

# Step Plus Merit Outcomes 2014-15 and 2015-16

## Interim Report

### Acknowledgments

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

## Step Plus objectives

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

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

## Monitoring and refinements to date (1)

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

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

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

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

## Monitoring and refinements to date (2)

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

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

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

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

## Monitoring and refinements to date (3)

### **October 31, 2016 – Step Plus Clarification**

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

## Monitoring and refinements to date (4)

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

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

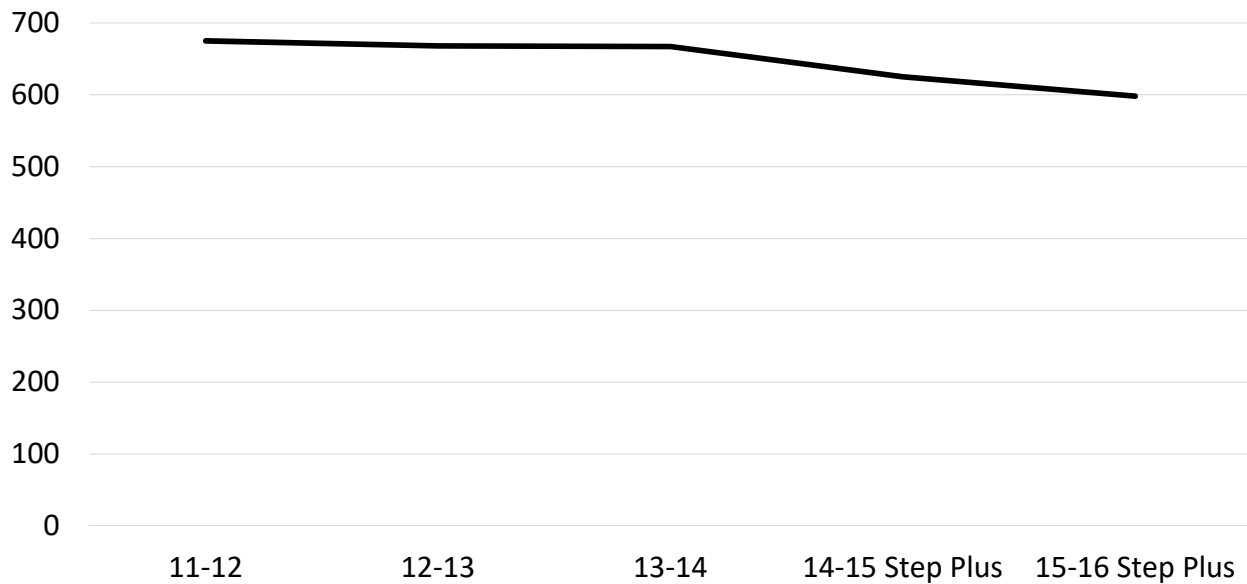
## Data available

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

## Number of actions

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

## Number of merit and promotion actions by year

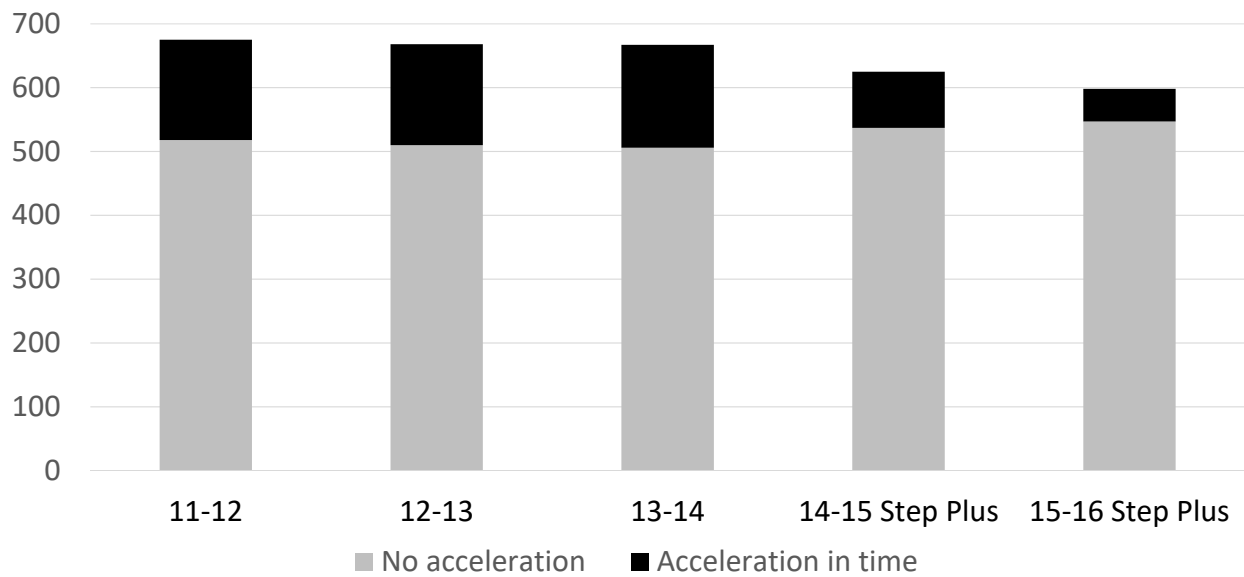


## Reduction in number of merit and promotion actions/year

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

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

## Acceleration in time: number of actions

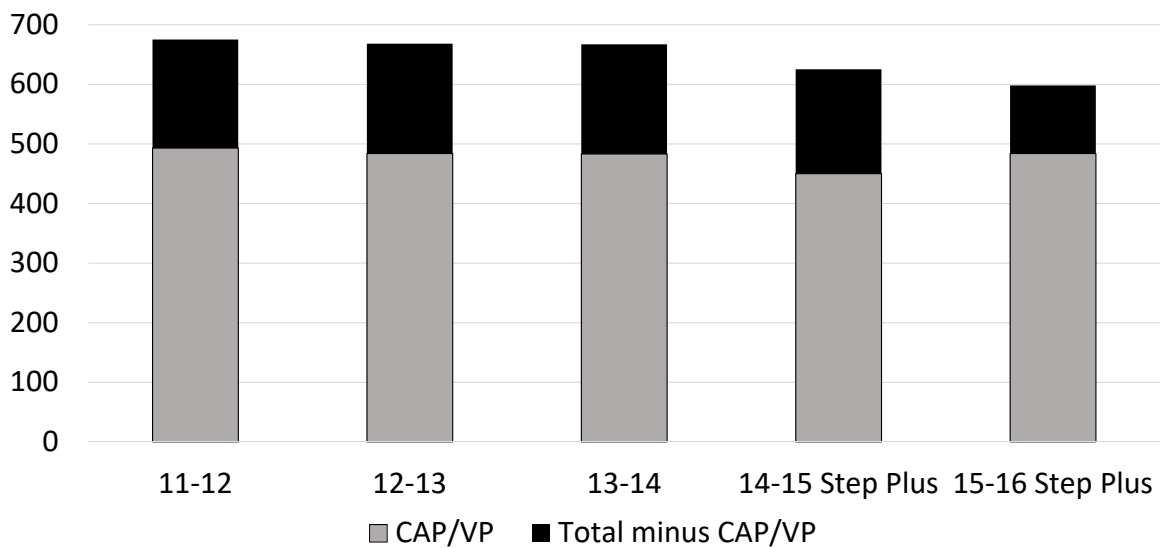


## Number of Actions Reviewed by CAP: 2010-2016

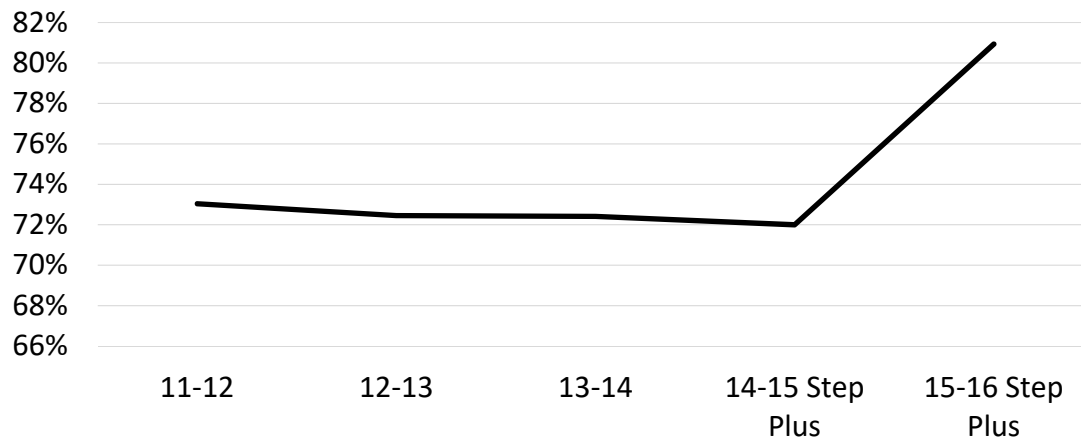
Academic Year	Number of Cases Reviewed
2010-2011	438
2011-2012	493
2012-2013	484
2013-2014	483
2014-2015	450
2015-2016	484
2016-2017*	456

