

ACADEMIC PERSONNEL 101A

Academic Personnel: Process & Best Practices for Department Chairs

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MyInfoVault (MIV)

- **MIV must be used for all merits and promotions.**
- **We strongly encourage use of MIV for the other actions available in MIV:**
 - **Appointments**
 - **Appointments via change in Department/Title**
 - **Appraisals**
 - **Career Equity Reviews**
 - **Deferrals**
 - **Department Chair, 5-year Review for Reappointment**
 - **Emeritus Status**
 - **Endowed Chair/Professorship Appointments/Reappointments**
 - **Five-Year Reviews**
 - **Unit 18 Initial Continuing Appointments**
 - **Unit 18 Reappointments**
- **Possible future enhancements (pending investment decisions):**
 - **Combined actions: Appraisal with Merit, Career Equity Review with Merit or Promotion**
 - **Proper Appeal action type**
 - **Additional roles for our academic population (separated, retired, emeritus, and deceased emeritus): important for database management and for the staff who manage assigning reviewers to dossiers**
 - **Communication between MIV and other data systems**

APM 220 and APM UCD 220

- APM 220 describes *system-wide* policy for faculty merits/promotions

http://www.ucop.edu/academic-personnel/_files/apm/apm-220.pdf

- UCD 220 provides campus implementation of APM 220, plus our procedures, checklists and sample letters

<http://manuals.ucdavis.edu/apm/220.htm>

ANNUAL CALL / APM 220 (cont'd)

The **Annual Call** is issued in late spring, and includes:

- New policies since previous Annual Call
- Reminders/clarifications about process steps that are problematic
- Due dates for actions to the Vice Provost's Office
- **Discuss with your AP analyst and share key issues with your faculty**

<http://academicaffairs.ucdavis.edu/policies/annual-call/index.html>

CHAIR'S ROLE IN THE ACADEMIC PERSONNEL PROCESS

- Serves as liaison between faculty & Dean / Administration
- Is proactive in career advancement of faculty (mentoring)
 - *Meet at least annually with each faculty member (more frequently with junior faculty members)*
- Ensures that department policies are followed in all personnel actions
- Promotes practices that reduce potential impacts of unconscious, structural and institutional biases
- Promotes an inclusive and respectful department culture

COMMUNICATE WITH CANDIDATE...

early and often

- **Review criteria for advancement and process (especially important for new faculty)**
- **Discuss contents of MIV dossier and deadlines**
- **Request list of potential extramural referees (some from candidate/some from department)**
- **Decide on publications to send to referees**
- **Get a draft of candidate's narrative**
- **Inform candidate of right to send forward names of anyone that they wish to be excluded from their evaluation because of objectivity concerns**

SOLICIT EVALUATION LETTERS

- Contact potential reviewers early (no more than half the extramural letters should be from candidate's list; at least half from department's list)
 - Most extramural reviewers should be “arm's length” (not mentors, mentees, collaborators or very close contacts)
 - Provide reviewers the time frame for response & info about UCD's work-life policies— *see new guidelines!*
- Send: CV, candidate's statement, publications/book chapters (if book is very near acceptance)
- Solicit intramural letters from Grad Dean, Center Directors, Clinic Directors, peer reviewers of teaching (for promotion)

SOLICIT LETTERS (cont.)

- For Professor Step 6, we no longer ask for extramural letters at UC Davis
- However, *P6 is still a barrier step*, and the dossier, especially the department letter, must make the case that the candidate meets Step 6 criteria:
- APM 220-18b (4): “... 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.”
 - Invited talks, downloads, citations, fellowships...

SOLICIT LETTERS (cont.)

