 (2 years) -> Full Step 1.5 (3 years) -> Full Step 2.5
 Associate Step 3.5 (2 years) -> Full Step 2 (3 years) -> Full Step 3
 Associate 4 (3 years) -> Full Step 2.5 (3 years) -> Full Step 3.5
 Associate 4.5 (3 years) -> Full Step 3 (3 years) -> Full Step 4
 Associate 5 (3 years) -> Full Step 3.5 (3 years) -> Full Step 4.5
 Associate 5.5 (3 years) -> Full Step 4 (3 years) -> Full Step 5

2.0-step promotion followed by 1.0-step merit (normal time in parentheses)

Associate Step 3 (2 years) -> Full Step 2 (3 years) -> Full Step 3
 Associate Step 3.5 (2 years) -> Full Step 2.5 (3 years) -> Full Step 3.5
 Associate 4 (3 years) -> Full Step 3 (3 years) -> Full Step 4
 Associate 4.5 (3 years) -> Full Step 3.5 (3 years) -> Full Step 4.5
 Associate 5 (3 years) -> Full Step 4 (3 years) -> Full Step 5
 Associate 5.5 (3 years) -> Full Step 4.5 (3 years) -> Full Step 5.5

Promotions that are accelerated in time are allowed and are limited to one-step or lateral advancement. Promotions that are accelerated in time may not be evaluated using Step Plus guidelines.

Following are examples of one-step promotions that are accelerated in time:

Associate Step 3 (1 year) -> Full Step 1 (3 years) -> Full Step 2
 Associate Step 3.5 (1 year) -> Full Step 1.5 (3 years) -> Full Step 2.5
 Associate Step 4 (1-2 years) -> Full Step 2 (3 years) -> Full Step 3
 Associate Step 4.5 (1-2 years) -> Full Step 2.5 (3 years) -> Full Step 3.5
 Associate 5 (1-2 years) -> Full Step 3 (3 years) -> Full Step 4
 Associate 5.5 (1-2 years) -> Full Step 3.5 (3 years) -> Full Step 4.5

		PROPOSED							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT	Assoc 3	1.0 step	1.5 step	2.0 step					
	Assoc 3.5		1.0 step	1.5 step	2.0 step				
	Assoc 4	Lateral		1.0 step	1.5 step	2.0 step			
	Assoc 4.5		Lateral		1.0 step	1.5 step	2.0 step		
	Assoc 5			Lateral		1.0 step	1.5 step	2.0 step	
	Assoc 5.5				Lateral		1.0 step	1.5 step	2.0 step

Appendix E: Frequently Asked Questions

Eligibility

1. Why does the Step Plus System refer to reviews at 2, 3 and 4-year intervals?

Within most title series, the normative review cycle is 2 years for the Assistant and Associate levels. After Associate Step 4, the review cycle occurs every 3 years. At the Full rank, the normative review cycle is 3 years up to Professor Step 9 and then the review cycle occurs every 4 years. At every review, the individual may be considered for more than 1.0 step (1.5 or 2.0 steps), except at Above Scale.

2. Is a merit increase of half-step part of the Step Plus system?

A merit increase of a half step will only be considered for faculty at Professor Step 9 who may not meet the APM 220-18 criteria to advance to Above Scale.

3. With respect to the fixed/normative review period, will the law school's "Acting Professor" designation be treated the same as "Assistant/Associate Professor" designation, and thus provided a normative review period of two years?

Yes, this is correct.

4. Does the new, normative period of three years begin from a candidate's last advancement?

Yes, this is correct if the last advancement was positive. The candidate will remain eligible every year following a denied action or a deferral until they positively advance or until a promotion or five-year review is required. Please note that normative time at step is different at the various ranks and steps. Please see APM 220-18 or applicable title series policy. The normative time at each step can also be found on the Step Plus System Salary Tables.

5. Does Step Plus change the process for Career Equity Review (CER)?

The Step Plus System does not change the process for [Career Equity Review](#).

6. Are promotions allowed to accelerate in time and accelerate in step?

No. Promotions to Associate and Full Professor either can be accelerated in time or can be evaluated according to Step Plus guidelines, but not both. A promotion action that is "accelerated in time" is one for which the candidate is seeking advancement early, without waiting normative time at the current step. "Accelerations in time" should not be confused with on-time Step Plus advancements of more than 1.0 step. For example, a 2.0-step advancement at normative time is not considered an "acceleration in time," even though a full step has been skipped.

7. What is the review period for the first merit after a lateral promotion?

The review period begins with merit advancement to the overlapping step in the previous rank.

For example:

- A professor advances to Assistant Professor Step 5 effective 7/1/2020. The review period for this action was most likely 7/1/17-6/30/19.
- Then, in 2020-2021, this Assistant Professor successfully pursues a lateral promotion to Associate Professor Step 1 effective 7/1/2021. The review period for this action is since terminal degree.
- According to APM 220-18-b, time spent at these **overlapping steps is “combined.”** Since normative time at these steps is 2 years, this Associate Professor is eligible for Step Plus merit advancement effective 7/1/2022. In this scenario, the review period for the merit from Associate Professor Step 1 is 7/1/2019-6/30/2021.

Note: Policy does allow an alternative review period method with an end date of 9/30. The review period may be 10/1/2019-9/30/2021 if the period of 7/1/2019-9/30/2019 was counted for the merit to Assistant Professor, Step 5.

8. How do you apply Step Plus criteria for a merit advancement to Professor Above Scale and Professor Further Above Scale?

Merit advancements to Professor Above Scale and Professor Further Above Scale are evaluated outside the Step Plus system.

9. Since “accelerations in time” are allowed for promotions, can a faculty member pursue a skip-a-step promotion?

No. A dossier that is being evaluated for a promotion that is accelerated in time (i.e., an “early” promotion that occurs before normative time has elapsed for the next eligible action) will not be considered or approved for advancement of more than one step.

General

10. If a candidate went up for a 1.5-step merit and only received 1.0-step merit, would the candidate be able to appeal?

Yes, Step Plus does not change the right to appeal. See [APM UCD 220 IV. J](#), [APM UCD 220 Procedure 5](#), and the [Academic Senate Appeal Process](#). Academic Federation members, see [APM UCD 220AF IV. H](#).

11. Why is Step 1.5 at the Assistant ranks not an available step?

Step 1.5 at the assistant rank is not available because half-step merits are not an option except at Professor Step 9. Example: if someone is hired at Step 1.0, their only option is to merit to Step 2, 2.5, etc. Including step 1.5 would therefore cause confusion since it is not a merit option and appointments can only be made to a whole step.

12. Do the responsibilities of the Faculty Personnel Committees (FPC) change under the Step Plus System?

The role of the college and school FPCs does not change.

13. What happens if the department recommends a 1.5-step increase, but the FPC does not support the 1.5-step increase?

The Faculty Personnel Committee (FPC) recommendation is advisory to the Dean. The Dean may still approve a 1.5-step increase if the dean determines the record merits a 1.5-step increase. The Dean also has the option to approve a 1.0 step increase. However, if the FPC or the Dean recommends a 2.0-step increase, the action becomes non-redelegated.

14. What happens if a faculty member is eligible for a merit and chooses to defer?

The faculty member continues to be eligible for a merit every year thereafter until they positively advance to the next step. Upon advancement, the normative time clock starts over.

15. If a faculty member is pursuing an action in normative time, can they opt out of Step Plus?

Typically, every action that is reviewed in normative time, or following a deferral or five-year review, is to be evaluated using the Step Plus system. However, there are exceptions, including: advancements to and at Above Scale; and cases where a candidate chooses to not be considered for promotion, in which case the steps that they are eligible for within the rank may be limited.

Voting/Action Selection

16. Can the candidate still pursue advancement even if the department majority votes against advancement? What is entered as the proposed step on the Action Form? In addition, what kind of language should Department Chairs use when writing a department letter under such circumstances?

After the results of the department vote are shared with the candidate, the candidate retains the option to pursue the action even if advancement is not supported by the majority of department voters. In this case, the Action Form should be presented as a 1.0-step advancement. Alternatively, the candidate may defer consideration for advancement by requesting a deferral, unless policy requires promotion or five-year review.

The department letter should only reflect the department's response to the candidate's dossier. The following language is offered as an example of how to capture the department recommendation in the department letter:

“The department of ABC does not recommend that Professor XYZ receive a merit increase/promotion effective July 1, 20xx. The details of the department vote are summarized below.”

The candidate may make a case for their desired step when they prepare their candidate's statement. In these cases, the action form should reflect a proposed merit increase of 1.0 step.

17. Do department voting procedures need to change under the Step Plus System?

Departments select their own voting procedures and processes. The appropriate Academic Senate and Federation committees review proposed changes in procedures, but those changes most often address the issue of which department members are eligible to vote on which academic personnel actions. Under the Step Plus System, all merits will be reviewed at the normative interval, and so departments will need to consider how they wish to express support (or the lack thereof) for a merit of greater than one step.

18. Who decides how many steps the candidate will advance?

Depending on the [delegation of authority](#), either the Dean or Vice Provost for Academic Affairs will decide the final step advancement. Promotions are decided by the Chancellor. All actions will be considered for greater than 1.0 step at each review by the department(s), unless the action is a promotion that is accelerated in time or an advancement to or at Above Scale. Following review, the department(s) will vote on whether a 1.0-, 1.5-, or 2.0- step advancement will be recommended. If the candidate is reviewed by multiple departments, the action form should reflect the highest departmental recommendation, which may result in a change of delegation for the action.

19. Who decides who goes up for promotion? If a candidate is at a step that is eligible for promotion (not a seventh-year case), can the candidate choose not to be considered for promotion and limit the department vote to only Step plus options for merit?

An academic appointee can come up for promotion when they are ready or when the department finds the record supports the action. Assistant professors must promote no later than their seventh year, per APM 133 and APM 220, unless they previously received approval for an extension on the clock. If the candidate is four years or less at rank or clearly does not meet the criteria for promotion (e.g., absence of an in-press or published book in the book disciplines), the candidate has the option to have promotion removed from the Step Plus ballot. In all other circumstances, the promotion options under Step Plus must be included on the ballot.

20. I heard that you only have one opportunity to pursue a promotion. Is this true?

The only scenario in which a candidate has only one opportunity to pursue a promotion is when the candidate holds a title that has a service limit (e.g., assistant professor) and the promotion review takes place during the seventh year at the Assistant rank.

21. A Professor Step 8 wants to advance to Professor Above Scale. Can the department recommend that this candidate be advanced 2.0 steps?

No, APM 220 does not allow faculty to advance to Above Scale before spending four years at Professor Step 9 or Step 9.5. The department can only recommend a 1.0- or 1.5-step merit advancement.

22. An Associate Professor Step 3 is eligible for promotion to the full rank. The choices are 1.0 step, 1.5 steps, 2.0 steps, no, and abstain. What does 1.0 step mean – Associate Professor Step 4 or Professor, Step 1?

In this situation, it will be critical for the department chair to consult with the candidate to discuss advancement options and the merits of the case. If both the promotion and merit options are to be

considered, the faculty must be informed explicitly whether they are voting on promotion or on a merit. If the faculty are voting on a promotion from Associate Professor, Step 3, an increase of 1.0 step would result in a proposed promotion to Professor, Step 1. If the faculty do not support a promotion, then a separate vote would need to be recorded on a merit increase. Departments may consider designing a special ballot with more options for this situation, so long as its format is consistent with the more typical department ballot.

23. An Assistant Professor Step 5 is up for promotion at year 7. One of the options may be lateral promotion to Associate Professor Step 1. How is this indicated on a ballot?

It is a good idea to add a lateral promotion as an option when a faculty member previously merited to an overlapping step. The ballot may look like the following:

2.0-step promotion (Associate Professor Step 3)
 1.5-step promotion (Associate Professor Step 2.5)
 step promotion (Associate Professor Step 2)
 Lateral Promotion (Associate Professor Step 1)
 No support
 Abstain

Note: Associate Professor, Step 1.5 is not a promotion option as an increase of 0.5 steps is not an option under Step Plus except for barrier step merits. There is a guide to promotions and the role of overlapping steps available [here](#).

24. We have a faculty member at Assistant Professor Step 3 (or Associate Professor Step 2) who wants to pursue a promotion action. Is this allowed?

Occasionally, there may be a case where an Assistant Professor Step 3 or an Associate Professor Step 2 may seek advancement after spending normative time (2 years) at their current step. Candidates at Assistant rank, Steps 1-3.5 and Associate rank, Steps 1-2.5 are not eligible for promotions that are accelerated in time.

Promotion eligibility when a candidate HAS spent normative time at their current step:

		PROPOSED ADVANCEMENT							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT Candidate HAS spent normative time at step	Asst 3	2.0 step							
	Asst 3.5	1.5 step	2.0 step						
	Asst 4	1.0 step	1.5 step	2.0 step					
	Asst 4.5		1.0 step	1.5 step	2.0 step				
	Asst 5			1.0 step	1.5 step	2.0 step			
	Asst 5.5				1.0 step	1.5 step	2.0 step		
	Asst 6					1.0 step	1.5 step	2.0 step	
	Asst 6.5						1.0 step	1.5 step	2.0 step

		PROPOSED ADVANCEMENT							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT Candidate HAS spent normative time at step	Assoc 2	2.0 step							
	Assoc 2.5	1.5 step	2.0 step						
	Assoc 3	1.0 step	1.5 step	2.0 step					
	Assoc 3.5		1.0 step	1.5 step	2.0 step				
	Assoc 4			1.0 step	1.5 step	2.0 step			
	Assoc 4.5				1.0 step	1.5 step	2.0 step		
	Assoc 5					1.0 step	1.5 step	2.0 step	
	Assoc 5.5						1.0 step	1.5 step	2.0 step

25. We have determined our Assistant Professor, Step 3 has spent normative time at their current step. How should the department vote?

If the candidate has spent normative time at Assistant Professor, Step 3 (or Associate Professor, Step 2) the action is NOT considered an acceleration in time, and should be reviewed following Step Plus guidelines. The department should vote on all possible outcomes:

2.0-step promotion to Associate Professor Step 1

2.0-step merit to Assistant Professor Step 5

1.5-step merit to Assistant Professor Step 4.5

step merit to Assistant Professor Step 4

No advancement

Abstain

26. What if the Assistant Professor Step 3 in question has not spent normative at their current step?

The Assistant Professor Step 3 is not eligible for promotion in this scenario.

Promotion eligibility when a candidate HAS NOT spent normative time at their current step:

		PROPOSED ADVANCEMENT							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT Candidate HAS NOT spent normative time at step	Asst 3	Not eligible for promotion							
	Asst 3.5	Not eligible for promotion							
	Asst 4	1.0 step							
	Asst 4.5		1.0 step						
	Asst 5	Lateral		1.0 step					
	Asst 5.5		Lateral		1.0 step				
	Asst 6			Lateral		1.0 step			
	Asst 6.5				Lateral		1.0 step		

		PROPOSED ADVANCEMENT							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT Candidate HAS NOT spent normative time at step	Assoc 2	Not eligible for promotion							
	Assoc 2.5	Not eligible for promotion							
	Assoc 3	1.0 step							
	Assoc 3.5		1.0 step						
	Assoc 4	Lateral		1.0 step					
	Assoc 4.5		Lateral		1.0 step				
	Assoc 5			Lateral		1.0 step			
	Assoc 5.5				Lateral		1.0 step		

Exception: Candidates who have been at the Assistant rank for 7 years and must be considered for promotion before normative time has elapsed at the current step (a “technical acceleration”) may still be considered for Step Plus, and the department should vote on all possible outcomes.

27. Should we require an explanation for a “no” vote on 1.5 steps and 2.0 steps, or just in the case where the 1.0-step merit is not supported?

An explanation is only required when faculty do not support a 1.0-step merit advancement. However, faculty members should be able to add comments whenever they support or do not support any action.

28. When does the chair consult with the candidate?

In some circumstances, it will be important for the Chair to discuss voting options with the candidate before the department vote. However, we generally recommend that voting faculty should be given the opportunity to vote on all common merit and/or promotion options under Step Plus (0, 1.0, 1.5 and 2.0 steps). Prior to the faculty vote, the candidate prepares the Candidate’s Statement to make their best case for the action they think they deserve. The department letter should make a recommendation based on the vote and post-vote consultation between the Chair and the candidate.

