

# Department Chairs Brown Bag

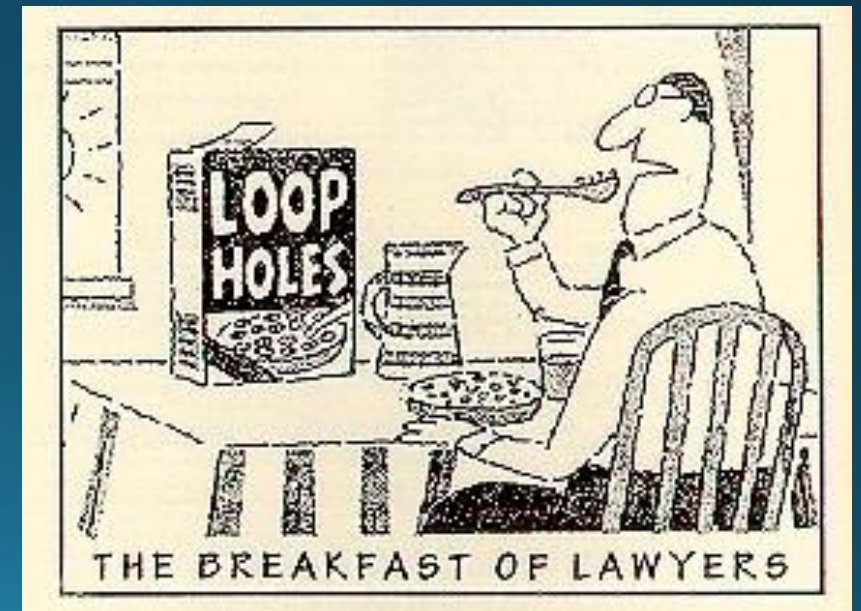
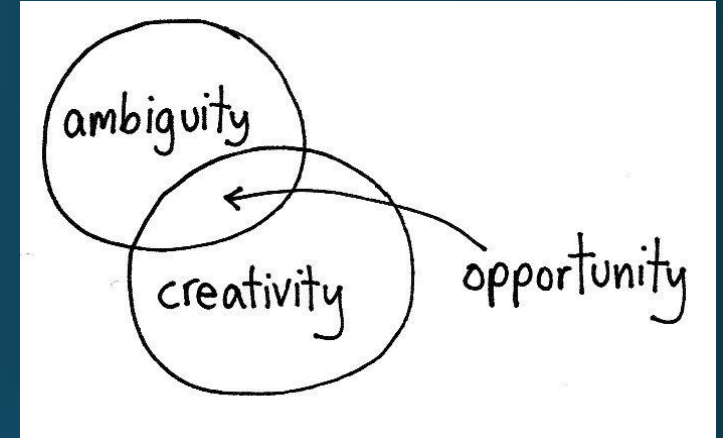
*June 22, 2016*



## Academic Personnel 101B: What's New in Academic Personnel

# Upcoming Advisory: deferrals and five-year reviews

- Approval authority is being redelegated to deans for 3rd-year and 4th-year deferrals
- Updated “plans for progress” must be included in 3rd- and 4th-year deferrals and five-year reviews.
  - The most recent plan for progress must also be included in subsequent merit, deferral or 5-year review dossiers until advancement is approved.
- All of these changes are reflected in updated checklists and delegation of authority



# Extramural Letters for Professor Step 6



... to be used in a minority of cases, and only when the Chair decides that extramural letters are needed to make the case for national / international scholarly influence and impact