- APM 220-18b 4) criteria for **advancement to Above Scale:**

“Advancement ... 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...*”

APM UCD-220: The *period of review* for high-level merits is the interval since promotion to Professor

CANDIDATE'S STATEMENT

- 1-5 pages (longer statements may be appropriate for P6 and Above Scale)
- Should present candidate's perspective in all areas under review *in language that is as non-technical as possible*
- Should include discussion of impact of work
- Can discuss problems which may have affected performance and how they were overcome
- Can discuss future plans, role in pending grant proposals

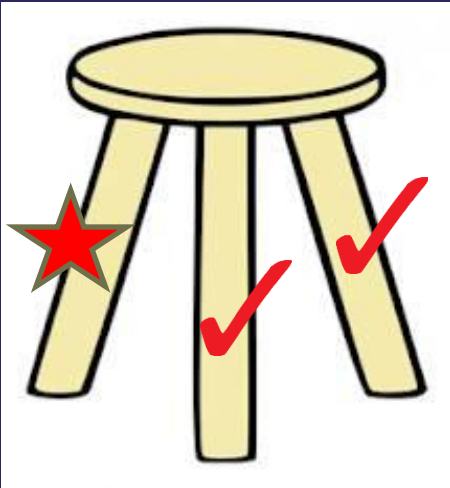
DOSSIER REVIEW BY CANDIDATE

- *Before department faculty review and vote, candidate checks dossier, including redacted extramural letters*
- Chair corrects any factual errors
- Candidate may write a **rebuttal letter** to voting faculty about issues raised in redacted letters.
 - This is due within 10 days of receiving redacted letters.

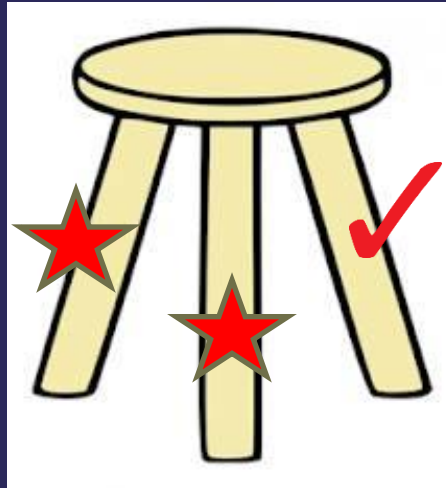
DEPARTMENT VOTE

- Follow approved voting rules for your unit
 - **Note:** Step Plus evaluation can be greatly facilitated by 5-point (not 3-point) performance ratings
 - Votes are confidential – with no constraints
 - Those unable to attend faculty meeting must be given an opportunity to vote
- Ballots are both for commentary and voting
- Negative votes *must* indicate reasons on ballot
 - Reasons for negative votes should be addressed in the body of the department letter
- I strongly recommend that *all* written comments be appended to the department letter

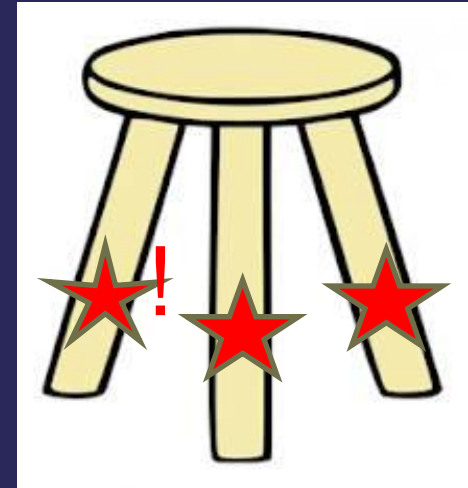
Step Plus assessments imply ratings in multiple performance categories, e.g. *not Above-Scale*:



Outstanding
in 1 category
~ 1.5 steps



Outstanding in
2 categories
(including
research)
~ 2.0 steps



Outstanding in
3 categories,
may merit >
2.0 steps

... So what is meant by “outstanding performance?”

Rating performance: 5 points vs. 3

	1: Well below expectations	2: Somewhat less than expected	3: Meets expectations for 1.0 step	4: Exceeds expectations	5: Greatly exceeds expectations
Research			✓		★
Teaching					
Service			✓		

*Encourage comments on contributions to diversity in these areas.