29. What if only half the voting faculty support a 2.0-step merit increase? As chair, what advice do I give to the candidate?

In scenarios like this, the 2.0-step merit increase should be submitted. The chair can remind the candidate that all approved merit increases are an excellent outcome!

30. What is the role of the faculty member in terms of their willingness to self-promote or their tolerance for risk?

The department voters will have access to the record, including the candidate’s statement, in which the candidate should make his or her case for an action felt to be deserved. The department letter must recommend an action based on the vote. If the vote is divided and does not clearly imply a single recommendation, the candidate’s preference and discussion with the chair can play a significant role in the recommendation.

31. Can the department recommend retroactive advancement under Step Plus?

No. All reviewers and decision-makers shall evaluate the case using the Step Plus system and consider the candidate for a merit of greater than 1.0 step rather than recommending retroactive advancement.

32. How do joint department recommendations work?

Just as in the previous system, the joint department may make a recommendation that differs from that of the home department. However, the primary department should update the proposed status on the Action Form to reflect the highest advancement recommendation from any of the candidate's departments (home department, secondary department, etc.). The proposed action then determines the delegation of authority.

33. As a member of a review committee (such as an FPC or CAP), what do I do regarding department-level voting on actions that may or may not come to my committee for review?

The FPC or CAP member shall vote only once, and that member shall decide if that will be at the department level or the FPC/CAP level, on a case-by-case basis. If the FPC or CAP member votes at the department level on a particular action, then the member cannot vote at the FPC or CAP level on that action, but can still participate in the committee discussion. If the FPC or CAP member chooses to recuse themselves from voting at the department level, it is possible that this member will not have the opportunity to vote on the action, depending on the outcome of the home and joint department recommendations.

Departments may choose to allow CAP members to vote on the 1.0- and 1.5-step advancement options, with the expectation that they will recuse themselves from voting on a 2.0-step advancement. FPC members could be allowed to vote on the 2.0-step advancement with the expectation that they recuse themselves from the 1.0- and 1.5-step advancement options. When this occurs, the department letter should clearly identify abstentions that apply to a specific advancement option.

34. How does the candidate's advancement selection on the "Notification of advancement eligibility for Academic Federation" impact (a) the recommendation on the Action Form, and (b) the department vote?

This form shall not be provided to the department reviewers prior to the department vote. Once the candidate has made a selection, the department must vote on all Step Plus advancement options, and the voting results are included in the department letter. However, if the candidate elected to pursue only 1.0 step on the notification of eligibility, the department letter recommendation must be for 1.0 step only. The department letter should also explain that the 1.0 step recommendation is driven by the candidate's selection, due to funding availability. The action form "proposed status" section should also reflect a 1.0 if this is what the candidate has selected.

Appendix F: Compiled Step Plus Guidelines with Tracked Changes

Overview of the Step Plus System

The Step Plus system, as described below, was 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. On July 1, 2015, the Step Plus System was implemented for the following title 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. On July 1, 2017, Step Plus was implemented for the following title series: Academic Administrator, Academic Coordinator, Assistant/Associate University/Law Librarian, Continuing Educator, and University Extension Teacher.

Overview of the Step Plus System for Personnel Actions

These guidelines are to be used in addition to the policies, procedures, and exhibits provided in the [Academic Personnel Manual \(APM\)](#) and the [APM-UCD](#). If an apparent conflict between the APM and the Step Plus guidelines is discovered, please contact Academic Affairs for guidance. Key guidelines for applying the Step Plus system in academic personnel actions are as follows:

- New appointments are allowed only at full steps.
 - ~~Normative schedule.~~ All merits are considered on a fixed two-, three- or four- year schedule, as determined by normative time at their current rank and step. Normative time is defined in ~~APM 220-18;~~ or applicable ~~title series policy;~~ and can also be found on the ~~Step Plus System Salary scales.~~ At every review, ~~the conducted in normative time, except for~~ advancements to Professor Above Scale and Professor Further Above Scale, an individual may be considered for more than ~~one 1.0~~ step, i.e. 1.5 steps, ~~or 2.0 steps, etc.~~ (Guidelines for Advancements—Senate, Guidelines for Advancements—Federation; Guide for Step Plus Promotions and Barrier Steps; Above Scale Merits in the Step Plus System).
 - An advancement of only a 0.5 step is will only be considered for faculty at Professor Step 9 who may not an option in meet the Step Plus system APM 220-18 criteria to advance to Above Scale.
 - Promotions to Associate and Full ranks can be accelerated in time or can be evaluated according to Step Plus Guidelines, but not both. (See [Guide for Step Plus Promotions and Barrier Reviews](#))
 - Advancement to ~~Step 6,~~ Professor Above Scale or equivalent step, and to Professor of Teaching (Senior Lecturer with Security of Employment) Above Scale, like other merits, will only be considered on the fixed ~~three or~~ four-year schedule. These advancements should be evaluated outside the Step Plus System and in accordance with APM 220-18 criteria.
 - Advancements of greater than ~~two~~ 2.0 steps are permitted in Step Plus, although they are expected to be extremely rare. For consistency, no departments or programs should include a greater than 2.0-step option on their ballots but voting faculty may advocate for a greater than 2.0-step advancement in their comments.
-
- Outside of the formal Career Equity Review Process, CAP reviews all merits and promotions for equity and may recommend additional half step(s) for equity.

Action Form for Step Plus

~~The Action Form should reflect, a 1.0-step advancement~~ as the default action type, ~~a 1.0-step advancement for all actions during the initial department review and vote. This is also true for Above Scale actions (see first Above Scale formula at <http://academicaffairs.ucdavis.edu/policies/stepplus/further-above-scale-merits.html>; after which Above Scale actions of 1.0-step = 5% salary increase).~~

Reminder: If the action is an Endowed Chair/Professorship Appointment/Reappointment or a Department Chair Five-Year Review, the current and proposed status on the Action Form should be the same rank and step.

If the ~~candidate's advancement eligibility (up~~candidate is eligible to 2.0 steps) ~~could potentially cross a promotion/barrier step~~ be promoted, the department should prepare the dossier matching the longest potential review period. ~~If~~As the advancement to a promotion ~~or a barrier~~ step would require extramural letters, the candidate must be consulted regarding soliciting extramural letters. The actual solicitation of letters can be delayed until after the initial department vote. However, if any of the recommending bodies (departments, FPC, and/ or deans) makes a recommendation for an advancement that requires extramural letters (e.g., promotion ~~or crossing a barrier step~~), additional review and voting are required by the department(s) after receipt of the extramural letters.

In the case of an evenly split department vote, the highest step supported by at least half of the voters shall be the department recommendation. Every department shall determine how to consistently include/exclude abstentions in the total number of eligible department voters.

~~Although this practice should not be~~Faculty are encouraged, ~~the in their~~ candidate ~~may statement to emphasize their areas of strength and identify accomplishments they feel are especially outstanding or noteworthy. Candidates should not, however, request or~~ make the case for a particular Step Plus advancement (1.0, 1.5, or 2.0 steps) ~~in their candidate's statement. However, this request per se does not affect either~~, nor would such a request or recommendation change the Action Form or Delegation of Authority.

After the results of the department vote are shared with the candidate, the candidate retains the option to pursue the action even if advancement is not supported by the majority of department voters. ~~(In this case, the Action Form should be presented as a 1.0-step advancement.)~~ Alternatively, the candidate may defer consideration for advancement by requesting a deferral, unless policy requires promotion or five-year review.

~~The~~For split appointments, the primary department should update the proposed status on the Action Form to reflect the highest advancement recommendation from any of the candidate's departments (home department, secondary department, etc.). The proposed action then determines the delegation of authority (see delegation discussion below). If the action is an Above Scale merit, please include the rate of the proposed action (1.0-, 1.5- or 2.0-step advancement) in the field "Rank and Title" under the Proposed Status in the Action Form. will only be a 1.0 step.

Delegation of Authority Guidance

The Delegation of Authority for the action should be updated by the primary department after the recommendation(s) of the department(s) is/are received. The Delegation of Authority may also be changed after receipt of the recommendation(s) from the ~~Faculty Personnel Committee~~ FPC(s) (~~FPC~~) and/or dean(s). To determine the delegation of authority, see <http://academicaffairs.ucdavis.edu/dofa.cfm> and use the following guidance:

- If none of the reviewing bodies (departments, ~~FPC~~ FPCs or deans) supports ~~more than either a 2.0-step or 1.5-step advancement, or promotion~~ and ~~that the~~ highest supported advancement action is redelegated, then select “Redelegated” as the delegation of authority. If this redelegated action is the first action after appointment or promotion, the dean has decision authority and FPC review is optional.
- If any department recommends a 2.0-step advancement or an action that is a promotion or 1.0-step merit ~~that crosses a barrier step to Above Scale or Further Above Scale~~, the action is entered as “~~non~~ Non-redelegated²².” This applies to any primary or joint department(s) recommendation(s). ~~Depending on how the dossier was prepared or if the barrier step requires extramural letters, the action may need to be returned to the primary department for possible dossier changes and new vote(s)/recommendation(s) from all departments.~~

~~If the FPC, primary dean, or joint dean makes a recommendation for a 2.0-step advancement or an action that crosses a barrier step, the action becomes non-redelegated. Depending on how the dossier was prepared or if the barrier step requires extramural letters, the action may need to be returned to the department level for possible dossier changes and new vote(s)/recommendation(s).~~

Suggestions

Step Plus Guidelines for Conducting Departmental Votes

General Principles

Step Plus is an opportunity for enables departments to provide explicit evaluation of peers for greater than one step advancement, based on recognize outstanding performance that exceeds in the merit and promotion process. Advancement of 1.5 or 2.0 steps can be recommended for faculty whose performance in one or more areas of review is evaluated as outstanding and greatly exceeding expectations for a normative 1.0-step advancement. (see Step Plus Guidelines for Advancement). All merit and promotion dossiers, that are reviewed are in normative time, should be are considered for Step Plus advancement (i.e., 1.0, 1.5, and 2.0 step). 1.0, 1.5, or 2.0 steps) if eligible, with the exception of advancement to Professor Above Scale and Professor Further Above Scale.

Every department has the right to determine its own voting process (so long as that process is not in conflict with Academic Senate Bylaw 55), but voting in the Step Plus system must accomplish the minimum requirements of:

Departments should develop and use a Step Plus ballot that facilitates voting for a specific Step Plus action and to identify and comment on those outstanding area(s) of evaluation that may warrant a vote for 1.5 or 2.0 steps. Step Plus voting does not replace each department's own voting procedures (per Academic Senate Bylaw 55), but is intended to achieve the following required outcomes:

- a specific action recommended by the department; ~~and~~
- a ~~vote from Senate peers that clearly indicates~~ the degree of support for the proposed action; based on the vote from Senate peers

Once your department agrees on a Step Plus ballot, it must be used for all Step Plus actions for that review cycle. Changes can be made for the following review cycle, if needed.

- It is optional to include on the the area of evaluation that forms the basis for the votes and the proposed action

A Step Plus ballot an opportunity to rate that delineates a candidate's performance in specific academic areas and has (e.g., research, teaching, service) is recommended as a number of potential advantages.

The guidelines way for advancement under Step Plus hinge on the degree voting faculty to which performance exceeds expectations convey their support for a 1.0-step merit advancement, and in how many of the fundamental areas.

The use of the specific criteria for evaluation has been shown to reduce the effects of unconscious biases.

area(s) that may warrant an additional step. By providing ratings of rating performance in different areas each area of academic evaluation, departments have an opportunity to can clarify their academic priorities and expectations, and to provide stronger justification for justify the recommended action. - Comments accompanying all votes for >1.0 step are also strongly encouraged.

~~Your department members should decide whether you will~~ Examples of performance ratings and departmental voting templates are provided below.

Departments are encouraged to incorporate performance ratings into ~~your~~their ballot. ~~If so, you need to determine the~~ Rating categories ~~for rating~~ and the scoring system ~~(e.g. three or five rating categories)~~should be determined. Because the recommendation for Step Plus advancement ~~hinges~~depends on how peers perceive the candidate's academic performance, ~~we recommend~~it is recommended that ~~the~~ performance ratings ~~section~~precede the actual voting section on the ballot. ~~One possible example for ratings is shown below~~Alternatively or in addition to performance ratings, voting templates should provide a field for voters to specify the area(s) of evaluation that warrant an additional half step and to provide explanatory comments.

~~Evaluative Rating for the Professor Series: an example in two ballot formats~~

Note: This is an optional section of the ballot. Departments may select additional performance areas beyond the three fundamental ones for evaluation (teaching, research and service), and may also choose to more finely decompose any of those three areas (e.g. "classroom teaching" and "grad student mentoring" as components of "teaching", etc.). "Contributions to diversity" should be considered in evaluation for merit advancement and promotion (APM 210), but can be evaluated either as a separate area or as a component of performance in teaching, research and/or service. Below is an example of a way to gather this information.

~~Table-oriented Evaluation~~

	Teaching	Service	Scholarly/Creative Activities
-			
Abstain	-	-	-
Does not meet expectations	-	-	-
Somewhat below expectations	-	-	-
Clearly meets expectation for 1.0 step advancement	-	-	-
Somewhat above expectations	-	-	-
Well above expectations	-	-	-

~~If possible, please provide comments on the candidate's contributions to meeting the campus diversity goals in teaching, research, and/or service:~~

~~Question-oriented Evaluation~~ All potential voting options should be provided on department Step Plus
(1) Please choose one rating to indicate your overall evaluation of Teaching:

- ~~5. Excellent~~
- ~~4. Very Good~~
- ~~3. Average~~
- ~~2. Below Average~~
- ~~1. Poor~~
- ~~0. Abstain~~

Comment on Teaching:

-

(2) Please choose one rating to indicate your overall evaluation of Service:

5. Excellent

4. Very Good

3. Average

2. Below Average

1. Poor

o Abstain

Comment on Service:

-

(3) Please choose one rating to indicate your overall evaluation of Scholarly/Creative Activities:

5. Excellent

4. Very Good

3. Average

2. Below Average

1. Poor

o Abstain

Comment on Scholarly/Creative Activities:

-

(4) If possible, please provide comments on the candidate's contributions to meeting the campus diversity goals in teaching, research, and/or service:

Voting on Advancement: sample ballot

Note: The language on the ballots ~~will need to be modified~~, with appropriate modifications for merits versus promotions. If voting indicates support for ~~an advancement that would cross a promotion boundary or merit advancement to Above Scale~~, extramural letters will be required, and a second vote will be conducted. If the candidate ~~is four years or has spent~~ less than normative time at rank or clearly does not meet the criteria for promotion (e.g., absence of an in-press or published book in the book disciplines), the candidate has the option to have promotion removed as a voting option from the Step Plus ballot. In all other circumstances, the promotion ~~options~~option under Step Plus must be included on the ballot.

Voting Example

Description: ~~Dr. [name] is under review for advancement from Professor. Once the department agrees on a Step Plus ballot, it must be used for all Step Plus actions for that review cycle.~~ Changes can be made for the following review cycle, if needed.