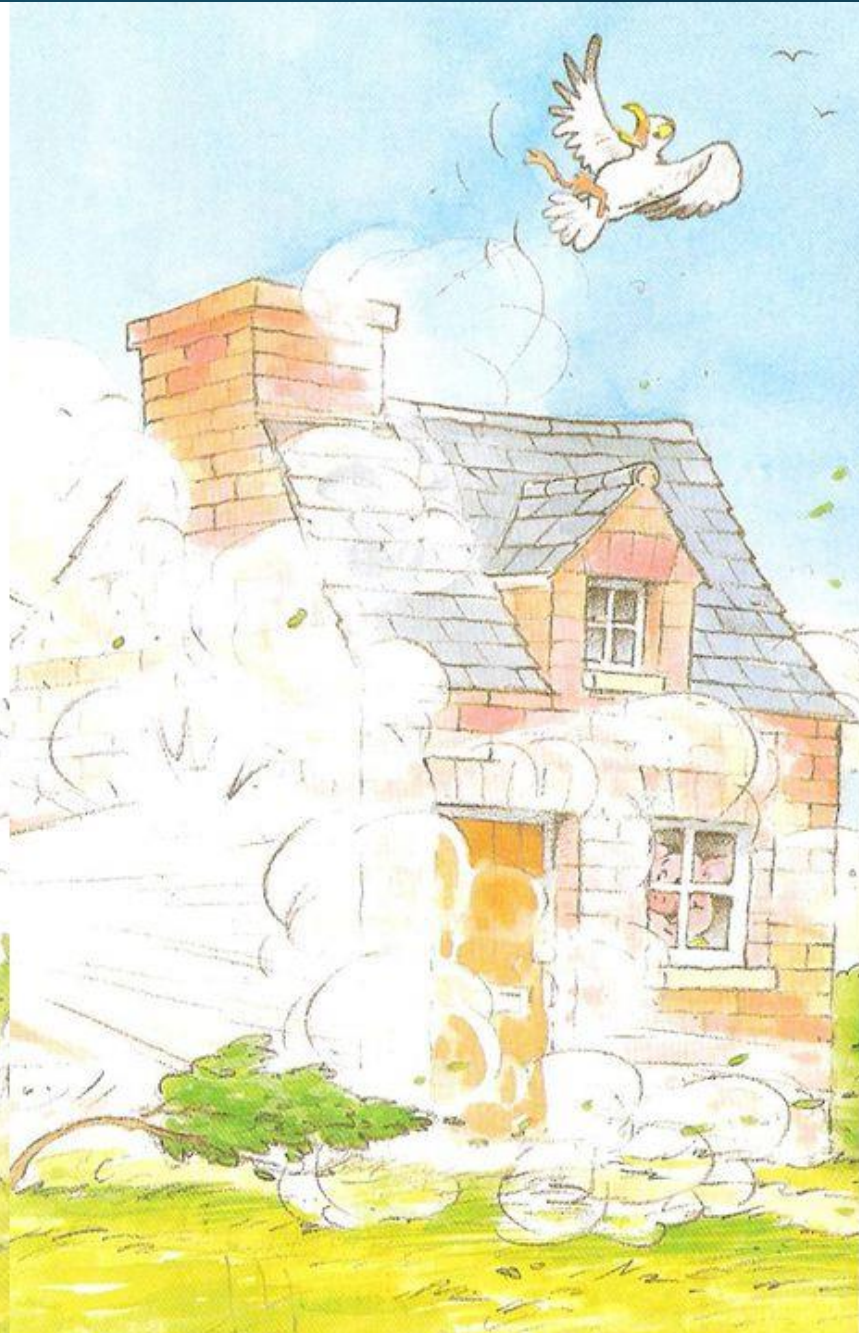
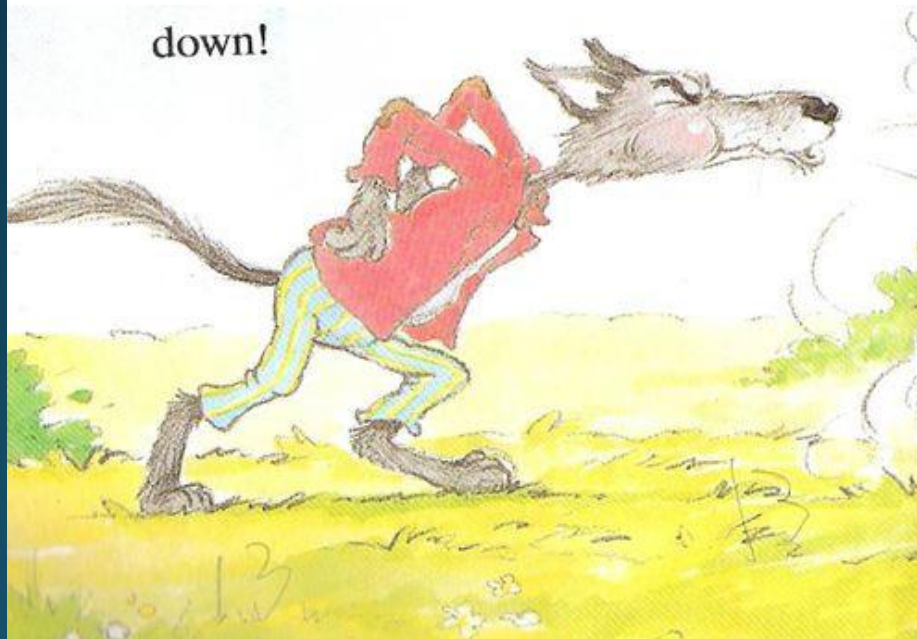
# Deadlines and backlogs: A Vice-Provostian fable





So the wolf huffed and he  
puffed and huffed and he  
puffed.