	1: Below expectations	2: Meets expectations for 1.0 step	3: Exceeds expectations
Research		✓	★?
Teaching			
Service		✓	

*Encourage comments on contributions to diversity in these areas.

...the choice is each department's.

The department discussion

- Even if the department does not usually meet for discussions of merit actions, any voter should be able to request such a meeting
- The department discussion, to the extent it is captured in the department letter, ballot comments or the confidential chair's letter, become part of the dossier
- **Voters should discuss pertinent issues about which they have direct knowledge, but that do not yet appear in the dossier**
 - **Collegiality per se is not relevant to advancement**, except to the extent that it has demonstrably affected teaching, service, research or contributions to diversity
 - **Department discussion is one of the few ways in which information about the quality of service and mentoring comes to the attention of voters; *but the discussion itself is confidential***
 - Remind faculty that all comments included with the letter will be viewed by the candidate and reviewers- comment responsibly!

DEPARTMENT LETTER

- Draft can be prepared by a department ad hoc committee, Vice Chair, or Chair
- 2-3 pages max for regular merits; up to 5 for promotions
- Letter reflects department view, not the Chair's view
- Evaluate – do not just enumerate or repeat information from the Candidate's Statement: discuss *quality* of service, mentoring (these can be discussed at department meeting)
- For Step Plus, if the recommendation is for > 1.0 steps, the letter should explicitly explain which activities are deemed outstanding, and why
- Address candidate's contributions to diversity in teaching, service and research

DEPARTMENT LETTER (cont.)

- Include language for Work-Life (W-L) Program participation if appropriate; e.g., <http://academicpersonnel.ucdavis.edu/worklife/>
- Do not include comments about off-scales or retentions
 - Salary should not be discussed as part of the department evaluation
- Do not refer to names or institutions of external referees; use letters or numbers to identify
- Voting faculty should have opportunity to review the draft letter and suggest changes to Chair
 - Also, consider granting access to non-voting faculty

APM 210 and Diversity Efforts

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications.

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 or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions. (1/1/06)



Promoting diversity and equity *in teaching*

Some examples:

- Academic advising/mentoring of students from under-represented groups in a discipline
- Modules/exercises to increase relevance to under-represented students
- Methods/practices to foster an inclusive classroom environment
- Curricula that include contributions from different ethnicities/genders
- Writing grants to improve/study learning outcomes in diverse student populations



Promoting diversity and equity *in service*

Some examples:

- Mentoring or hosting non-UC students from diverse backgrounds
- Calling/encouraging admitted students from diverse backgrounds to attend UC Davis, or go on to higher degrees
- Participating in outreach programs focused on under-served or under-represented groups
- Developing grant proposals to enhance diversity-building efforts



Promoting diversity and equity *through research*

Some examples:

- Studies at the intersection of gender/ethnicity and teaching and learning
 - learning outcomes, teaching effectiveness
 - Impacts of new teaching technologies
- Analysis (and dissemination thereof) of how to build diversity in the academic pipeline
- Efforts to engage under-represented communities in research participation or research outcomes via outreach or community-based studies

CANDIDATE'S REVIEW OF FINAL PACKET

- Candidate is given access to the full department letter, *including votes and included ballot comments*
- Candidate can ask that inaccuracies in the department letter be corrected
- If candidate disagrees with statements in final version of department letter, he/she may write a **rejoinder letter** to the Dean. This is due 10 days after the letter is viewed.
- Candidate signs disclosure statement verifying that packet is complete & factually accurate
 - Please remind your faculty to check this carefully—incorrect information is a red flag to reviewers!
- Candidate can request and be considered for advancement even if the faculty vote is negative

CONFIDENTIAL CHAIR'S LETTER (OPTIONAL)

- Letter is confidential from department faculty
- Letter is confidential from candidate until after the action is completed
- Candidate may request a redacted copy after administrative decision (i.e., before an appeal)
- Letter remains confidential with respect to department faculty
- Why include a Chair's letter?