Examples of Performance Ratings and Ballot TemplatesExample A. Performance rating (primary areas of evaluation)

	<u>Research/Scholarly and Creative Work</u>	<u>Teaching</u>	<u>Service</u>
<u>Does not meet expectations</u>			
<u>Somewhat below expectations</u>			
<u>Clearly meets expectations for 1.0-step</u>			

<u>Somewhat above expectations</u>			
<u>Outstanding</u>			

Example B. Performance rating (primary areas of evaluation)

(1) Please rate your overall evaluation of Teaching:

- ☐ Outstanding
☐ Very Good
☐ Average
☐ Below Average
☐ Poor
☐ Abstain

Comments on Teaching:

-
(2) Please rate your overall evaluation of Service:

- ☐ Outstanding
☐ Very Good
☐ Average
☐ Below Average
☐ Poor
☐ Abstain

Comments on Service:

-
(3) Please rate your overall evaluation of Scholarly/Creative Activities:

- ☐ Outstanding
☐ Very Good
☐ Average
☐ Below Average
☐ Poor
☐ Abstain

Comments on Scholarly/Creative Activities:

-
(4) Please rate your overall evaluation of Professional Competence:

- ☐ Outstanding
☐ Very Good
☐ Average
☐ Below Average
☐ Poor
☐ Abstain

Comments on Professional Competence:

Example C. (For Professor of Clin__) Performance rating (primary and secondary areas of evaluation)

	<u>No comment</u>	<u>Poor</u>	<u>Below average</u>	<u>Average</u>	<u>Above average</u>	<u>Outstanding</u>
<u>PROFESSIONAL (CLINICAL/DIAGNOSTIC)</u>						

<u>COMPETENCE AND ACTIVITIES</u>						
<u>Advancements and innovations in specialty practice area</u>						
<u>Regional/national reputation</u>						
<u>TEACHING</u>						
<u>Clinical and didactic teaching</u>						
<u>Resident or graduate training & mentoring</u>						
<u>Curricular development</u>						
<u>RESEARCH/SCHOLARLY AND CREATIVE WORK</u>						
<u>Peer-reviewed publications</u>						
<u>Research impact/significance</u>						
<u>SERVICE</u>						
<u>Dept, college/school, campus, systemwide service</u>						
<u>Public and professional service</u>						
<u>CONTRIBUTIONS TO DIVERSITY</u>						

Example D. Voting template

<u>Unit</u>	<u>Voting action</u>				
	<u>Do not support</u>	<u>1.0 step</u>	<u>1.5 steps</u>	<u>2.0 steps</u>	<u>Abstain</u>
<u>Division/section</u>					
<u>Department</u>					
<u>Total</u>					

Example E. Voting template

I support: ☐ 0 steps (no advancement) ☐ 1.0 step ☐ 1.5 steps ☐ 2.0 steps ☐ Promotion

If you selected 0 steps (no advancement), explain why in the comments

If you selected 1.5 steps, indicate the 1 area of evaluation that warrants the extra half step

If you selected 2.0 steps, indicate the 2 areas of evaluation that warrant the extra step

Comments:

Example ~~X~~, effective 07/01/YYYY. F. Voting template

<u>Vote*</u>	<u>Check ONE box</u>	<u>Area(s) of evaluation that warrant 1.5 or 2.0 steps (e.g., research, teaching, service)</u>
--------------	----------------------	--

<u>Support 1.0 (normal advancement)</u>	<input type="checkbox"/>	<u> </u>
<u>Support 1.5 steps</u>	<input type="checkbox"/>	<u>Specify:</u>
<u>Support 2.0 steps</u>	<input type="checkbox"/>	<u>Specify:</u>
<u>Do not support advancement</u>	<input type="checkbox"/>	<u> </u>
<u>Abstain</u>	<input type="checkbox"/>	<u> </u>

*Comments are requested to justify additional steps or to explain a ‘do not support’ vote or abstention.

Example G. Voting template

Which of the following options do you feel is most appropriate for ~~an~~merit advancement ~~from~~ Professor, Step X, to be effective 07/01/YYYY? Please vote for only one option. (Note: a vote for a higher step implies support for all ~~lesser advancements~~lower steps.)

☐ I vote in favor of a 2.0-step ~~merit~~ increase

☐ I vote in favor of a 1.5-step ~~merit~~ increase. Specify area: _____

☐ I vote in favor of a 1.0-step ~~merit~~ increase. Specify areas: _____

☐ I do not support merit advancement. (

☐ Abstain

Please specify the area(s) that you feel warrant an additional half step, from among the primary areas of evaluation (research/scholarly and creative activity, teaching, university and public service).

Please ~~explain~~ provide ~~comment below on reason~~explanatory comments for “No” vote)“do not support” votes and abstentions:

~~ABSTAIN~~

~~Comment on selection:~~

Example H. Voting template

Please choose one of the following options:

☐ Support for advancement to Professor Further Above Scale

☐ Do not support advancement to Professor Further Above Scale

☐ Abstain

Please provide explanatory comments for ‘do not support’ votes and abstentions:

Guidelines for Advancement — Senate

~~These are interim guidelines. These~~ **Step Plus** guidelines are designed to be used in addition to the policies, procedures, and exhibits provided in the Academic Personnel Manual (APM) and APM-UCD. ~~Final guidelines will be established after formal Academic Senate review.~~ If an apparent conflict between the APM and ~~the~~ Step Plus guidelines is discovered, please contact Academic Affairs for guidance. These guidelines apply to the following Senate series:

Professor and Professor in Residence Series

Professor of Clin _ Series

Lecturer SOE Professor of Teaching (/SLSOE) Series

General Principles

- **Advancement schedule.** All members of the Academic Senate are eligible for advancement at normative time for their rank and step. ~~Note:~~ Per APM guidelines, before advancing to Professor Above Scale, faculty are required to spend four years at Professor Step 9 or 9.5. Only exceptionally rare cases will deviate from these guidelines.
- **Criteria for Step Plus.** Criteria for recommending greater than 1.0-step advancements aim to strike a balance between objectivity and flexibility, with consideration of both quantitative and qualitative assessments. Qualitative achievements, such as the special impact or high quality of work, the awarding of prizes for achievement, and the scale and scope of the undertaking are as important as quantitative assessments, such as numerical tabulation of papers, citations, courses, and committees. Professional competence generally overlaps with other areas. However, accomplishments by faculty in the professional schools and colleges or in the Professor of Clinical _ series, the category of professional competence and activities may be considered for outstanding achievement. Performance in each area may be considered for an extra half step only for actions based on a complete review period (i.e., two or three years, depending on rank).

Justification for Step Plus. Department Chairs, FPCs, and Deans should clearly articulate the basis and level of support for the recommended advancement. Department letters and FPC committees need to provide explanations based on votes and comments of department faculty and committee members, respectively. The area of performance being proposed for an advancement of greater than 1.0 step needs to be justified in the reviewing body's letter.

Department Chairs, FPCs, and Deans should take into account previously awarded extra half steps through the Step Plus program, as detailed below:

- In each merit/promotion cycle, Department Chairs, FPCs, and Deans should review each candidate's dossier to ascertain that prior Step Plus advancements are not automatically carried forward (see **Increased Expectations with Rank and Step**).

- Repeated half steps for research/creative activities should not be based solely on quantitative metrics but also on impact and novel approaches.
- Repeated half steps for teaching will include innovation in pedagogical approaches or highly distinguished teaching awards.
- Repeated half steps for university and public service are awarded with the expectation that such service responsibilities increase as faculty advance in rank and step, with evidence of leadership at Professor Step 6 and beyond.

Department Chairs, FPCs, and Deans should explicitly identify the area(s) determined to justify a Step Plus increase. Combining or overlapping of areas is not permitted.

Increased Expectations with Rank and Step. As faculty members progress toward promotion (Associate or Professorial Rank) or high-level merit actions (Professor Step 6 or Above Scale), increasingly greater activity in all areas is expected. Faculty advancing to Professor Step 6 and beyond should assume positions of leadership in their university and/or public service. Per CAP's "Statement on University and Public Service-in-a-:

Service is expected of all Senate faculty as part of shared governance and plays a significant role in the merit and promotion process. Faculty should engage in both university and professional or community service. Service at the professional and/or community level does not substitute for university service except in extraordinary circumstances. Expectations increase with rank and step. Faculty at the Full Professor rank, especially those in the ladder rank series, have expectations of substantial service balanced among department, campus, and national-professional contributions. At higher Full Professor steps (i.e., Professor Step 6 to Above Scale), significant leadership with respect to service contributions will be expected.

Step Plus for Faculty in Compensated Administrative positions. Faculty in compensated position administrative positions (e.g., dean, associate dean, department chair) does not constitute outstanding service in Step Plus. Outstanding Dean, Associate Dean, Department Chair) undergo a separate administrative review of their university service. It is in this administrative review (rather than the academic/Step Plus review) where outstanding accomplishments in the administrative position are recognized-at the time of review in that position. Service beyond that expected. However, university and public service beyond the scope or expectations of the administrative position may warrant an additional half-step advancement- in the academic review.

Professor-and, Professor-in-Residence

~~These are interim guidelines. Final guidelines will be established after formal Academic Senate review. These guidelines apply to the Professor, Professor in Residence, and, Acting Professor of Law series. These guidelines are to be used in addition to the policies, procedures, and exhibits provided in the Academic Personnel Manual (APM) and APM UCD.~~

General Principles

~~All members of the Academic Senate are eligible for advancement at normative time for their rank and step. In formulating our criteria for recommending greater than 1.0 step advancements, we should~~

aim to strike a balance between objectivity and flexibility. Our goal should be to clarify the criteria for greater than 1.0-step advancements without tying our hands to quantitative assessments that understate or overstate the total contributions of candidates. In all cases, chairs and deans should be encouraged to articulate in the department and dean's letters the grounds for the advancement, beyond simple numerical tabulations of papers, citations, courses, and committees; for example, by describing the special impact or quality of the work, the awarding of prizes for achievement, or the scale and scope of the undertaking.

ONE-STEP ADVANCEMENT

1.0-Step Advancement

A 1.0-step advancement requires a balanced and meritorious record of achievement, appropriate for rank and step, ~~with evidence of a meritorious record of accomplishments in all areas of review is rewarded with a 1.0-step advancement. All Academic Senate faculty can expect to advance, unless a major deficiency in their performance is determined. University~~ (research/scholarly and creative work, teaching, university and public service duties are expected to increase as faculty advance in rank and step, and, professional competence).

One and a Half

1.5-Step Advancement

A 1.5-step advancement requires a balanced and meritorious record in all areas of review with outstanding achievement in ~~at least~~ one area of review (research/scholarly and creative activity, teaching, university and public service, professional competence and activities). However) during the full review period (two or three years, depending on rank). Professional competence generally overlaps with other areas. Only one area of review, which must be identified as such in the department, FPC, and/or Dean's letter, can be proposed for an extra half-step advancement, with no combining or overlapping of areas. Although reasonable flexibility may be applied in balancing heavier responsibilities in one area against lighter responsibilities in another area, outstanding achievement in one area ~~may does~~ not ~~qualify the candidate compensate~~ for ~~1.5-step advancement if~~ performance in another area ~~that~~ does not meet UC Davis advancement standards.

Two

2.0-Step Advancement

A 2.0-step advancement will require a balanced and meritorious record in all ~~three~~ areas of review, with outstanding achievement in ~~at least~~ two areas of review (research/scholarly and creative activity, teaching, university and public service) during the full review period (two or three years, depending on rank). In most cases, one of those areas will be research/scholarly and creative activity; however, in rare cases, outstanding achievement in two other areas (teaching, university and public service, professional competence and activities) might warrant such unusual advancement 2.0 steps. Professional competence generally overlaps with other areas. The two areas must be identified in the department, FPC, and/or Dean's letter, with no combining or overlapping of areas.

Advancement ~~greater~~ Greater than Two 2.0 Steps

An advancement greater than 2.0 steps ~~will be~~ is extremely rare. ~~These advancements will require an exceptionally meritorious and balanced record, highlighted~~

Above Scale Advancement

The criteria for merit increases are steep at this high rank, so candidates are only eligible for a 1.0-step advancement. A 1.0-step advancement must be justified by extraordinary levels new evidence of achievement merit and distinction, with a high level of performance in two all areas (including of

review (research/scholarly and creative activity), and outstanding contributions in the third area, teaching, university and public service).

Greater than One-

Professor of Clin Series

1.0-Step Above Scale Advancement

The criteria for merit increases are steep at this high rank. One step A 1.0-step advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor. One a balanced and one-half step advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding meritorious record of achievement, appropriate for rank and step, in one area. Two step advancement requires continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding achievements in two all areas. In most cases, one of those areas will be of review (scholarly and creative activity; however, outstanding performance in two other areas (, teaching, university and public service, professional [clinical/diagnostic] competence and activities) might warrant such unusual advancement.

Professor of ClinX Series

These are interim guidelines. Final guidelines will be established after formal Academic Senate review. These guidelines apply)) during the full review period (two or three years, depending on rank). Professional competence and activities in this series refers to the Professor of Clinical — Series. These guidelines are to be used in addition to the policies, procedures, and exhibits provided in the Academic Personnel Manual (APM) and APM-UCD.

GENERAL PRINCIPLES

All members of the faculty are eligible for advancement at normative time for their rank professional practice (e.g., clinical or diagnostic medicine) in professional schools and step. In formulating our criteria for recommending greater than 1.0-step advancements, we should aim to strike a balance between concreteness and flexibility. Our goal should be to clarify the criteria for greater than 1.0-step advancements without tying our hands to quantitative assessments colleges that understate or overstate the total contributions of candidates. In all cases, chairs and deans should be encouraged to articulate in the department and dean's letters the grounds for the advancement beyond simple numerical tabulations of papers, citations, courses, and committees: for example, by describing the special impact or quality of the work, the awarding of prizes for achievement, or the scale and scope of the undertaking. comprise a substantial proportion of academic effort.

ONE-STEP ADVANCEMENT

A balanced record, appropriate for rank and step, with evidence of a meritorious record of accomplishments in all areas of review is rewarded with a 1.0-step advancement. All Clinical — faculty can expect to advance, unless a major deficiency in their performance is determined. Department, School, and Professional service duties are expected to increase as faculty advance in rank and step.

ONE AND A HALF-STEP ADVANCEMENT

1.5-Step Advancement

A 1.5-step advancement requires a balanced and meritorious record in all areas of review with outstanding achievement in at least one area of review (scholarly and creative activity, teaching, university and public service, ~~clinical~~ professional [clinical/diagnostic] competence and activities) during the full review period (two or three years, depending on rank). Only one area of review, which must be identified as such in the department, FPC and/or ~~clinical equivalent~~ competence and activities). ~~However, outstanding achievement~~ Dean's letter, can be proposed for an extra half-step advancement, with no combining or overlapping of areas. Although reasonable flexibility may be applied in balancing heavier responsibilities in one area ~~may not qualify the candidate for 1.5-step advancement if performance~~ against lighter responsibilities in another area, outstanding achievement in one area does not compensate for performance in another area that does not meet UC Davis advancement standards.

~~Two~~

2.0-Step Advancement

A 2.0-step advancement will require a balanced and meritorious record in all areas of review, with outstanding achievement in at least two areas: during the full review period (two or three years, depending on rank). In most cases, one of those areas will be teaching or ~~clinical~~ professional [clinical-equivalent]/diagnostic competence and activities; however, in rare cases, outstanding ~~performance~~ achievement in the two other areas (university and public service, scholarly and creative activity) ~~will also warrant such unusual advancement~~ might warrant 2.0 steps. The two areas must be identified in the department, FPC, and/or Dean's letters, with no combining or overlapping of areas.

Advancement greater than Two 2.0 Steps

An advancement greater than 2.0 steps ~~will be~~ is extremely rare. ~~These advancements will require an exceptionally meritorious and balanced record, highlighted by extraordinary levels~~

Above Scale Advancements

The criteria for merit increases are steep at this high rank, so candidates are only eligible for a 1.0-step advancement. A 1.0-step advancement must be justified by new evidence of merit and distinction, with a high level of performance in all areas of review (scholarly and creative activity, teaching, university and public service, professional [clinical/diagnostic] competence and activities).

Professor of Teaching (Lecturer with Security of Employment [LSOE]) Series

1.0-Step Advancement

A 1.0-step advancement requires excellent and highly effective teaching as part of a balanced and meritorious record of achievement, appropriate for rank and step, in ~~at least two of the all~~ areas ~~under~~ of review, ~~and~~ (teaching; professional and/or scholarly achievement and activity, including creative activity; university and public service).

1.5-Step Advancement

A 1.5-step advancement requires excellent and highly effective teaching as part of a balanced and meritorious record in all areas of review with outstanding ~~contributions in~~ achievement in one area of review (teaching; professional and/or scholarly achievement and activity, including creative activity; university and public service) during the full review period (two or three years, depending on rank). Outstanding professional and/or scholarly achievement and activity refers to pedagogical or curricular innovation, research/scholarly and creative activity on pedagogy, or research/scholarly and creative activity in the candidate's field as related to pedagogy. Only one area of review can be proposed for an

extra half-step advancement and should be identified in the department, FPC, and/or Dean's letters, with no combining or overlapping of areas. Although reasonable flexibility may be applied in balancing heavier responsibilities in one area against lighter responsibilities in another area, outstanding achievement in one area does not compensate for performance in another area that does not meet advancement standards.