But the house of bricks  
did not fall down!



# The embarrassing truth!





# Magnitude of late actions - redelegated

- The Deans are expected to make a final decision on 1,044 redelegated actions in 2015-2016.
- The Deans have made 630 final decisions thus far.
- 213 of the remaining redelegated actions are still at the department level (59 are new appointments)
- Another 201 are at various stages of Dean's Office review

# Magnitude of late actions – non-redelegated

- The Vice Provost is expected to make a recommendation/decision on 506 non-redelegated actions in 2015-2016.
- The Vice Provost has been part of 302 final decisions thus far.
- 159 of the remaining non-redelegated actions are still at the department or dean's office level as follows:
  - 84 non-redelegated actions are still at the department location (5 are new appointments)
  - 75 non-redelegated actions are still at the dean's office level (4 are new appointments)
- The rest (45) are at various stages of Senate/Academic Affairs review



# New packet materials deadline: Proposed revision to APM UCD 220

## ■ Current policy:

- *APM UCD 220 IV. F. 9. a.: Submission of additional materials after the review file has been forwarded to the Office of the Provost is discouraged. In order to keep late submission of additional materials to a minimum, a deadline date of December 31 has been established for submitting additional materials for the review file. Materials will not be accepted after that date unless the person undergoing review is an Assistant Professor in his/her seventh year of service, and the information is critical to the review.*

- **Proposed change:** the latest date for submission/acceptance of dossier materials will be advanced to September 30 for every action except for 7<sup>th</sup>-year tenure cases.

# More action on late actions: Proposed Administrative Deferral

- Deadlines for actions due to the Vice Provost's Office are published in the Annual Call
- Deans' Offices set additional deadlines to allow for review at their level
- **Proposal: automatic "Administrative Deferral" for late actions**
- One-year transition period
  - For 2016-2017 actions, if the action is more than 30 days late without obtaining prior approval of an extension, the action is automatically designated as an "Administrative Deferral" and the candidate will be eligible in 2017-2018. The advancement will not be made retroactive to the previous year.
  - Extension requests will require *strong rationale* for approval.
  - Five-year reviews and 7<sup>th</sup>-year promotion cases cannot be designated as an "Administrative Deferral."



**UCDAVIS**  
ACADEMIC AFFAIRS

# Step Plus Updates

- **All actions:**

- Promotion actions that are accelerated in time will no longer be considered under Step Plus for anything greater than a 1.0-step promotion.

- **Senate actions:**

- 2016-2017 is the last year that merits can be accelerated in time (this would apply to only Above-Scale, one-year accelerated actions).

- **Federation Phase 1** (Prof Research, Project Scientists, Specialists, Specialists in CE, Health Sciences Clinical Professor, and Adjunct Professor series):

- The “Notification of advancement eligibility for an Academic Federation member” form has been updated (also known as Federation Step Plus form).
- New requirement: The Federation Step Plus form from all previous deferral requests must be included until the candidate positively advances. The checklists for these series have been updated to include this new requirement.

- **Federation Phase 2** (Academic Coordinators, Academic Administrators, Assistant/Associate University Librarians and Law Librarians, Continuing Educators, and University Extension Teachers):

- The vote to move to Step Plus is delayed until 2016-17 for implementation in 2017-18.



# UCDAVIS RECRUIT

- Delivered in 2015-2016
  - Applicant specialization selection
  - Update ethnicity tracking and applicant choices
  - Search waivers
- Planned deliverables for 2016-2017
  - Search conclusion
  - Custom recruitment reporting
  - Committee Chair Survey
  - Open-rank recruitments

# Search Waivers in Recruit



- The campus feedback from Davis was positive.
- We are anticipating implementing the new search waiver guidelines without any further restrictions.
- Biggest changes for Davis:
  - “Unique qualifications” is no longer a criteria for a search waiver
  - Appointments via change in title within the Senate series is allowed
  - Employment under a search waiver may have an end date in many cases. Historically, at Davis, once we hired someone under a search waiver they remained our employee without any restrictions. However, going forward, if someone is hired under some of the search waiver criteria, their employment will end with the end date of the waiver and they are not eligible for an appointment via change in title/departments unless they are hired through a recruitment or a new search waiver.