WHAT HAPPENS TO THE DOSSIER NEXT?

- This depends on whether the action is “redelegated”
- If redelegated, the Dean makes the final decision
- If *not* redelegated, the Vice Provost – Academic Affairs makes the final decision (except for tenure decisions)
- Normal merits (and accelerated merits that do not skip a step) are redelegated
- URL for professorial series:
http://academicaffairs.ucdavis.edu/local_resources/docs/doa/Professor_InRes_Clinical_Acting.pdf

REDELEGATED SENATE ACTIONS

- Dossier goes from department to Dean's Office
- Dean's Office to Faculty Personnel Committee (FPC – a subcommittee of CAP – Oversight Committee)
- From FPC to Dean for final action
- Appeals go to CAP-Appellate Committee, and back to Dean for final action

NON-REDELEGATED SENATE ACTIONS

- Department to Dean's Office
- Dean makes recommendation to Vice Provost – AA
- Academic Affairs routes to CAP–OC (which may recommend Ad Hoc review)
- CAP recommendations to Vice Provost for final action (except for tenure)
- If tenure case, Chancellor/Provost decide after consultation with Vice Provost
- Appeals go to CAP–AC; then to Vice Provost for final decision/recommendation (tenure cases go to the Chancellor/Provost)



APPEAL vs. RECONSIDERATION:

What happens when the answer is “no”?

- Appeal occurs when the candidate provides explanatory/clarifying information on the original dossier
 - No additional scholarly activities, awards, teaching evaluations, etc. are provided.
- Basic concept: CAP-Appellate does not review a dossier that differs substantively from the dossier that CAP-Oversight reviewed.

<http://academicsenate.ucdavis.edu/cap/CAPAC-Appeal-Process.pdf>

APPEAL vs. RECONSIDERATION:

What happens when the answer is “no”?

- Reconsideration occurs when, after a denial, the candidate provides substantive additional materials to the “appeal” dossier
 - Additional materials include scholarly activities (e.g., manuscript accepted in final form; art shows; invited talks, etc.); newly arrived external letters solicited by Chair; fall quarter teaching evaluations; ...
 - Activities must have occurred within review period (i.e., no later than 12/31 of the academic year, except for 7th-year tenure cases)
- If new materials are substantive, CAP-Appellate may return the dossier to CAP-OC for reconsideration.

7th YEAR TENURE CASES:

What happens when the answer is “no”?

- This is a special case, with an additional step in the process
- After a negative decision, a notice of “Preliminary Negative Assessment” is sent to the department and dean
- New materials may be added
- Response letters may be provided by the candidate, department chair and dean
- Revised dossier is sent back to Academic Affairs, which forwards it to CAP for re-assessment
 - For this situation only, new material may be submitted until the final decision
- VP-AA reassesses and makes recommendation
- Provost and Chancellor make decision

DEFERRALS

- Required if the candidate isn't put forward for advancement when eligible (in normative time)
- First & second-year deferrals go from Chair to Dean for approval & Vice Provost for record purposes
- Third-year deferral (i.e., 3rd consecutive deferral):
 - If no review has occurred in the past 5 yrs, a five-year review is required
 - If reviewed within 5 years, request for 3rd yr deferral must include a plan for progress; goes to Dean, to CAP-OC, & then to Vice Provost for approval
 - No deferral request is needed for Prof. 5 and above.