2.0-Step Advancement

A 2.0-step advancement requires excellent and highly effective teaching as part of a balanced and meritorious record in all areas of review with outstanding achievement in two areas. Outstanding professional and/or scholarly achievement and activity refers to pedagogical or curricular innovation, research/scholarly and creative activity on pedagogy, or research/scholarly and creative activity in the candidate's field as related to pedagogy. One of the two areas would be teaching, with no deficiencies in other areas; the other areas should be identified in the department, FPC, and/or Dean's letters, with no combining or overlapping of areas.

Advancement Greater than ~~One-Step~~ 2.0 Steps

An advancement greater than 2.0 steps is extremely rare.

Above-Scale Advancement

~~The criteria for merit increases are steep at this high rank. One-step advancement requires continued performance in all areas at levels commensurate with the expectations for an Above-Scale Professor of Clinical __. One and one-half step advancement requires continued performance in all areas at levels commensurate with the expectations for an Above-Scale Professor of Clinical __, accompanied by outstanding achievement in one area. Two-step advancement requires continued performance in all areas at levels commensurate with the expectations for an Above-Scale Professor of Clinical __, accompanied by outstanding achievement in two areas, at least one of which will be teaching or clinical performance.~~

LSOE

~~These Candidates are interim guidelines. Final guidelines will be established after formal Academic Senate review. These guidelines apply to the Lecturer with Security of Employment (LSOE) and Senior Lecturer with Security of Employment (SLSOE) series. These guidelines are to be used in addition to the policies, procedures, and exhibits provided in the Academic Personnel Manual (APM) and APM-UCD.~~

GENERAL PRINCIPLES

~~All members of the Academic Senate are eligible for advancement at normative time for their rank and step. In formulating our criteria for recommending greater than 1.0-step advancements, we should aim to strike a balance between concreteness and flexibility. Our goal should be to clarify the criteria for greater than only eligible for a 1.0-step advancement. A 1.0-step advancements without tying our hands to quantitative assessments that understate or overstate the total contributions of candidates. In all cases, chairs and deans should be encouraged to articulate in the department and dean's letters the grounds for the advancement beyond simple numerical tabulations of papers, citations, courses, and committees; for example, by describing the special impact or quality of the work, the awarding of prizes for achievement, or the scale and scope of the undertaking.~~

ONE-STEP ADVANCEMENT

A balanced record, appropriate for rank and step, with evidence of a meritorious record of accomplishments in all areas of review is rewarded with a 1.0-step advancement. All Academic Senate faculty can expect to advance, unless a major deficiency in their performance is determined. University and public service duties are expected to increase as faculty advance in rank and step.

ONE AND A HALF-STEP ADVANCEMENT

A 1.5-step advancement requires, in addition to excellent, highly effective teaching, must be justified by new evidence of merit and distinction, with a meritorious record with outstanding achievement in at least one area of review across (scholarly and creative activity, teaching, university and public service, professional competence and activities). However, outstanding achievement in one area may not qualify the candidate for 1.5-step advancement if performance in another area does not meet UC Davis standards. Outstanding professional achievement might be demonstrated by substantial pedagogical or curricular innovation. Evidence for outstanding professional activity might include unusual levels of research and publication on pedagogy or in the candidate's field as related to pedagogy. Outstanding service may consist of leadership beyond normal service obligations, regularly assigned administrative duties, or public service.

TWO-STEP ADVANCEMENT

A 2.0-step advancement will require, in addition to excellent, highly effective teaching, a meritorious record with outstanding achievement in at least two of the areas cited above.

ADVANCEMENT GREATER THAN TWO STEPS

An advancement greater than 2.0 steps will be extremely rare. These advancements will require an exceptionally meritorious and balanced record, highlighted by extraordinary levels of achievement in two areas (including teaching), and excellent contributions in the third area.

GREATER THAN ONE-STEP ABOVE-SCALE ADVANCEMENT

Only Senior Lecturers SOE are eligible for Above-scale salaries, and the criteria for merit increases are steep at this high rank. One-step advancement requires continued performance in all areas at levels commensurate with the expectations for an Above-Scale Senior Lecturer with Security of Employment. One and one-half step advancement requires performance in all areas that is commensurate with the expectations for an Above-Scale Senior Lecturer SOE, accompanied by outstanding achievement in one area. Two-step advancement requires continued high level of performance in all areas at levels commensurate with the expectations for an Above-Scale Senior Lecturer SOE, accompanied by outstanding achievements in two additional areas, at least one of which will be teaching and student learning of review (teaching; professional and/or scholarly achievement and activity, including creative activity; university and public service).

Guide to Step Plus ~~Promotions~~Promotion, Step 6, and ~~Barrier-Reviews~~Above Scale

Promotions to Associate and Full can be accelerated in time or can be evaluated according to Step Plus guidelines, but not both.

Rationale: The Step Plus system eliminates accelerations in time, except for promotions to Associate and Full Professor. It has proven difficult to make consistent recommendations on such accelerations in conjunction with Step Plus criteria. Some departments have considered the acceleration to be equivalent to a half-step advancement for candidates who are outstanding in one category of review, and then use Step Plus criteria to recommend an additional half-step advancement based on outstanding performance in another area. Other departments have applied the Step Plus criteria without taking the acceleration in time into account. This policy preserves flexibility to allow for early promotion, while making it easier to make consistent recommendations for advancement in such cases.

Implementation: A dossier that is being evaluated for a promotion that is accelerated in time (i.e., an “early” promotion that occurs before normative time has elapsed for the next eligible action) will not be considered or approved for advancement of more than one step. For example, a candidate at Associate Professor Step 3.5 who is going up for promotion one year early will not be considered for advancement beyond Professor Step 1.5. Candidates can request an early promotion without waiting for normative time at their current step, but there will be only two possible advancement outcomes: promotion to the lateral step, if applicable, or 1.0-step promotion. Merit advancement to overlapping steps will not be considered if an early promotion is denied.

See examples of Step Plus promotions that can be accelerated in time below:

Current rank and step	1.0-step promotion to:	Lateral promotion to:	Acceleration in time of:
Assistant Prof 4.5	Assoc. Prof. 1.5	--na--	1 year
Assistant Prof. 5.0	Assoc. Prof. 2.0	Assoc. Prof. 1.0	1 year
Assistant Prof 6.0	Assoc. Prof. 3.0	Assoc. Prof. 2.0	1 year
Associate Prof. 3.5	Professor 1.5	--na--	1 year
Associate Prof. 4.0	Professor 2.0	Professor 1.0	1 or 2 years
Associate Prof. 5.0	Professor 3.0	Professor 2.0	1 or 2 years

Candidates at Assistant rank, Steps ~~1-2~~3.5 and Associate rank, Steps ~~1-2~~2.5 are not eligible for promotion that is accelerated in time.

That is

In other words, if these candidates do not wait for normative time at the current step before seeking promotion, they are not eligible for more than 1.0-step advancement and, accordingly, cannot promote to the next rank. Eligibility for promotion that is accelerated in time begins only after the candidate has achieved Assistant rank Step 4.0 or Associate rank Step 3.0. For example, a candidate who has spent only one year at Assistant Professor Step 3.0 is not eligible for promotion. In contrast, it will

occasionally be the case that an Assistant Professor Step 3.0 or an Associate Professor Step 2.0 may seek advancement after spending normative time (2 years) at their current step; they could receive an on-time 2.0-step Step Plus promotion if the dossier includes all requirements for promotion review, the overall record is judged as worthy of promotion, and there are two areas of outstanding performance, including research.

Candidates who have been at the Assistant Professor rank for 7 years and must be considered for promotion before normative time has elapsed at the current step (a “technical acceleration”) may still be considered for Step Plus and may be put forward for a ‘greater-than-one-step’ advancement.

Candidates for promotion who wait for normative time to request advancement may be considered under the Step-Plus criteria for promotion of greater than one step, assuming that the Step Plus criteria for advancement *and* the expectations for promotion are met. In addition, on-time requests for promotion, if not approved, may result in merit advancement without promotion, if applicable.

Examples of normative-time promotion requests resulting in advancement of greater than 1.0-step under Step-Plus (please note that this is not a comprehensive list):

Current rank and step	On-time, 1.5-step Step Plus promotion to:	On-time, 2.0-step Step Plus promotion to:
Assistant Prof 3.0	--na—*	Assoc. Prof. 1.0*
Assistant Prof. 3.5	Assoc. Prof. 1.0*	Assoc. Prof. 1.5*
Assistant Prof 4.0	Assoc. Prof. 1.5*	Assoc. Prof. 2.0*
Assistant Prof. 4.5	Assoc. Prof. 2.0*	Assoc. Prof. 2.5
Assistant Prof 5.0	Assoc. Prof. 2.5	Assoc. Prof. 3.0
Associate Prof. 2.0	--na—*	Professor 1.0*
Associate Prof. 2.5	Professor 1.0*	Professor 1.5*
Associate Prof. 3.0	Professor 1.5*	Professor 2.0*
Associate Prof. 3.5	Professor 2.0*	Professor 2.5*
Associate Prof. 4.0	Professor 2.5*	Professor 3.0
Associate Prof. 5.0	Professor 3.5	Professor 4.0

*Alternatively, a merit advancement of 1.5 steps (or, very rarely, 2.0 steps) would be allowed

~~How to apply~~ **Apply Step Plus criteria in the context of promotions** ~~Criteria for Promotions and merit advancements to Professor Step 6.0 or 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, per APM 220 or applicable series policy. Advancements greater than a 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.~~ **to Professor Step 6**

Please note that this standard applies to promotion actions and barrier step advancements in other academic series currently on the Step Plus system, as well.

Rationale: There has been inconsistency in how Step Plus criteria are being applied when candidates undergo evaluation at promotion and barrier steps. Some departments have been applying the criteria to the full period of review since terminal degree or last promotion, asking whether the candidate's record in research, teaching, and/or service has been outstanding over the entire period. Other departments have first assessed the candidate's suitability for promotion or barrier step advancement, and then have applied the Step Plus criteria just to the period since the last merit advancement. Inequities can arise when the Step Plus criteria are applied in either manner. For example, applying the criteria to the entire period of review can lead to situations in which the record is judged as outstanding based on activities for which a candidate already received accelerations in time or additional half-steps during preceding merit reviews. Alternatively, applying the criteria only to the period since the last merit advancement can lead to situations in which an additional half-step advancement could be given based on an outstanding recent record when the overall record during the period is marginally satisfactory.

Implementation: ~~To be consistent, Step Plus guidelines should be applied to the entire period of review for all promotions or advancements to or through a barrier step.~~

Promotion is a higher academic achievement than merit advancement, requiring comprehensive review of the entire period since the terminal degree⁷ or promotion to the Associate rank to determine if the criteria stated in UC APM 220 have been met. To be eligible for promotion, and prior to considering any Step Plus recognition, the overall record should be balanced with evidence of meritorious accomplishments in all areas of review (e.g., research, teaching, service, professional competence). When the overall record does not meet the criteria for promotion, the candidate may be considered for 1.0-step merit advancement instead of promotion. This consideration is contingent on whether there are additional steps within the candidate's current rank.

For consideration of additional steps at the time of promotion, if Step Plus recognition has been awarded in a previous merit cycle, further Step Plus recognition for that specific area (e.g., research, teaching, service, and professional competence and activities, as appropriate) will require additional and compelling evidence of outstanding achievement in the most recent merit period. For teaching and service, continued outstanding performance is not sufficient justification. Rather, the candidate should provide clear and convincing evidence of new achievement above and beyond what was previously recognized and which is distinctive and outstanding in accomplishment. For research, the same guiding

⁷ Should a candidate have multiple terminal degrees (e.g., M.D. and Ph.D.; D.V.M. and Ph.D.), the review period for promotion to the Associate rank would be since the awarding of the first terminal degree.

principle applies such that increased productivity alone is not sufficient without compelling evidence of the attendant impact of this scholarship that merits recognition as outstanding.

Reviews of merit advancements to Professor Step 6 should follow the same Step Plus principles as promotion.

Promotions Using Overlapping Steps Under the Step-Plus System

Promotions inevitably involve interpreting overlapping steps. The following guidance is provided to define lateral, ~~one~~-1.0 step, and greater than ~~one~~-1.0 step promotions.

Assistant to Associate rank Promotions

Half-Step promotion is not an option

Lateral promotion followed by ~~one~~1.0-step merit (normal time in parentheses)

Assistant Step 5 (1 year) -> Associate Step 1 (1 year) -> Associate Step 2
 Assistant Step 5.5 (1 year) -> Associate Step 1.5 (1 year) -> Associate Step 2.5
 Assistant Step 6 (1 year) -> Associate Step 2 (1 year) -> Associate Step 3
 Assistant Step 6.5 (1 year) -> Associate Step 2.5 (1 year) -> Associate Step 3.5

~~One~~

1.0-step promotion followed by ~~one~~1.0-step merit (normal time in parentheses)

Assistant Step 4 (2 years) -> Associate Step 1 (2 years) -> Associate Step 2
 Assistant Step 4.5 (2 years) -> Associate Step 1.5 (2 years) -> Associate Step 2.5
 Assistant Step 5 (2 years) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 5.5 (2 years) -> Associate Step 2.5 (2 years) -> Associate Step 3.5
 Assistant Step 6 (2 years) -> Associate Step 3 (2 years) -> Associate Step 4
 Assistant Step 6.5 (2 years) -> Associate Step 3.5 (2 years) -> Associate Step 4.5

~~One and One-Half-Step~~

1.5-step promotion followed by ~~one~~1.0-step merit (normal time in parentheses)

Assistant Step 4 (2 years) -> Associate Step 1.5 (2 years) -> Associate Step 2.5
 Assistant Step 4.5 (2 years) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 5 (2 years) -> Associate Step 2.5 (2 years) -> Associate Step 3.5
 Assistant Step 5.5 (2 years) -> Associate Step 3 (2 years) -> Associate Step 4
 Assistant Step 6 (2 years) -> Associate Step 3.5 (2 years) -> Associate Step 4.5
 Assistant Step 6.5 (2 years) -> Associate Step 4 (2 years) -> Associate Step 5

~~Two-Step~~

2.0-step promotion followed by ~~one~~1.0-step merit (normal time in parentheses)

Assistant Step 4 (2 years) -> Associate Step 2 (2 years) -> Associate Step 3
 Assistant Step 4.5 (2 years) -> Associate Step 2.5 (2 years) -> Associate Step 3.5
 Assistant Step 5 (2 years) -> Associate Step 3 (2 years) -> Associate Step 4
 Assistant Step 5.5 (2 years) -> Associate Step 3.5 (2 years) -> Associate Step 4.5
 Assistant Step 6 (2 years) -> Associate Step 4 (3 years) -> Associate Step 5
 Assistant Step 6.5 (2 years) -> Associate Step 4.5 (3 years) -> Associate Step 5.5

Promotions that are accelerated in time are allowed and are limited to ~~one~~-1.0 step or lateral advancement. Promotions that are accelerated in time may not be evaluated using Step Plus guidelines. -

Following are examples of one-step promotions that are accelerated in time:

Assistant Step 4 (1 year) -> Associate Step 1 (2 years) -> Associate Step 2

Assistant Step 4.5 (1 year) -> Associate Step 1.5 (2 years) -> Associate Step 2.5

Assistant Step 5 (1 year) -> Associate Step 2 (2 years) -> Associate Step 3

Assistant Step 5.5 (1 year) -> Associate Step 2.5 (2 years) -> Associate Step 3.5

		PROPOSED							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT	Asst 4	1.0 step	1.5 step	2.0 step					
	Asst 4.5		1.0 step	1.5 step	2.0 step				
	Asst 5	Lateral		1.0 step	1.5 step	2.0 step			
	Asst 5.5		Lateral		1.0 step	1.5 step	2.0 step		
	Asst 6			Lateral		1.0 step	1.5 step	2.0 step	
	Asst 6.5				Lateral		1.0 step	1.5 step	2.0 step