- Consultant review of MIV
- Delivered in 2015-2016
  - Multiple dossiers – Phase 1: ability to have multiple action in progress
  - Multiple dossiers – Phase 2: Appraisal with Merit, CER with Merit/Promotion
  - Reappointment action type
  - New Appointment action for current employees
  - General deferral action type for Federation in support of Step Plus
  - Ability for reviewers to mark a dossier as “Read” and “Unread”
  - Added ability for staff members to assign reviewers and open review periods on multiple actions at one time
- Planned deliverables for 2016-2017
  - Updates to Grants & Contracts
  - Appeal action type
  - Form-based routing
  - Updates to Teaching, Advising and Curricular Development form





# Academic Personnel History Information Database (APHID)

- We hope you all have access because there is a department chair role!
- Delivered in 2015-2016
  - Automated eligibility and created new reports on eligibility
  - Created database for endowed chairs, current/historic endowed chair holders, and current/historic administrative appointments. Also adding reporting feature on these appointments
- Planned deliverables for 2016-2017
  - Create eligibility for endowed chair and administrative reappointments
  - Redesign Action Tracking to support endowed chair and administrative appointments/reappointments
  - Preparation for UC PATH
  - Other Systems integration

# Near Relatives – Audit and Results

- During summer 2015, UC Davis Internal Audit conducted a review of near relatives for academic appointees
- Assessing compliance with APM 520
- Based on Audit results showing some deficiencies, Academic Affairs issued an advisory (AA2016-02) as follows:
- UCD APM 520 (local procedures) revised (near relatives relationships are to be managed by department with third party supervisor, as needed, with final approval by Dean. The approved agreements submitted to Academic Affairs for submission in personnel file)
- Electronic form created and available on Academic Affairs website (under “Your Resources”, then “Forms & Checklists”). Soon the form can be uploaded with approvals through Forms Online.

# Near Relatives – Audit and Results (continued)

- Reminders:

- Near Relatives include: appointee's child (including child of domestic partner – same sex or opposite), parent, spouse, domestic partner, or sibling. In-laws or step relatives in the relationships listed. Also covers other persons residing in the appointee's household.
- Agreement forms must be completed, approved (by Dean), and submitted to Academic Affairs for inclusion in the formal personnel file.
- For any relationships that include a staff member, Human Resources needs their own form completed as well. Therefore, we will need two near relatives forms completed (one from HR and one for AA).

- NOTE: For any relationships involving the chair or dean, the forms will not go through Forms Online, but through email.



# Junior Specialist and Unit 18 Lecturers Updates

- New rules on how Junior Specialists, Postdocs, and others are paid
- New contracts for Unit 18 Lecturers

# Outside Professional Activities

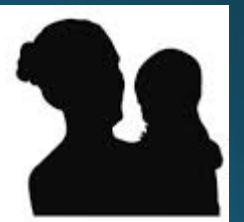
Category I, prior approval

# Work-Life Program & Faculty Development Updates



# Family Friendly Recruitment Update

- In 2012, UC Davis instituted a new enhancement to our family-friendly recruitment practices aimed at making it easier for the parents of very young children to participate in on-campus interviews for faculty positions.
- Benefits include reimbursement of:
  - Travel and hotel expenses for a second person to accompany the mother (or single parent of either gender) interviewee of a breast- or bottle-feeding-child less than two years of age
  - Costs associated with having a crib in the hotel room
- These requests are initially approved by your Deans' Office, with Vice Provost approval by exception.
- All reimbursement approvals under the Family Friendly Recruitment practice must trigger the issuance of a 1099 tax form. Faculty utilizing this benefit should be informed that the reimbursement is taxable.



# Automatic Extensions on the Clock – Childbearing/Child Rearing



- Revisions to APM 133 allow eligible academic appointees with an eight-year limit to achieve promotion, an automatic extension on the clock (with a two year maximum, one year per event, during the probationary period) when they give birth, adopt or foster place a child.
- Requires a certifying statement that the appointee is responsible for 50% percent or more of the care of the child.
- Academic Affairs will automatically extend the tenure clock in these cases when
  - childbearing or parental leaves are approved in Forms Online;
  - Replacement teaching funds are requested under the Work Life Program;
  - Academic Affairs is notified that an eligible academic appointee has had a child, even if the appointee did not take leave or Active Service Modified Duties.