5 YEAR REVIEWS

- All faculty are required to be reviewed at least once every 5 years (starts during their 4th year)
 - Full-time faculty administrators may be exempted
- The review discusses what's been done in terms of teaching, research, & service. Expectation is that performance has been satisfactory for their current step.
 - Department vote is optional.
- CAP-OC can recommend advancement, which will require a full review, starting with department vote.
- Unsatisfactory performance needs a plan for progress
- VP-AA decides on outcome: satisfactory/unsatisfactory + with/without advancement

Building an inclusive department climate

- Encourage full participation by all, and model a culture of respect
- Encourage and honor the appropriate use of Work-Life accommodation policies
- Become informed, and a source of information, about patterns of unconscious bias and their corrosive effects
- Make diversity a priority and a criterion for success
- The tough one: be prepared to intervene if you observe bullying or intimidation

UC DAVIS WORK-LIFE POLICIES

- Chairs/Directors set the tone.
- Chairs should provide information about the program, encourage faculty to use the program, and educate members of the department about the program to help change culture.
 - **W-L policies help with both recruitment and retention of faculty members!**
- Please use our office and UCD's work-life advisors for any questions about these programs or policy and how they apply.
- See brochure and further Work-Life Information:
<http://academicaffairs.ucdavis.edu/programs/work-life/index.html>

EXTENSION OF THE TENURE CLOCK & DEFERRAL OF A MERIT

- Extending the Clock – APM 133-17-h
 - Childbearing/rearing (men & women)*
 - Significant illness*
 - Infrastructure research catastrophe
- Deferrals – post-tenure for childbearing/rearing/significant illness/family care crises
- **Chair's roles:**
 - *Ensure that eligible faculty request clock extensions; they don't have to use the extension*
 - *Ensure that voting faculty know these extensions are encouraged, and are NOT pejorative*

*** 1 year per birth/adoption event; 2 yrs max for any reason; deferral requests required**

CHILDBEARING LEAVE AND ASMD*: first affected academic term

EITHER

- For a female faculty member who gives birth: 6 weeks paid leave and the remainder of the qtr/semester is ASMD (APM)

OR

- For a female faculty member who gives birth or for a faculty parent who has 50% or more responsibility for the newly adopted/placed child: one quarter/semester of paid leave (UCD)

** In either case, replacement teaching funds are provided centrally for all scheduled courses during that first quarter/semester.*

CHILDBEARING LEAVE AND ASMD*:

Options after the first academic term

- An additional quarter of ASMD is provided for a faculty parent (male or female) with 50% or more care of the child. (APM and UCD) In this quarter, replacement teaching is generally provided for *one* course.
- If there are two or more children born or adopted within a short time interval, then an additional quarter of ASMD (for a total of 2 quarters of ASMD) is provided. (UCD)
- If both parents are faculty members, then one can have the quarter of leave and each can have a quarter of ASMD, as long as they confirm that each will have 50% or more care of the child during that time. (UCD)
- **In addition: Faculty member may elect to reduce % time for family issues, with ability to return to full-time later. (An MOU is created for each case.)**

Some general things we know about biases

- They impede objective evaluation
- They are ubiquitous and pervasive
- Few people recognize their own patterns of bias
- Those who rate their own objectivity highly are more prone to the effects of unconscious bias
- Knowledge of bias patterns can reduce its impacts
- Gender-based biases are common in men *and* women
- Ethnicity/cultural biases are common
- Biases based on family status are common
- Effects of bias can be reduced by adhering to specific evaluation criteria

Science faculty's subtle gender biases favor male students

Corinne A. Moss-Racusin^{a,b}, John F. Dovidio^b, Victoria L. Brescoll^c, Mark J. Graham^{a,d}, and Jo Handelsman^{a,1}

Example:

2012 PNAS study:

N = 127 professors in biology, physics, or chemistry

Identical applications for a lab manager position from “male” versus “female” applicants

Male and female faculty *did not differ* in degree of bias!