		PROPOSED							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT	Asst 4	1.0 step	1.5 step	2.0 step					
	Asst 4.5		1.0 step	1.5 step	2.0 step				
	Asst 5	Lateral		1.0 step	1.5 step	2.0 step			
	Asst 5.5		Lateral		1.0 step	1.5 step	2.0 step		
	Asst 6			Lateral		1.0 step	1.5 step	2.0 step	
	Asst 6.5				Lateral		1.0 step	1.5 step	2.0 step

Associate to Full rank Promotions

Half-Step promotion is not an option

Lateral promotion followed by one 1.0-step merit (normal time in parentheses)

Associate 4 (1 year) -> Full Step 1 (2 years) -> Full Step 2

Associate 4 (2 years) -> Full Step 1 (1 year) -> Full Step 2

Associate 4.5 (1 year) -> Full Step 1.5 (2 years) -> Full Step 2.5

Associate 4.5 (2 years) -> Full Step 1.5 (1 year) -> Full Step 2.5

Associate 5 (1 year) -> Full Step 2 (2 years) -> Full Step 3

Associate 5 (2 years) -> Full Step 2 (1 year) -> Full Step 3

Associate 5.5 (1 year) -> Full Step 2.5 (2 years) -> Full Step 3.5

Associate 5.5 (2 years) -> Full Step 2.5 (1 year) -> Full Step 3.5

One

1.0-step promotion followed by one 1.0-step merit (normal time in parentheses)

Associate Step 3 (2 years) -> Full Step 1 (3 years) -> Full Step 2

Associate Step 3.5 (2 years) -> Full Step 1.5 (3 years) -> Full Step 2.5

Associate 4 (3 years) -> Full Step 2 (3 years) -> Full Step 3

Associate 4.5 (3 years) -> Full Step 2.5 (3 years) -> Full Step 3.5

Associate 5 (3 years) -> Full Step 3 (3 years) -> Full Step 4

Associate 5.5 (3 years) -> Full Step 3.5 (3 years) -> Full Step 4.5

One and One-Half-Step

1.5-step promotion followed by ~~one~~1.0-step merit (normal time in parentheses)

Associate Step 3 (2 years) -> Full Step 1.5 (3 years) -> Full Step 2.5

Associate Step 3.5 (2 years) -> Full Step 2 (3 years) -> Full Step 3

Associate 4 (3 years) -> Full Step 2.5 (3 years) -> Full Step 3.5

Associate 4.5 (3 years) -> Full Step 3 (3 years) -> Full Step 4

Associate 5 (3 years) -> Full Step 3.5 (3 years) -> Full Step 4.5

Associate 5.5 (3 years) -> Full Step 4 (3 years) -> Full Step 5

~~Two~~

2.0-step promotion followed by ~~one~~1.0-step merit (normal time in parentheses)

Associate Step 3 (2 years) -> Full Step 2 (3 years) -> Full Step 3

Associate Step 3.5 (2 years) -> Full Step 2.5 (3 years) -> Full Step 3.5

Associate 4 (3 years) -> Full Step 3 (3 years) -> Full Step 4

Associate 4.5 (3 years) -> Full Step 3.5 (3 years) -> Full Step 4.5

Associate 5 (3 years) -> Full Step 4 (3 years) -> Full Step 5

Associate 5.5 (3 years) -> Full Step 4.5 (3 years) -> Full Step 5.5

Promotions that are accelerated in time are allowed and are limited to one-step or lateral advancement. Promotions that are accelerated in time may not be evaluated using Step Plus guidelines.

Following are examples of one-step promotions that are accelerated in time:

Associate Step 3 (1 year) -> Full Step 1 (3 years) -> Full Step 2

Associate Step 3.5 (1 year) -> Full Step 1.5 (3 years) -> Full Step 2.5

Associate Step 4 (1-2 years) -> Full Step 2 (3 years) -> Full Step 3

Associate Step 4.5 (1-2 years) -> Full Step 2.5 (3 years) -> Full Step 3.5

Associate 5 (1-2 years) -> Full Step 3 (3 years) -> Full Step 4

Associate 5.5 (1-2 years) -> Full Step 3.5 (3 years) -> Full Step 4.5

		PROPOSED							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT	Assoc 3	1.0 step	1.5 step	2.0 step					
	Assoc 3.5		1.0 step	1.5 step	2.0 step				
	Assoc 4	Lateral		1.0 step	1.5 step	2.0 step			
	Assoc 4.5		Lateral		1.0 step	1.5 step	2.0 step		
	Assoc 5			Lateral		1.0 step	1.5 step	2.0 step	
	Assoc 5.5				Lateral		1.0 step	1.5 step	2.0 step

Above Scale Step-Plus Advancement Guidelines

~~For Above Scale actions, see APM 220-18 b. (4), APM UCD 220-IV. C. 2. e. or applicable title series policy for above scale guidance. The Step Plus advancement guidelines are as follows:~~

- ~~• Above Scale, One-Step Advancement
Continued performance at levels commensurate with the expectations for an Above Scale Professor.~~

- ~~Above Scale One and One Half Step Advancement~~
Continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding achievement in one area.
- ~~Above Scale Two Step Advancement~~
Continued performance at levels commensurate with the expectations for an Above Scale Professor, accompanied by outstanding achievements in two areas.

Calculating First Above Scale merits in the Step Plus System

We provided the first Above Scale merit in each of the Step Plus System Salary Tables. The calculation for the first above scale merit is:

~~(A) Take Step 9 divided by Step 8. Round this figure to the third decimal point (using the fourth decimal to determine if the third is rounded up or stays the same).~~

~~(B) Take Step 9 base multiplied by the result of step A.~~

~~(C) Round this dollar figure to the nearest \$100 (note: this dollar figure is included in the footnotes of the salary table), per APM 600-18 b.~~

~~(D) If applicable, add the off-scale (UCOFF1) to the result in step C to get the new above scale base salary (UCABVE). Do not add to the new base salary any temporary off scales, such as supplements or other off scales with special conditions (UCOFF2 and UCOFF3). If the off scale is not rounded to the nearest \$100, round the total dollar figure to the nearest \$100 per APM 620-4.~~

If the candidate is to be considered for a merit increase that crosses the First Above Scale, multiply the results of step C by the standard further above scale percentage (2.5% for each half-step beyond the first above scale, see step D below):

~~(A) Take Step 9 divided by Step 8. Round this figure to the third decimal point (using the fourth decimal to determine if the third is rounded up or stays the same).~~

~~(B) Take Step 9 base multiplied by the result of step A.~~

~~(C) Round this dollar figure to the nearest whole dollar (provided in the footnotes of the salary table).~~

~~(D) For each an additional half step, multiply the result of step C by the appropriate percentage:~~

- ~~Additional half step multiply by 1.025~~
- ~~Additional whole step multiply by 1.05~~
- ~~Additional one and one half step multiply by 1.075~~

~~(E) Round this dollar figure to the nearest \$100, per APM 600.~~

~~(F) If applicable, add the off scale (UCOFF1/UCHSO1) to the result in step E to get the new above scale base salary (UCABVE). Do not add to the new base salary any temporary off scales, such as supplements or other off scales with special conditions (UCDEC9/UCHD91, UCOFF2/UCHSO2~~

and UC OFF3/UCHSO3). If the off-scale is not rounded to the nearest \$100, round the total dollar figure to the nearest \$100, per APM 620.

All the salaries in these examples were from the 10/1/2019 salary tables. Please be sure to use the current salary scales.

		PROPOSED							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT	Assoc 3	1.0 step	1.5 step	2.0 step					
	Assoc 3.5		1.0 step	1.5 step	2.0 step				
	Assoc 4	Lateral		1.0 step	1.5 step	2.0 step			
	Assoc 4.5		Lateral		1.0 step	1.5 step	2.0 step		
	Assoc 5			Lateral		1.0 step	1.5 step	2.0 step	
	Assoc 5.5				Lateral		1.0 step	1.5 step	2.0 step

Frequently Asked Questions

Example 1 (1.5-step merit that crosses first above scale): Professor Johnson is an academic-year Professor at Step 9 with an off-scale of \$28,000 (UCOFF1). He received a one-and-one-half-step merit under the Step Plus System.

(A) $\$175,800$ (Step 9) / $\$162,200$ (Step 8) = 1.084 (rounded to the third decimal place)

(B) $\$175,800 * 1.084 = \$190,567.20$

(C) $\$190,600$

(D) $\$190,600 * 1.025 = \$195,365$

(E) $\$195,400$

(F) $\$195,400 + \$28,000$ (UCOFF1) = $\$223,400$ (UCABVE)

Example 2 (2.0-step merit that crosses first above scale): Professor Berquist is an academic-year Professor at Step 9 with an off-scale of \$35,000 (UCOFF1). She received a two-step merit under the Step Plus System.

(A) $\$175,800$ (Step 9) / $\$162,200$ (Step 8) = 1.084 (rounded to the third decimal place)

(B) $\$175,800 * 1.084 = \$190,567.20$

(C) $\$190,600$

(D) $\$190,600 * 1.05 = \$200,130$

(E) $\$200,100$

(F) $\$200,100 + \$35,000$ (UCOFF1) = $\$235,100$ (UCABVE)

Example 3 (2.0-step merit that crosses first above scale): Professor Smith is an academic-year Professor at Step 8.5 with an off-scale of \$30,000 (UCOFF1). She received a two-step merit under the Step Plus System.

(A) $\$175,800$ (Step 9) / $\$162,200$ (Step 8) = 1.084 (rounded to the third decimal place)

(B) $\$175,800 * 1.084 = \$190,567.20$

(C) $\$190,600$

(D) $\$190,600 * 1.025 = \$195,365$

(E) $\$195,400$

(F) $\$195,400 + \$30,000$ (UCOFF1) = $\$225,400$ (UCABVE)

Calculating Further Above Scale merits in the Step Plus System

~~Candidates who are above scale may be considered for a merit every four years and will be considered for a greater than one step increase. Once a candidate has advanced to Above Scale, all future merit advancements receive a 5% salary increase or greater. Each half step is equal to an additional 2.5% increase. For example:~~

- ~~• A one step merit is equal to a 5% increase.~~
- ~~• A one and one half step merit is equal to a 7.5% increase.~~
- ~~• A two step merit is equal to a 10% increase.~~

Reminder: Order of Merits/Promotions and Range Adjustments

~~Reminder: Calculate Merit/promotion advancements prior to applying the range adjustment. Make advancement calculations on the salary scale prior to the range adjustment and then apply the range adjustment rules to the new salary.~~

~~For example, calculate the salary based on the merit decision using the most recent salary tables (7/1/2019, 10/1/2019 or 1/1/2020 salary scales) before applying any possible 7/1/2020 range adjustment.~~

FAQs

Eligibility

~~(1)~~

Why does the Step Plus System refer to reviews at 2, 3 and 4-year intervals?

Within most title series, the normative review cycle is 2 years for the ~~assistant~~Assistant and ~~associate~~Associate levels. After ~~associate step~~Associate Step 4, the review cycle occurs every 3 years. At the ~~full~~Full rank, the normative review cycle is 3 years up to ~~step~~Professor Step 9 and then the review cycle occurs every 4 years. At every review, the individual may be considered for more than 1.0 step (1.5 or 2.0 steps), except at Above Scale.

~~(2)~~

Is a merit increase of 0.5 half-step part of the Step Plus system?

~~The 0.5 step option is not part of the Step Plus System.~~

~~(3)~~

A merit increase of a half step will only be considered for faculty at Professor Step 9 who may not meet the APM 220-18 criteria to advance to Above Scale.

With respect to the fixed/normative review period, will the law school's "Acting Professor" designation be treated the same as "Assistant/Associate Professor" designation, and thus provided a normative review period of two years?

Yes, this is correct.

~~(4)~~

Does the new, normative period of three years begin from a candidate's last advancement?

~~Yes~~, this is correct if the last advancement was positive. The candidate will remain eligible every year following a denied action or a deferral until they positively advance or until a promotion or five ~~(5)~~ year review is required.

Please note that normative time at step is different at the various ranks and steps. Please see APM 220-18 or applicable title series policy. The normative time at each step can also be found on the Step Plus System Salary Tables.

~~(5)~~

Does Step Plus change the process for Career Equity Review (CER)?

The Step Plus System does not change the process for [Career Equity Review](#).

~~(6)~~

Are promotions allowed to accelerate in time and accelerate in step?

No. ~~For example, promotions~~ **Promotions** to Associate and Full Professor **either** can be accelerated in time or can be evaluated according to Step Plus guidelines, but not both. A promotion action that is “accelerated in time” is one for which the candidate is seeking advancement early, without waiting normative time at the current step. “Accelerations in time” should not be confused with on-time Step Plus advancements of more than ~~one~~ **1.0** step. For example, a ~~2.0 Step Plus step~~ advancement at normative time is not considered an “acceleration in time” ~~even though a full step has been skipped.~~

~~(7)~~

What is the review period for the first merit after a lateral promotion?

The review period begins with merit advancement to the overlapping step in the previous rank.

For example:

- A professor advances to Assistant Professor, Step 5 effective 7/1/2020. The review period for this action was most likely 7/1/17-6/30/19.
- Then, in 2020-2021, this Assistant Professor successfully pursues a lateral promotion to Associate Professor, Step 1 effective 7/1/2021. The review period for this action is since terminal degree.
- According to APM 220-18-b, time spent at these **overlapping steps is “combined”**. Since normative time at these steps is 2 years, this Associate Professor is eligible for Step Plus merit advancement effective 7/1/2022. In this scenario, the review period for the merit from Associate Professor, Step 1 is 7/1/2019-6/30/2021.

Note: Policy does allow an alternative review period method with an end date of 9/30. The review period may be 10/1/2019-9/30/2021 if the period of 7/1/2019-9/30/2019 was counted for the merit to Assistant Professor, Step 5.

~~(8)~~

How do you apply Step Plus criteria ~~in the context of the review period for promotions and a~~ merit advancement to ~~Step 6 or~~ **Professor Above Scale? and Professor Further Above Scale?**

~~Please see the Guide to Step Plus Promotions and Barrier Reviews and the applicable policies in the APM for information on both promotions and barrier step merit reviews.~~

~~(9)~~

Merit advancements to Professor Above Scale and Professor Further Above Scale are evaluated outside the Step Plus system.

Since “accelerations in time” are allowed for promotions, can a faculty member pursue a skip-a-step promotion?

No. A dossier that is being evaluated for a promotion that is accelerated in time (i.e., an “early” promotion that occurs before normative time has elapsed for the next eligible action) will not be considered or approved for advancement of more than one step.

General

~~(10)~~

If a candidate went up for a 1.5-step merit and only received 1.0-step merit, would the candidate be able to appeal?

Yes, Step Plus does not change the right to appeal. See [APM UCD 220 IV. J](#), [APM UCD 220 Procedure 5](#), and the [Academic Senate Appeal Process](#). Academic Federation members, see [APM UCD 220AF IV. H](#).

~~(11)~~

Why is Step 1.5 at the Assistant ranks not an available step?

~~Step 1.5 at the assistant rank is not available because half-step merits are not an option- except at Professor Step 9.~~ Example: if someone is hired at Step 1.0, their only option is to merit to Step 2, 2.5, etc. ~~There was no business reason to include~~ Including step 1.5 ~~because it would~~ therefore cause confusion since it is not a merit option and appointments can only be made to a whole step.

~~(12)~~

Do the responsibilities of the Faculty Personnel Committees (FPC) change under the Step Plus System?

The role of the college and school FPCs does not change.

~~(13)~~

What happens if the department recommends a 1.5-step increase, but the FPC does not support the 1.5-step increase?

The Faculty Personnel Committee (FPC) recommendation is advisory to the ~~dean~~Dean. The ~~dean~~Dean may still approve a 1.5-step increase if the dean determines the record merits a 1.5-step increase. The ~~dean~~Dean also has the option to approve a 1.0 step increase. However, if the FPC or the ~~dean~~ recommendDean recommends a 2.0-step increase, the action becomes non-redelegated.

~~(14)~~

What happens if a faculty member is eligible for a merit and chooses to defer?

The faculty member continues to be eligible for a merit every year thereafter until they positively advance to the next step. Upon advancement, the normative time clock starts over.

~~(15)~~

If a faculty member is pursuing an action in normative time, can they opt out of Step Plus?