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

## Cases reviewed by CAP and all cases



## Cases reviewed by CAP: % of all cases



## Comparing Step Plus and advancement in time outcomes

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

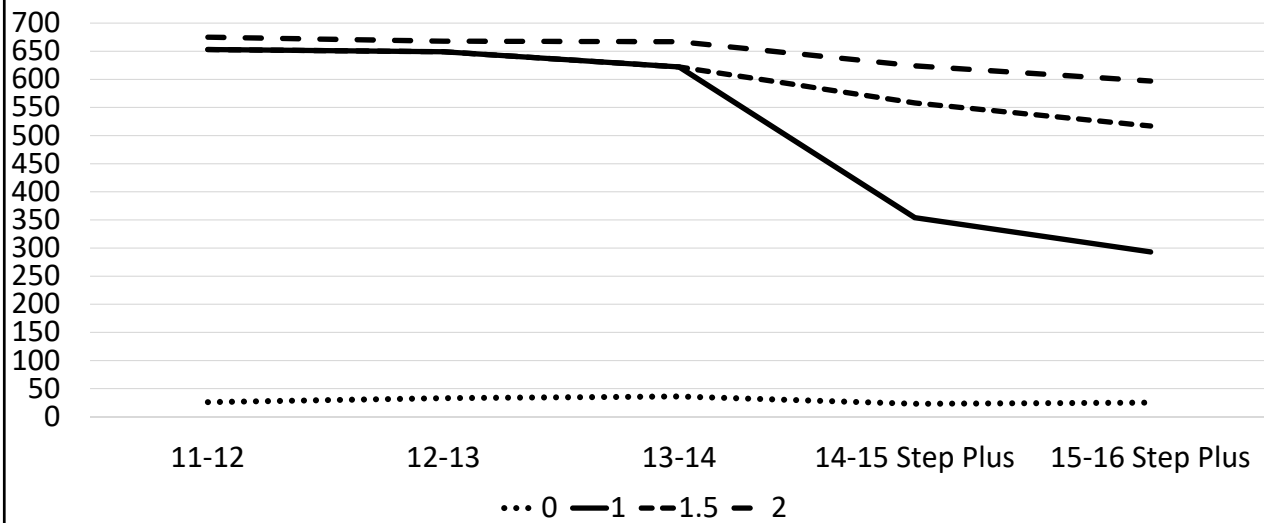


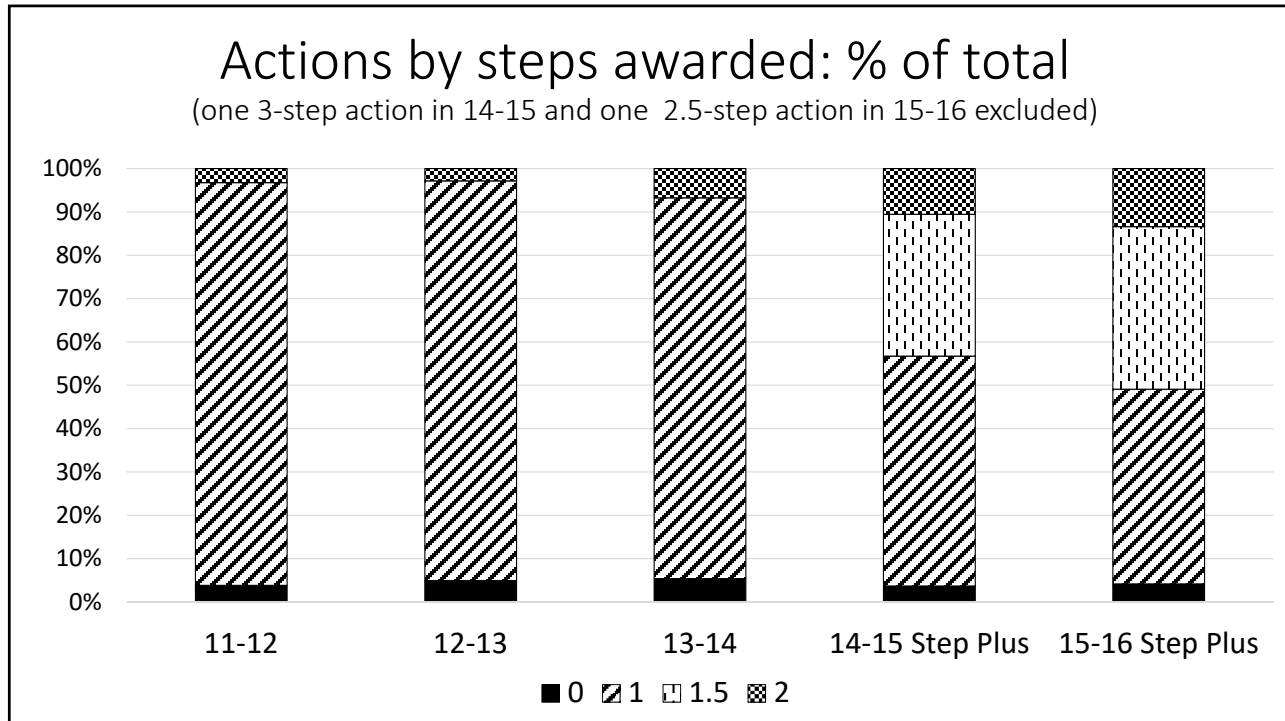
## Step Plus step advancements

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

### Actions by steps awarded: cumulative number of actions

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





### Step Plus actions by steps awarded: % by rank

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

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

Advancement in Time actions:  
% by rank

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

Actions with no advancement by year: % of total actions

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

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

Actions with no advancement: % by college/school

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

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

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

## Appeals

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

## Step Plus action outcomes

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

### Step Plus actions by steps awarded: % by college/school

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

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

\* 5 or fewer

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

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

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

\* 5 or fewer

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

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

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

\* 5 or fewer

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

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

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

\* 5 or fewer

### Step Plus actions by steps awarded: % by college/school, full 6-9

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

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

\* 5 or fewer

### Step Plus actions by steps awarded: % by college/school, above scale

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

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

\* 5 or fewer



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

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

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

## Summary (1)

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

## Summary (2)

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