➔ Plus, male” applicants were offered ~\$3500/year more in salary

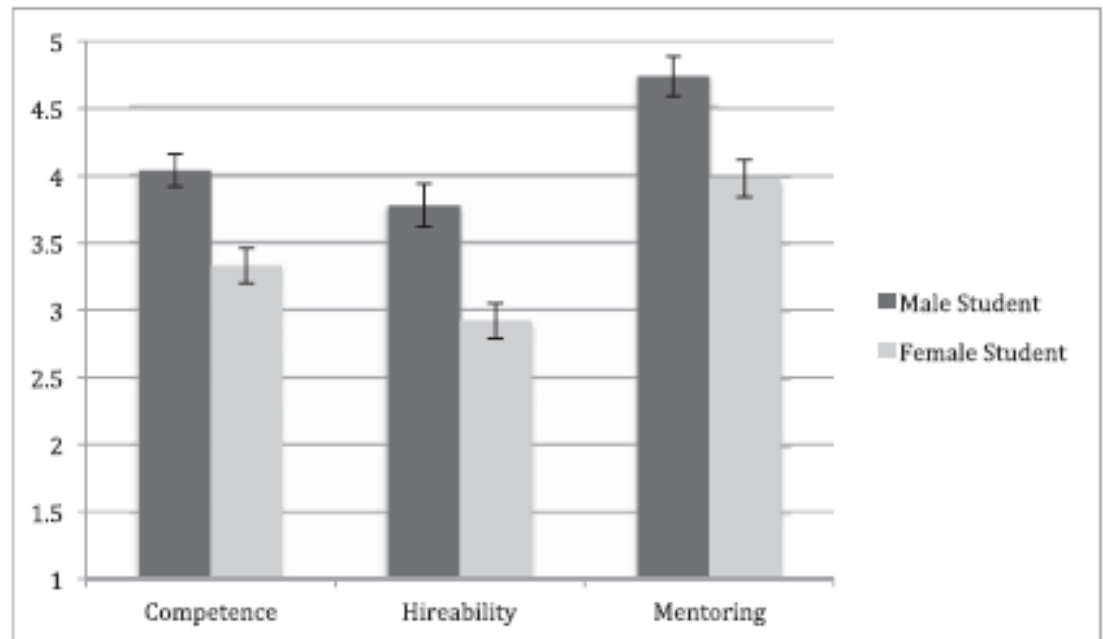


Fig. 1. Competence, hireability, and mentoring by student gender condition (collapsed across faculty gender). All student gender differences are significant ($P < 0.001$). Scales range from 1 to 7, with higher numbers reflecting a greater extent of each variable. Error bars represent SEs. $n_{\text{male student condition}} = 63$, $n_{\text{female student condition}} = 64$.

The motherhood penalty

- 2007 study from Cornell University
- Participants rated fictitious job applicants by reading constructed resumes with male or female names randomly assigned
- Resumes were statistically matched, except for one listed activity:
 - Parent-Teacher Association Coordinator (code for “parent”)
 - Fundraiser for neighborhood association
- Applicants were rated for competency, commitment and likely starting salary
- Female applicants *perceived as mothers* were judged significantly less competent and committed, worthy of 7% less starting salary, and were held to more stringent hiring standards (e.g. higher test scores).

Correll, Bernard and Paik (2007) *American Journal of Sociology*

To compete and lead in the global market of ideas and enterprise, UC Davis needs to attract and nurture top talent from all walks of life.



WEB SITES (<http://academicaffairs.ucdavis.edu/>)

- FAQ on academic personnel process:
http://academicaffairs.ucdavis.edu/resources/senate/faq_senate_faculty.html
- Ad hoc committee appts./instructions:
<http://academicaffairs.ucdavis.edu/policies/ad-hoc-committees/index.html>
- Merit & Promotion information:
 - System: (APM 220): http://www.ucop.edu/academic-personnel/_files/apm/apm-220.pdf
 - Campus (APM UCD 220/220AF):
<http://manuals.ucdavis.edu/apm/220.htm>
<http://manuals.ucdavis.edu/apm/220AF.htm>
 - Diversity contributions (APM 210)
http://www.ucop.edu/academic-personnel/_files/apm/apm-210.pdf
- Appeals process if advancement is denied:
http://manuals.ucdavis.edu/apm/220_Proc5.htm