~~No. Every~~

Typically, every action that is reviewed in normative time, or following a deferral or five-year review, is to be evaluated using the Step Plus system. However, there are exceptions, including: advancements to and at Above Scale; and cases where a candidate chooses to not be considered for promotion, in which case the steps that they are eligible for within the rank may be limited.

Voting/Action Selection

(16)

Can the candidate still pursue advancement even if the department majority votes against advancement? What is entered as the proposed step on the Action Form? In addition, what kind of language should Department Chairs use when writing a department letter under such circumstances?

After the results of the department vote are shared with the candidate, the candidate retains the option to pursue the action even if advancement is not supported by the majority of department voters. In this case, the Action Form should be presented as a 1.0-step advancement. Alternatively, the candidate may defer consideration for advancement by requesting a deferral, unless policy requires promotion or five-year review.

The department letter should only reflect the department's response to the candidate's dossier. The following language is offered as an example of how to capture the department recommendation in the department letter:

"The department of ABC does not recommend that Professor XYZ receive a merit increase/promotion effective July 1, 20xx. The details of the department vote are summarized below."

The candidate may make a case for their desired step when they prepare their candidate's statement. In these cases, the action form should reflect a proposed merit increase of 1.0-step.

(17)

Do department voting procedures need to change under the Step Plus System?

Departments select their own voting procedures and processes. The appropriate Academic Senate and Federation committees review proposed changes in procedures, but those changes most often address the issue of which department members are eligible to vote on which academic personnel actions. Under the Step Plus System, all merits will be reviewed at the normative interval, and so departments will need to consider how they wish to express support (or the lack thereof) for a merit of greater than one step (i.e., an acceleration in performance/step, rather than an acceleration in time).

(18)

Who decides how many steps the candidate will advance?

Depending on the delegation of authority, either the Dean or Vice Provost for Academic Affairs will decide the final step advancement. Promotions are decided by the Chancellor. All actions will be considered for greater than 1.0-step at each review by the Department~~department~~(s), unless the action

is a promotion that is accelerated in time, or an advancement to or at Above Scale. Following review, the ~~Department~~department(s) will vote on whether a 1.0-, 1.5- or 2.0- step advancement will be recommended. If the candidate is reviewed by multiple departments, the action form should reflect the highest ~~department~~departmental recommendation, which may result in a change of delegation for the action.

(19)

Who decides who goes up for promotion? If a candidate is at a step that is eligible for promotion (not a seventh-year case), can the candidate choose not to be considered for promotion and limit the department vote to only ~~step~~Step plus options for merit?

An academic appointee can come up for promotion when they are ready or when the department finds the record supports the action. Assistant professors must promote no later than their seventh year, per APM 133 and APM 220, unless they previously received approval for an extension on the clock. If the candidate is four years or less at rank or clearly does not meet the criteria for promotion (e.g., absence of an in-press or published book in the book disciplines), the candidate has the option to have promotion removed from the Step Plus ballot. In all other circumstances, the promotion options under Step Plus must be included on the ballot.

(20)

I heard that you only have one opportunity to pursue a promotion. Is this true?

The only scenario in which a candidate has only one opportunity to pursue a promotion is when the candidate holds a title that has a service limit (e.g., assistant professor) and the promotion review takes place during the seventh year at the Assistant rank.

(21) ~~How should the department handle support for a barrier step under Step Plus?~~

~~Example 1: A professor is eligible for a merit from Step 8. Prior to the department vote, the dossier should be prepared for the potential entire review period required of the barrier step, excluding extramural letters. If the result of the department vote is supportive of the Above Scale action, extramural letters will need to be obtained and the department will need to revote on the new dossier. The department letter shall address the standards described in APM for advancement to above scale.~~

A Professor Step 8 wants to advance to Professor Above Scale. Can the department recommend that this candidate be advanced 2.0 steps?

No, APM 220 does not allow faculty to advance to Above Scale before spending four years at Professor Step 9 or Step 9.5. The department can only recommend a 1.0- or 1.5-step merit advancement.

~~Example 2: A professor is eligible for a merit from full rank, Step 4. Prior to the department vote, the dossier should be prepared for the potential entire review period required of the barrier step. If the result of the department vote is supportive of the Step 6 action, the department letter should be very clear in specifically addressing the Step 6 criteria, and should provide the sorts of information that were previously gathered from the outside letters, while making specific reference to the standards applying to teaching, service and research as described in the APM.~~

~~(22) What happens if the department sends to the dean(s) a recommendation that is a redelegated action and a committee or dean makes a recommendation that crosses a barrier~~

~~step? For example: A merit action was sent to the dean's office as a 1.0-step merit from 8.5 to 9.5. The FPC recommended a 1.5-step increase to Above Scale, making the action non-redelegated. The action was returned to the department to prepare the dossier for Above Scale, obtain extramural letters, and re-vote.~~

~~In these cases, the redelegated committee review plays a very important role in changing the course of the action from redelegated to non-redelegated across a barrier step.~~

~~When the action is returned to the department, the FPC recommendation should be shared with the candidate to explain why the action is being returned to the department and to inform the candidate that it is up to them if they would like to share the FPC recommendation with department colleagues. Since department colleagues do not normally have access to committee recommendations in the personnel files of their colleagues and the chair normally only sees the committee recommendation(s) after the final decision is made, it is the responsibility of the candidate to share that recommendation with their colleagues, if the candidate wishes to do so.~~

~~If the candidate does share the FPC recommendation with the department, it should be appended to the department letter. If the candidate chooses not to share the FPC recommendation with department colleagues, the original FPC recommendation should be appended to the Dean's recommendation on the non-redelegated action. **Regardless of whether or not the candidate shares the FPC recommendation with the department, the action needs to be resubmitted as a non-redelegated action.**~~

(23) An Associate Professor, Step 3 is eligible for promotion to the full rank. The choices are 1.0 step, 1.5 steps, 2.0 steps, no, and abstain. What does 1.0-step mean – Associate Professor, Step 4 or full Professor, Step 1?

In this situation, it will be critical for the department chair to consult with the candidate to discuss advancement options and the merits of the case. If both the promotion and merit options are to be considered, the faculty must be informed explicitly whether they are voting on promotion or on a merit. If the faculty are voting on a promotion from Associate Professor, Step 3, an increase of 1.0 step would result in a proposed promotion to Professor, Step 1. If the faculty do not support a promotion, then a separate vote would need to be recorded on a merit increase. Departments may consider designing a special ballot with more options for this situation, so long as its format is consistent with the more typical department ballot.

(24)

An Assistant Professor, Step 5 is up for promotion at year 7. One of the options may be lateral promotion to Associate Professor, Step 1. How is this indicated on a ballot?

It is a good idea to add a lateral promotion as an option when a faculty member previously merited to an overlapping step. The ballot may look like the following:

2.0-step promotion (Associate ~~Prof.~~ Professor Step 3)
 1.5-step promotion (Associate ~~Prof.~~ Professor Step 2.5)
 1.0-step promotion (Associate ~~Prof.~~ Professor Step 2)
 Lateral Promotion (Associate ~~Prof.~~ Professor Step 1)
 No support
 Abstain

Note: Associate Professor, Step 1.5 is not a promotion option as an increase of 0.5 steps is not an option under Step Plus except for barrier step merits. There is a guide to promotions and the role of overlapping steps available [here](#).

~~(25)~~

~~We have a faculty member at Assistant Professor, Step 3 (or Associate Professor Step 2.0)~~ who wants to pursue a promotion action.

(a) Is this allowed?

Occasionally, there may be a case where an Assistant Professor, Step 3 or an Associate Professor, Step 2 may seek advancement after spending normative time (2 years) at their current step. Candidates at Assistant rank, Steps 1.0-3.5 and Associate rank, Steps 1.0-2.5 are not eligible for promotions that are accelerated in time.

Promotion eligibility when a candidate HAS spent normative time at their current step:

		PROPOSED ADVANCEMENT							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT Candidate HAS spent normative time at step	Asst 3	2.0 step							
	Asst 3.5	1.5 step	2.0 step						
	Asst 4	1.0 step	1.5 step	2.0 step					
	Asst 4.5		1.0 step	1.5 step	2.0 step				
	Asst 5			1.0 step	1.5 step	2.0 step			
	Asst 5.5				1.0 step	1.5 step	2.0 step		
	Asst 6					1.0 step	1.5 step	2.0 step	
	Asst 6.5						1.0 step	1.5 step	2.0 step

		PROPOSED ADVANCEMENT							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT Candidate HAS spent normative time at step	Assoc 2	2.0 step							
	Assoc 2.5	1.5 step	2.0 step						
	Assoc 3	1.0 step	1.5 step	2.0 step					
	Assoc 3.5		1.0 step	1.5 step	2.0 step				
	Assoc 4			1.0 step	1.5 step	2.0 step			
	Assoc 4.5				1.0 step	1.5 step	2.0 step		
	Assoc 5					1.0 step	1.5 step	2.0 step	
	Assoc 5.5						1.0 step	1.5 step	2.0 step

(b)

		PROPOSED ADVANCEMENT							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT Candidate HAS spent normative time at step	Asst 3	2.0 step							
	Asst 3.5	1.5 step	2.0 step						
	Asst 4	1.0 step	1.5 step	2.0 step					
	Asst 4.5		1.0 step	1.5 step	2.0 step				
	Asst 5			1.0 step	1.5 step	2.0 step			
	Asst 5.5				1.0 step	1.5 step	2.0 step		
	Asst 6					1.0 step	1.5 step	2.0 step	
	Asst 6.5						1.0 step	1.5 step	2.0 step

		PROPOSED ADVANCEMENT							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT Candidate HAS spent normative time at step	Assoc 2	2.0 step							
	Assoc 2.5	1.5 step	2.0 step						
	Assoc 3	1.0 step	1.5 step	2.0 step					
	Assoc 3.5		1.0 step	1.5 step	2.0 step				
	Assoc 4			1.0 step	1.5 step	2.0 step			
	Assoc 4.5				1.0 step	1.5 step	2.0 step		
	Assoc 5					1.0 step	1.5 step	2.0 step	
	Assoc 5.5						1.0 step	1.5 step	2.0 step

We have determined our Assistant Professor, Step 3 has spent normative time at their current step. How should the department vote?

If the candidate has spent normative time at Assistant Professor, Step 3 (or Associate Professor, Step 2) the action is NOT considered an acceleration in time, and should be reviewed following Step Plus guidelines. The department should vote on all possible outcomes:

2.0-step promotion to Associate Professor; Step 1

2.0-step merit to Assistant Professor; Step 5

1.5-step merit to Assistant Professor; Step 4.5

1.0-step merit to Assistant Professor; Step 4

No advancement

Abstain

(e)

What if the Assistant Professor, Step 3 in question has not spent normative at their current step?

The Assistant Professor, Step 3 is not eligible for promotion in this scenario.

Promotion eligibility when a candidate HAS NOT spent normative time at their current step:

		PROPOSED ADVANCEMENT							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT Candidate HAS NOT spent normative time at step	Asst 3	Not eligible for promotion							
	Asst 3.5	Not eligible for promotion							
	Asst 4	1.0 step							
	Asst 4.5		1.0 step						
	Asst 5	Lateral		1.0 step					
	Asst 5.5		Lateral		1.0 step				
	Asst 6			Lateral		1.0 step			
	Asst 6.5				Lateral		1.0 step		

		PROPOSED ADVANCEMENT							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT Candidate HAS NOT spent normative time at step	Assoc 2	Not eligible for promotion							
	Assoc 2.5	Not eligible for promotion							
	Assoc 3	1.0 step							
	Assoc 3.5		1.0 step						
	Assoc 4	Lateral		1.0 step					
	Assoc 4.5		Lateral		1.0 step				
	Assoc 5			Lateral		1.0 step			
	Assoc 5.5				Lateral		1.0 step		

		PROPOSED ADVANCEMENT							
		Assoc 1	Assoc 1.5	Assoc 2	Assoc 2.5	Assoc 3	Assoc 3.5	Assoc 4	Assoc 4.5
CURRENT Candidate HAS NOT spent normative time at step	Asst 3	Not eligible for promotion							
	Asst 3.5	Not eligible for promotion							
	Asst 4	1.0 step							
	Asst 4.5		1.0 step						
	Asst 5	Lateral		1.0 step					
	Asst 5.5		Lateral		1.0 step				
	Asst 6			Lateral		1.0 step			
	Asst 6.5				Lateral		1.0 step		

		PROPOSED ADVANCEMENT							
		Full 1	Full 1.5	Full 2	Full 2.5	Full 3	Full 3.5	Full 4	Full 4.5
CURRENT Candidate HAS NOT spent normative time at step	Assoc 2	Not eligible for promotion							
	Assoc 2.5	Not eligible for promotion							
	Assoc 3	1.0 step							
	Assoc 3.5		1.0 step						
	Assoc 4	Lateral		1.0 step					
	Assoc 4.5		Lateral		1.0 step				
	Assoc 5			Lateral		1.0 step			
	Assoc 5.5				Lateral		1.0 step		

Exception: Candidates who have been at the Assistant rank for 7 years and must be considered for promotion before normative time has elapsed at the current step (a “technical acceleration”) may still be considered for Step Plus, and the department should vote on all possible outcomes.

(26)

Should we require an explanation for a “no” vote on 1.5 steps and 2.0 steps, or just in the case where the 1.0-step merit is not supported?

Only when casting a “no” vote is an

An explanation is only required when faculty do not support a 1.0-step merit advancement. However, faculty members should be able to add comments whenever they support or do not support any type of action.

(27)

When does the chair consult with the candidate?

In some circumstances (e.g. Question #??, above), it will be important for the Chair to discuss voting options with the candidate before the department vote. However, we generally recommend that voting faculty should be given the opportunity to vote on all common merit and/or promotion options under Step Plus (0, 1.0, 1.5 and 2.0 steps). Prior to the faculty vote, the candidate prepares the Candidate’s Statement to make their best case for the action they think they deserve. The department letter should make a recommendation based on the vote and post-vote consultation between the Chair and the candidate.

(28)

What if only half the voting faculty support a 2.0-step merit increase? As chair, what advice do I give to the candidate?

In scenarios like this, the 2.0-step merit increase should be submitted. The chair can remind the candidate that all approved merit increases are an excellent outcome!

(29)

What is the role of the faculty member in terms of their willingness to self-promote or their tolerance for risk?

The department voters will have access to the record, including the candidate's statement, in which the candidate should make his or her case for an action felt to be deserved. The department letter must recommend an action based on the vote. If the vote is divided and does not clearly imply a single recommendation, the candidate's preference and discussion with the chair can play a significant role in the recommendation.

~~(30) Does the candidate choose in advance what the faculty will vote on in the department?~~

~~This is determined by department practice. However, to be consistent with the aims of the Senate's Step Plus resolution, we recommend that each department adopt a ballot that captures most options under Step Plus (2.0-step advancement, 1.5-step advancement, 1.0-step advancement, no advancement, or abstention). Ballots that list all options and ask each voter to select the advancement option that is most appropriate allow the department faculty to vote only once and also ensures that acceleration in step is considered for every dossier.~~

(31)

Can the department recommend retroactive advancement under Step Plus?

No. All reviewers and decision-makers shall evaluate the case using the Step Plus system and consider the candidate for a merit of greater than ~~one~~ 1.0 step rather than recommending retroactive advancement.

(32)

How do joint department recommendations work?

Just as in the previous system, the joint department may make a recommendation that differs from that of the home department. However, the primary department should update the proposed status on the Action Form to reflect the highest advancement recommendation from any of the candidate's departments (home department, secondary department, etc.). The proposed action then determines the delegation of authority.

(33)

As a member of a review committee (such as an FPC or CAP), what do I do ~~with regards~~ to regarding department-level voting on actions that may or may not come to my committee for review?

The FPC or CAP member shall vote only once, and that member shall decide if that will be at the department level or the FPC/CAP level, on a case-by-case basis. If the FPC or CAP member votes at the department level on a particular action, then the member cannot vote at the FPC or CAP level on that action, but can still participate in the committee discussion. If the FPC or CAP member chooses to recuse themselves from voting at the department level, it is possible that this member will not have the opportunity to vote on the action, depending on the outcome of the home and joint department recommendations.

Departments may choose to allow CAP members to vote on the 1.0- and 1.5-step advancement options, with the expectation that they will recuse themselves from voting on a 2.0-step advancement. FPC members could be allowed to vote on the 2.0-step advancement with the expectation that they recuse

themselves from the 1.0- and 1.5-step advancement options. When this occurs, the department letter should clearly identify abstentions that apply to a specific advancement option.

(34)

How does the candidate's advancement selection on the "Notification of advancement eligibility for Academic Federation" impact (a) the recommendation on the Action Form, and (b) the department vote?

This form shall not be provided to the department reviewers prior to the department vote. Once the candidate has made a selection, the department must vote on all Step Plus advancement options, and the voting results are included in the department letter. However, if the candidate elected to pursue only 1.0 step on the notification of eligibility, the department letter recommendation must be for 1.0 step only. The department letter should also explain that the 1.0 step recommendation is driven by the candidate's selection, due to funding availability. The action form "proposed status" section should also reflect a 1.0 if this is what the candidate has selected.

Appendix G: Step Plus Workgroup Charge Letter

UC DAVIS: Academic Senate

August 31, 2020

Professor Ahmet Palazoglu, Chair (COE)

Professor Mary Christopher, Pathology, Microbiology and Immunology (VM)

Professor Christine Cocanour, Surgery (SOM)

Professor Robert Feenstra, Economics (L&S)

Professor Lisa Tell, Medicine and Epidemiology (VM)

Professor Carol Hess, Music (L&S)

Professor Phil Kass (VP-Academic Affairs, *ex officio*)

RE: Charge to the Step Plus Workgroup

Dear Colleagues,

On behalf of the Senate Committee on Committees and the Academic Senate leadership, we are writing to express our sincere thanks for your willingness to serve on the Step Plus Workgroup. This workgroup, which includes Vice Provost Kass as an ex-officio member, will review the current Step Plus “interim” guidelines and propose modifications to clarify these guidelines to make them standing policy. This Senate workgroup is being constituted in response to the recommendations of the Academic Senate’s 2019-2020 Step Plus Assessment Special Committee. Their report, which includes a brief history of Step Plus, can be found [here](#).

The workgroup will meet during the Fall quarter to review and propose changes to the “interim” Step Plus guidelines located on the Academic Affairs website. At the beginning of the Winter quarter, the draft of the “permanent” Step Plus guidelines will be sent as a Request for Consultation (RFC) for full Senate review. CAP and other Senate committees will be asked to opine on the proposed changes. The Senate will then send back their response to the Vice Provost so that Academic Affairs can start working on implementation (UCD APM/policy revisions, website updates, and communication plan) in time for the 2021-22 merit/promotion cycle.

The primary function of the workgroup is to provide recommendations based on the current Step Plus “interim” guidelines on processes, practices, and standards.

Charge to Workgroup - Given the great complexity of our merit and promotion processes, there are a number of very important recommendations that need to be resolved by the workgroup for Senate and administrative review. As a first step, we ask that all members of the workgroup review the Academic Senate’s 2019-2020 Step Plus Assessment Special Committee report.

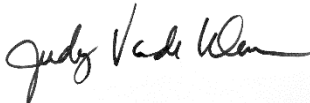
The tasks for the workgroup include the following:

- Evaluate the current [Step Plus “interim” guidelines](#) and decide which wording may need to be modified or clarified to make these guidelines standing policy. As part of this process, review relevant portions of the current UCD APM and make recommendations to better align the UCD APM with our Step Plus program.
- Clarify options for faculty voting within the Step Plus framework that departments can use to explain expectations to faculty and that department chairs can use to tailor their letters.

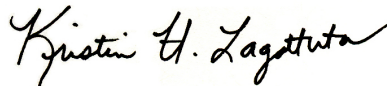
Senate Office Analyst Kelly Adams will be in touch about meeting scheduling. Please respond to her requests as soon as you can as we must organize a number of meetings quickly. Additionally, and with advance apologies, we want to acknowledge that we are unlikely to achieve a schedule in which workgroup members will be able to attend all meetings. We will strive to maximize opportunities for all members to participate.

Thank you all very much for your assistance in helping refine our Step Plus merit and promotion system.

Sincerely,



Judy Van de Water, Chair
Committee on Committees



Kristin Lagattuta, Chair
Davis Division of the Academic Senate

c: Richard Tucker, Chair-designate, Davis Division of the Academic Senate
Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate
Kelly Adams, Policy Analyst, Davis Division of the Academic Senate

Davis Division of the Academic Senate

Divisional Officers: 2021 – 2022

Chair: Richard Tucker
Vice Chair: Ahmet Palazoglu

The Committee on Committees would like to thank all faculty, past and present, who have served on Academic Senate committees. Appointments and reappointments to Senate committees are performed annually, and in so doing the Senate seeks to reflect, as noted in UC Davis's Principles of Community, the "multitude of backgrounds and experiences" that foster the "inclusive and intellectually vibrant community" of UC Davis. If we were unable to place you in service this year, we encourage you to apply again during next year's call for service. If you are wondering which committees might be a good fit for you, we encourage you to browse the Academic Senate's [committee webpage](#) and speak to your colleagues who have served on committees.

Committee Appointments

Academic Freedom & Responsibility

Chair: Carol Hess

Members: Gregory Downs, Meaghan O'Keefe, Andres Sciolla, Karen Zito

University Committee on Academic Freedom (UCAF): Carol Hess

Administrative Series Personnel Committee (AS representative)

Member: Hemant Bhargava

Admissions & Enrollment

Chair: Anne Britt

Members: Erik Carlsson, Stefan Hoesel-Uhlig, Veronika Hubeny, Brian Johnson, John Stachowicz, Deborah Swenson, Thomas Young

Board of Admissions and Relations with Schools (BOARS): Anne Britt

Affirmative Action & Diversity

Chair: Jose Torres

Members: Ester Apeso-Varano, Keith Baar, Shelley Blozis Villarreal, Titus Brown, Agustina Carando, Dawn Sumner

University Committee on Affirmative Action and Diversity (UCAAD): Jose Torres

CAP Appellate Committee

Chair: John Harada

Members: Christine Cocanour, Sally McKee, Prasad Naik, Scott Simon

CAP Oversight Committee

Chair: Jeannie Darby

Members: Alan Bennett, Prabir Burman, Edward Dickinson, Joanne Engebrecht, Neal Fleming, Naomi Janowitz, Kyoungmi Kim, Lisa Tell

University Committee on Academic Personnel (UCAP): TBD

Courses of Instruction

Chair: Stephen Boucher

Members: Hussain Al-Asaad, Diane Beckles, Colleen Bronner, Ian Korf, Julia Menard-Warwick, Mona Monfared, Anhvu Pham, Daniel Potter, Jon Rossini, Michael Toney, David Wilson

Distinguished Teaching Awards

Chair: Gail Patricelli

Members: Lucy Corin, John Eadie, Paul Eastwick, Masud Seyal

Elections, Rules & Jurisdiction

Chair: Andrea Fascetti

Members: Giacomo Bonanno, Darien Shanske

Emeriti

Chair: James Boggan

Members: Dorothy Gietzen, Mohamed Hafez, Catherine Outerbridge, Michiko Suzuki, D Traill, Shrinivasa Upadhyaya

AF Excellence in Teaching (AS representative)

Member: Amy Motlagh

Faculty Distinguished Research Award

Chair: Carlito Lebrilla

Members: Nathan Kuppermann, Elizabeth Miller, Biswanath Mukherjee, Alyssa Thornton

Faculty Privilege and Academic Personnel Advisers

Chair: Julia Simon

Members: Nicholas Kenyon, Stephen Lewis, Steven Nadler, Kathryn Olmsted

Faculty Welfare

Chair: Karen Bales

Members: David Bunch, Christiana Drake, Janet Foley, Gerardo Mackenzie, Saul Schaefer, Valley Stewart

University Committee on Faculty Welfare (UCFW): Karen Bales

Graduate Council (GC)

Chair: Dean Tantillo

Vice Chair: Jeffrey Schank

Members: Enoch Baldwin, Rong Chen, Angela Gelli, Matthew Gilbert, Eleonora Grandi, Christopher Meissner, Gregory Miller, Jie Peng, Tobias Warner

Coordinating Committee on Graduate Affairs (CCGA): Dean Tantillo

GC Academic Planning and Development

Chair: Tobias Warner

Members: Louise Berben, Thomas Glaser, Julin Maloof, Lihong Qi, Xiangdong Zhu

GC Bylaws

Chair: Angela Gelli

Member: Steven Carlip

GC Courses

Chair: Jie Peng

Members: Kenneth Beck, Randy Carney, Gina Dokko, Adele Igel, Zeev Maoz, Jaroslav Trnka, Michael Ziser

GC Educational Policy

Chair: Eleonora Grandi

Members: Alexander Aue, Davide Donadio, Ashley Hill, Bo Liu, Lisa Oakes, Julie Wyman, Weijian Yang

GC Graduate Student and Postdoctoral Scholar Welfare

Chair: Matthew Gilbert

Members: Claire Goldstein, William Putnam

GC Program Review

Chair: Christopher Meissner

Members: Julie Bossuyt, Thomas Buckley, Joseph Chen, Dominik Haudenschild, Boris Jeremic, Heather Knych, Matthias Koepe, Michele La Merrill, Maggie Morgan, Ewa Mroczek, Wolfgang Polonik, Bruce Rannala, Crystal Ripplinger, Rachel St John

General Education

Chair: Alice Stirling-Harris

Members: Hussain Al-Asaad, Marina Crowder, Adele Igel, Kristin Kiesel, Eric Louis Russell, Michael Toney, Carl Whithaus

Grade Changes

Chair: Becca Thomases

Members: Gregory Dobbins, Alyson Mitchell, Christopher Nitta, John Smolenski

Information Technology

Chair: Petr Janata

Members: Christiana Drake, Qizhi Gong, Francois Gygi, Luis Rademacher

University Committee on Communications and Computing (UCCC): Petr Janata

Instructional Space Advisory Subcommittee

Chair: Luca Comai

Members: Yuk Chai, Dietmar Kueltz, Jeanette Ruiz, Brett Snyder, Jane-Ling Wang

International Education

Chair: Jennifer Schultens

Members: Jaimey Fisher, Heather Hether, Bo Liu, Samuel Schladow, Shahid Siddique, Joseph Sorensen

University Committee on International Education (UCIE): Jennifer Schultens

Joint Academic Federation/Senate Personnel

Members: Damian Genetos, Michael Kapovich, Wilson Rumbelha

Library

Chair: Eric Rauchway

Member: Cecilia Giulivi

University Committee on Library and Scholarly Communication (UCOLASC): Eric Rauchway

P&T Hearings

Chair: Lisa Miller

Members: Carlee Arnett, Zhaojun Bai, Marie Burns, John Conway, Stephen Garcia, David Horton, Ming-Cheng Lo, Frank Loge, William Usrey

P&T Investigative

Chair: Catherine VandeVoort

Members: Marina Leite, Jeannette Money, Brian Soucek, Judith Van de Water

University Committee on Privilege & Tenure (UCPT): Catherine VandeVoort

Planning & Budget

Chair: Heather Rose

Members: Nicole Baumgarth, Paul Bergin, David Block, Sashi Kunnath, Timothy Lenoir, Luis Santana, Hollis Skaife, Sarah Stewart-Mukhopadhyay

University Committee on Planning & Budget (UCPB): Heather Rose

Preparatory Education

Chair: Rebekka Andersen

Members: Ozcan Gulacar, Yuming He, Susan Keen, Fu Liu

University Committee on Preparatory Education (UCOPE): Rebekka Andersen

Public Service

Chair: Valerie Eviner

Members: Oscar Jorda, Richard Kravitz, Christina Rulli, Alan Taylor

Research

Chair: Cynthia Schumann

Members: Laura Borodinsky, David Greenhalgh, Erin Hamilton, Paul Hastings, Ana-Maria Iosif, Charles Langley, Pamela Lein, Frank Osterloh, Sally Ozonoff, Jasquelin Pena, David Rocke, Sanjeevi Sivasankar, Vladimir Yarov-Yarovoy, Angela Zivkovic

University Committee on Research Policy (UCORP): Cynthia Schumann

Special Academic Programs

Chair: David Kyle

Members: Omnia El Shakry, Veronica Morales, Lorenzo Nardo, Philippe Rast

Undergraduate Council

Chair: Katheryn Russ

Members: Rebekka Andersen, Natalia Caporale, Gerardo Con Diaz, Victoria Cross, Amanda Crump, Rachael Goodhue, David Kyle, Nitin Nitin, Benjamin Shaw, Alice Stirling-Harris, Philipp Zerbe

University Committee on Educational Policy (UCEP): Katheryn Russ

Undergraduate Instruction & Program Review

Chair: Victoria Cross

Members: Thomas Buckley, Silvia Carrasco Garcia, Jennifer Choi, Kathleen Cruz, Debbie Fetter, Patrice Koehl, Joel Ledford, David Wittman

Undergraduate Scholarships, Honors & Prizes

Chair: Andres Resendez

Members: James Angelastro, Cheryl Boudreau, Corrie Decker, Philippe Goldin, David Gundry, Fuzheng Guo, Mark Halperin, Kristina Horback, David Horton, Yoshihiro Izumiya, Katrina Jessoe, Xin Liu, Bwalya Lungu, Stephanie Mudge, Randall O'Reilly, Arzu Ozturk, Karen Ryan, Qinglan Xia, Yinghui Yang

Virtual and Hybrid Courses

Definitions

Courses in which one or more contact hours per week are conducted online should be classified as hybrid or virtual. Contact hours are defined as time when instructors are presenting to or interacting with students (e.g., lecture, laboratory, discussion). Contact hours do not include office hours. Courses taught entirely online are referred to as 'virtual' courses; while courses that are mixtures of online and in-person contact hours are referred to as 'hybrid' courses. The Committee notes that remote instruction, which is the practice of temporary modification of instructional delivery due to a change or anticipated change in campus operating status due to pandemic, natural disaster, or other events, is not the equivalent of online instruction.

Submission in ICMS

The Committee has designated two [learning activity codes](#) to be used in course approval forms for these courses. The learning activities are Web Virtual Lecture (WVL) and Web Electronic Discussion (WED).

WVL - Web-based and/or technologically-mediated activities replacing standard lectures.

WED - Web-based and/or technologically-mediated activities replacing standard discussion sections.

The Committee recognizes that 'web virtual lecture' and 'web electronic discussion' may be inadequate descriptions, as online activities can do more than mimic regular lectures and discussions. We do not intend that the listed activities restrict what instructors do, but rather than add new activities, we ask that instructors select WVL or WED and then describe the activities more fully in the Justification of Units section of the Integrated Curriculum Management System (ICMS) form.

The course number must include the suffix "V" for completely online/virtual courses. The course number must include the suffix "Y" for hybrid courses.

Two courses that have the same subject code and course number but will be taught with different online/in-class learning activities (i.e. BSK 101 and BSK 101V), must be equivalent except for their learning activities and manner of instruction. All prerequisites, credit limitations, descriptions, General Education attributes, units, grading mode, etc., must be the same. These courses will be coded as equivalent in the Registrar's course database, so they will fulfill the same degree requirements for students.

To allow COCI to assess whether or not hybrid and virtual courses meet UC Davis' standards of rigor and quality, proposers must submit three additional documents to ICMS via the Attached Files tab when submitting a proposal for a new or modified hybrid or virtual course:

1. Responses to Supplemental Questions for Proposers of Hybrid and Virtual Courses.
2. A letter from the department chair or individual responsible for department curriculum which indicates that the department has discussed how this course and its hybrid/virtual nature fits into curricular plans.
3. A sample course outline or syllabus that describes how the online activities will be structured.

Faculty should be aware that the Registrar normally would not assign regular classroom space for online learning activity codes (for example, a hybrid course with 3 lecture hours each week and 1 hour of web electronic discussion each week would be assigned a classroom for 3 lecture hours, but not for the 1 hour of web electronic discussion). Furthermore, for courses without traditional lecture/discussions components, the instructor should coordinate with the Registrar regarding the dates and times of any "in class" examinations. The Registrar will inform instructors within the first 3 weeks of the quarter of the room assignment(s) for the midterm examinations. Final examination times for online-only courses will be assigned the "TBA" time slot.

Participation may not be more than 10% of the total grade, unless approved by the Committee.

Supplemental Questions for Proposal of Hybrid and Virtual Courses

1. What are the pedagogical justifications for the online activities of this course? How will the online activities enhance the learning experience and outcome for students?

Enter response to question 1 here

2. How will the weekly Web Virtual Lecture (WVL) and Web Electronic Discussion (WED) hours be divided between synchronous and asynchronous instruction? Complete the blue cells in the table below, ensuring that the contact hours in column C are consistent with what was provided in the Units & Contact Hours section of the ICMS form.

Learning Activity	A Synchronous Hours/Week	B Asynchronous Hours/Week	C Total (A+B=C)
Web Virtual Lecture (WVL)			0
Web Electronic Discussion (WED)			0
Total	0	0	

3. Outside of the contact hours for this course (lecture, web electronic discussion, etc.), how do the instructors anticipate interacting with students? (Online or in-person office hours, online chats, email, etc.) For how many hours per week or quarter?

Enter response to question 3 here

4. Considering the Senate's exam regulation (DDR 538) and the best practices regarding online assessment, describe how exams (if any) will be administered in this course.

[DDR 538](#)

[Best practices for online assessment resource](#)

Enter response to question 4 here

5. For virtual courses only: What opportunities exist for student-student interaction? How will instructors facilitate or encourage student-student interactions?

Enter response to question 5 here

6. For virtual courses with 100% asynchronous contact hours (where the total in the yellow cell in the table above equals 0): In order to ensure high quality and equitable learning outcomes, how will you compensate for the absence of synchronous

Enter response to question 6 here

BY LAWS of the SCHOOL OF EDUCATION UNIVERSITY OF CALIFORNIA, DAVIS

ARTICLE I. –NAME OF ORGANIZATION

The name of this organization is the School of Education, University of California, Davis (hereafter, the School).

ARTICLE II. –PURPOSE OF ORGANIZATION

The purpose of this organization is to be a leader in educational research and the preparation of educational researchers and practitioners, and to pursue significance, excellence and scholarly rigor in research, graduate and undergraduate teaching, and service to the people of California.

ARTICLE III. –MEMBERS

III.1. Faculty

The Faculty of the School shall consist of

- a. the President of the University of California;
- b. the Chief Campus Officer of the Davis campus;
- c. the Dean of Graduate Studies of the Davis campus;
- d. the Dean of the School of Education (hereafter, the Dean);
- e. all members of the Academic Senate who are members of the School of Education.

III.2. Voting Faculty

Voting rights and their extension are governed by Academic Senate Bylaws SBL 55B and 55C and apply to the Faculty and its committees.

III.3. School Regulations and functions of the Faculty and the Dean

The *Faculty* shall determine *the institutional policies*, regulations and procedures of the School pertaining to curriculum, student admissions, and academic personnel evaluation *and appointments*.

The Dean shall be the chief administrative and fiscal officer of the School. The term “dean” as used in these Bylaws includes the Associate Dean.

ARTICLE IV. –OFFICERS

IV.1. Chair

The Faculty member elected to the Chair Elect position shall be determined by votes,

School of Education Bylaws – As amended 2009/2011/2020.

with ties decided by lot. The Chair Elect will take office on September 1 and serve as Chair in waiting as one of the four elected Senate Faculty members through August 31 of the following year. On September 1 of the subsequent year, the Chair Elect will become Chair and serve in that capacity for two years through August 31st. The Chair shall serve as Chair of the Executive Committee, shall preside over all Meetings of the Faculty of the School, and have such other secondary duties as the Faculty shall direct. The Chair is authorized to refer directly to the appropriate committee of the Faculty any or all questions, including petitions of students pertaining to School matters, placed in his or her hands for presentation to the Faculty.

IV.2. *Secretary*

The Faculty member receiving the most votes, with ties decided by lot, for the position of Secretary on the Executive Committee of the School shall serve as Secretary for a two-year term. The Secretary will take office on September 1 and serve as Secretary for two years through August 31st. The duties of the Secretary shall include, but not be limited to, the taking and distribution of minutes for meetings of the Executive Committee and the Faculty, the distribution of all calls to meetings, the maintenance of a current roster of members of the Faculty and of the membership and officers of all committees and programs connected to the SOE. The Secretary shall meet with the officers of the EDGSA to insure that students are elected to the Standing Committees as prescribed by the bylaws of the SOE.

IV.3. *Replacements.*

If the Chair is unable to complete his or her term of office, the elected members of the Faculty Executive Committee will choose a replacement from among the remaining members of FEC: either the Chair-Elect, Secretary, or another elected member. If the Secretary or an ad-hoc member of FEC becomes Chair (in the Chair-replacement scenario) or is otherwise unable to complete his or her term of office the elected members of the Executive Committee shall select a replacement. The replacement shall serve through August 31.

ARTICLE V. –MEETINGS

V.1. *Regular Meeting*

The Faculty shall meet at least once each quarter during the academic year. At least one fall quarter meeting shall be held during the month of October.

V.2. *Special Meeting*

The Faculty may meet at such other times as called by the Chair. In addition, upon written request of five members of the Faculty to the Secretary, a special meeting must be called within ten instructional days of receipt of the request. If the Chair and Secretary is unavailable, the immediate Past Chair of the Faculty of the School is empowered to call

special meetings of the Faculty and to serve as Chair pro tempore.

V.3. Attendance and Quorum

It is generally expected that all voting Faculty shall attend the Meetings of the Faculty. Only members of the Faculty may be present at Meetings of the Faculty during consideration of student petitions for reinstatement, student disciplinary matters, and matters determined to be strictly confidential by the Chair. Guests, including students, may be present at other times by the invitation by the Chair. Upon objection, a majority vote is required to allow a guest to be present. A quorum shall consist of a majority of the Faculty eligible to vote and in residence. Voting members who are on leave or on sabbatical are not included in the quorum count, but they are eligible to vote.

V.4. Meeting Agenda

At least five instructional days before a Meeting of the Faculty, other than a special meeting, the Chair shall give the Faculty and others entitled to attend copies of the agenda and of committee reports and like documents to be discussed at the meeting. The agenda shall consist of the following items in this order: minutes of the last meeting, reports of officers, committee reports, unfinished business, and new business. Additional items may be placed on the agenda upon the written request of three Faculty members eligible to vote, and the revised agenda shall be distributed no less than two instructional days before the meeting.

V.5. Voting

- a. A majority vote means more than half of the votes cast by the voting Faculty. An abstention is not a vote cast.
- b. Ordinarily, votes shall be cast by voice or show of hands, but any Faculty member eligible to vote may require that a vote on a matter be taken by secret ballot.
- c. A motion to submit a measure to mail ballot has precedence over a motion to vote in a meeting.
- d. A member may provide another member with a written proxy for a particular meeting or agenda item.

V.6. Amendment of Bylaws and Policies and Procedures

- a. These Bylaws may be added to, amended, or replaced at any regular or special meeting by a two-thirds vote of all the voting members of the Faculty present, provided that written notice has been sent to all members as prescribed in DD Bylaw 180. No change shall be made in the Bylaws that is inconsistent with the Code of the Academic Senate.
- b. Policies and procedures related to curriculum, admissions and senate faculty personnel

matters may be added to, amended, or repealed by a majority vote of all the voting members of the Faculty, provided written notice shall have been sent to all members as prescribed in DD Bylaw 180. No change shall be made in the policies and procedures that is inconsistent with the Code of the Academic Senate.

V.7. Procedure

- a. Questions of procedure that are not governed by the Bylaws shall be resolved by Robert's Rules of Order.
- b. The procedural rules of the Faculty governing meetings may be suspended by vote of the Faculty, provided that not more than two voting members present object to such suspension.

ARTICLE VI. –COMMITTEES AND ADVISORS

Members of standing committees shall take office on September 1, or on the date of appointment, and shall serve through August 31 as specified by each committee. Terms shall be staggered and no longer than two years.

VI.1. Executive Committee

(A.) The Executive Committee shall consist of four elected members, the Faculty chair, *ex officio*, the Dean of the School, *ex officio* and the Associate Dean for Academic Programs, *ex officio*. Ex officio members shall not have the right to vote. When FEC officer or member terms are up, the Chair shall call for nominations before the last spring Meeting of the Faculty. The election shall be by secret ballot administered each spring by the current Chair with ties broken by lot. Each voting member of the Faculty is entitled to vote for two members of the committee each year. The terms of the elected members shall be staggered, and members shall be *elected on a two-year cycle*. Chair Elect and Secretary elections shall alternate by year; as shall elections for the remaining members. When the Chair Elect becomes Chair in the second year, two member slots become available. One will be a one-year term; the other, a two-year term. Thus, in Year 1 faculty will elect the Chair for a three-year term (one year as Chair-Elect/ad-hoc and two years as Chair) and a Secretary for a two-year term. In Year 2 faculty will elect two ad-hoc members, one for a two-year term and one for a one-year term. Elected members who are not officers and who are unable to complete their term will be replaced by a vote of the remaining elected members.

(B) The Executive Committee shall meet as necessary, but at least once per month at the discretion of the Chair during the academic year.

(C) The Executive Committee shall receive requests that may require committee action and direct such requests to the appropriate committee(s).

(D) At least three of the elected membership, excluding vacancies noted in the records of the Secretary, shall constitute a quorum for the transaction of business by the Executive

Committee.

(E) The Executive Committee shall submit to the Faculty each year, at the regular meeting in May or at a special meeting in June designated for elections nominations for the members and chairs of all standing committees of the Faculty. The Faculty shall either elect those nominated or make additional nominations from the floor. If additional nominations are made, election for the respective committees shall be by secret ballot at this meeting. The Executive Committee shall appoint members to fill any vacancies occurring during the year.

(F) The Executive Committee shall appoint members to and designate the Chair of special committees as may be authorized by the Faculty.

(G) The Executive Committee shall consider administrative matters referred to it by the Dean through the Chair.

(H) The Secretary shall provide the Faculty with written minutes of each Executive Committee meeting within ten instructional days. These minutes shall clearly describe all actions taken by the Executive Committee and may be distributed electronically.

(I) In the event of a tie vote on matters requiring a vote of the Executive Committee, the decision shall rest with the chair or acting chair.

(J) Any member of the Faculty can attend the Executive Committee meeting and have the privilege of the floor.

(K) In situations requiring emergency action by the Executive Committee, it may issue statements and take actions in its own name as required. However, it must inform the faculty by mail of its actions, and have its actions confirmed, rejected or changed at the next regular or special meeting of the faculty.

VI.2. *Standing Committees*

(A) The Educational Policy Committee shall advise the Faculty on curriculum, admissions and other matters of educational policy referred to it by the Chair. Issues may be related to courses of instruction, undergraduate programs, graduate programs, admissions, and the awarding of financial aid. The Educational Policy Committee (EPC) also assist the Graduate Advisor as appointed by the Dean of Graduate Studies in determining when students are no longer in academic good standing or academically disqualified from the School and shall hear and determine petitions from academically disqualified students. This committee shall consist of the Graduate Advisor and the Associate Dean for Academic Programs as an *ex officio* member, and at least three other Faculty members elected by the Faculty and two students elected by their peers.

(B) The Courses Committee shall advise the Faculty on issues related to the proposal of new courses or revisions to existing courses for any program in which SOE faculty teach as referred to it by the Chair. Issues may be related to courses offered by the SOE on its own or in collaboration with other UCD faculty or with faculty from other institutions. Courses developed for income-generation programs must be reviewed by the Courses Committee when these courses are first developed and periodically as directed by the Chair of the FEC. This committee shall consist of three Faculty elected by the Faculty, one representative elected by the Lecturer/Supervisors and two students elected by their peers. Elected members shall serve for two-year terms on a staggered basis. To achieve

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staggering for the first election, two Faculty members shall serve for two-year terms and one for a one-year term. The Courses Committee shall meet at least once a term. The Faculty Executive Committee shall nominate the Chair of the Courses Committee from the elected Faculty members. The Faculty member elected to represent the SOE in the Academic Senate Courses committee shall be one of the elected members. The Committee shall elect a Secretary to maintain a record of meetings. The Dean shall appoint a staff person to assist the Secretary in keeping an accurate record of meetings and preparig an annual report to the FEC.

Approved by the Faculty of the School of Education. June 1st, 2020

Approved by the Faculty of the School of Education. June 6th, 2011

Approved by the Faculty of the School of Education; June 9th, 2009

Approved by the Faculty of the School of Education : February, 10, 2003

Reviewed by the Committee of Elections, Rules, and Jurisdiction (date): April 10, 2003

Approved by UC Davis Representative Assembly (date): May 7, 2003

Approved by the UC Davis Representative Assembly: Oct. 25th, 2011

GE Oral Skills Literacy

I. Regulations

Davis Division Regulation 522 sets forth the Baccalaureate Degree Requirements in General Education. Literacy with Words and Images (522.C.1) is a component of Core Literacies and requires 20 units of work in specified categories. Oral Skills coursework is an option for 3 units of that requirement.

Regulation 523 sets forth the Criteria for General Education Certification of courses, stating: “A course in oral skills strengthens a student’s ability to understand and orally communicate ideas while using critical thinking.” (523.C.2)

II. Interpretation

The objective of Oral Literacy is to strengthen effective communication skills by strengthening their ability to use critical thinking skills to present ideas or concepts verbally.

Courses that meet the oral literacy requirement must include instruction, practice, and demonstration by the student in the preparation, organization, logic, delivery, clarity, and rhetorical elements involved in persuasion.

All courses must require each student to give at least two oral presentations that total a minimum of ten minutes of presentation experience. These must be given live (including through remote interface) to a group of their peers, with or without visual supporting materials, either in person or through a connection that facilitates speaker-audience interaction.

Course instruction in oral literacy must include proper methods for constructing, understanding, and critiquing sound verbal arguments. Assignments or activities may be used for students to practice proper construction of argument used in oral presentations; however, assignments must not replace the required oral presentations given by students.

For all oral presentations, students must receive clear, written guidelines for completing each assignment and they must receive formal feedback from the instructor on their presentations. Clear criteria for evaluation must be established in advance of each assignment and must focus on each of the elements of oral communication.

Departments and programs are encouraged to incorporate oral literacy units within existing courses and to develop courses that emphasize the department’s or program’s distinctive disciplinary uses of public speaking.

Minimum Elements Checklist

Courses in the Oral Skills Literacy must:

ME1) Demonstrate that a substantial portion of the course is the instruction of techniques on effective oral presentation, communication skills, and improvement of critical thinking skills

through the development of persuasive rhetoric delivered orally.

ME2) Assure that the course outline includes lecture topics on the proper methods of presentation organization, logic, oral presentation delivery, and the rhetorical elements of persuasion.

ME3) Require each student to give at least two (2) oral presentations that total at least 10 minutes of presentation experience.

ME4) Assure that all presentations are given live to a group of student peers and evaluated by the instructor (this does not preclude remote connections). Formal feedback is provided to each student following their oral presentations.

ME5) Demonstrate that achieving the minimum set of learning objectives of the literacy is an integral part of the class.

III. ICMS Submission requirements

The Committee on Courses of Instruction (COCI) evaluates whether the course proposal satisfies the minimum elements checklist above. COCI uses the information provided in the answers to the General Education literacy justification questions and the Expanded Course Description. Departments requesting that a course be approved for this GE literacy must answer the literacy questions in the Integrated Curriculum Management System (ICMS), as listed below.

For this literacy, COCI evaluates the minimum elements as follows:

- ME1: Expanded Course Description
 - ME2: Expanded Course Description
 - ME3: ICMS literacy questions 1
 - ME4: ICMS literacy questions 1 and 2
 - ME5: Expanded Course Description
1. Briefly describe the requirements for oral presentations by each student in the course, including the total number of presentations and the nature and length of each presentation.
 2. Briefly describe how criteria for evaluation and feedback on the presentations will be provided to students.
 3. How will the instructors assess student competency in this GE literacy?

Departments may leave the “ICMS Justification” field blank or use it to provide any additional information about the GE literacy for this course that may be helpful as COCI reviews the request.

Last revised and approved by Undergraduate Council
April 2, 2021