**Exceptions:** Clock cannot be stopped after July 1 of the academic year in which a promotion review is to occur or in cases where a review resulted in a decision not to continue the individual's appointment.

# Upcoming Faculty Development Events

Two-Day Mandatory New Chairs Workshop  
September 14 – September 15 from 8:30am – 5:00pm  
Memorial Union II Room

New Faculty Workshop  
Monday, September 19<sup>th</sup> from 8am – 4:30pm  
Vanderhoef Studio, Mondavi Center

Any new faculty hired after last year's workshop are welcome to attend

# Faculty Development

- Please provide on your evaluation, any topics of interest to you that would be appropriate for the department chair brown bag series. Also, please suggest potential topics you believe would be of value and interest to associate professors and new faculty for their respective brown bag series.
- The National Center for Faculty Development and Diversity – 2016-17 offerings are available in your packet and on the Academic Affairs website.

# Federal Affirmative Action Regulations

- Requirement: a written affirmative action program
- Definition: “a management tool designed to ensure equal employment opportunity”
- Assumption: “absent discrimination, the demographic profile of employees will reflect the applicant pool”



# Federal Affirmative Action Regulations

## Components:

- a diagnostic component which includes quantitative analyses to identify problem areas
- an action-oriented component - specific practical steps designed to address problem areas identified “good faith efforts”
- internal auditing and reporting systems as a means of measuring progress

# Federal Affirmative Action Regulations

## Shortcomings:

- designed for workplaces that hire large numbers of similarly skilled employees
- does not permit consideration of race and gender in good faith efforts, but
- expects outcomes measured by race and gender

[http://www.ucop.edu/academic-personnel-programs/\\_files/documents/affirmative.pdf](http://www.ucop.edu/academic-personnel-programs/_files/documents/affirmative.pdf)

# Faculty Diversity Post Prop 209

## Value Diversity as Merit

“If Diversity is a Value, then Value Diversity in Faculty Appointment and Advancement”

- Look beyond the demographic profile
- Consider record of
  - contributions toward advancing diversity
  - potential for leadership toward increasing equity and inclusion

# Faculty Diversity Post Prop 209

## Value Diversity as Merit

Academic Personnel Manual as Amended July 1, 2005

“The University of California is committed to equity and excellence 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.”

# Faculty Diversity Post Prop 209

## Value Diversity as Merit

### Diversity Statements

- Provide the tools for evaluating contributions to diversity in:
  - Research
  - Teaching
  - Service

[http://academicaffairs.ucdavis.edu/diversity/equity\\_inclusion/index.html](http://academicaffairs.ucdavis.edu/diversity/equity_inclusion/index.html)



# Diversity Statements

- Effective July 1, 2016, all Senate recruitments require the “**Statement of Contributions to Diversity**” to appear as a required document upload for applicants.
- For non-Senate recruitments, the “Statement of Contributions to Diversity” continues to be required to appear as an **optional document** upload for applicants.

# Diversity Statements

- Contributions to diversity should be considered as integral and sought-after components of a well-rounded potential faculty member's scholarship, teaching, and university/public service accomplishments.
- Contributions to diversity are **esteemed** and should be **afforded appropriate weight** in decision-making processes.
- Contributions to diversity should be considered on the first round of review and in every level of review thereafter in the evaluation of candidates' overall qualifications.
- Contributions to diversity may be considered as a tie-breaker between similarly ranked candidates, but should not be considered only as value-added during the final stage of review.

# Diversity Statements

There will be an Advisory to Deans coming out very soon in which we will provide recommendations for including language embodied in the position description used in advertising that demonstrates UC Davis' commitment to diversity and inclusion and highlights some of our accomplishments in this area.

# Faculty Upgrade Requests

- Effective July 1, 2016, upgrade requests for Senate recruitments are no longer required.
- Search plans must indicate how recruitment committees will take direct actions to extend networks and enhance the diversity of qualified applicants.
- How this is done depends in part on the levels for which the search is being conducted.

# Senate faculty recruitments including the Assistant/PSOE rank

- The search plan must include a list of at least 8 individuals who are prominent in the relevant field, and **who will be asked to suggest names of potential applicants who are underrepresented within that area of scholarship/creative activity (e.g. women and/or underrepresented minorities).**
- The potential applicants so identified should be contacted by the recruitment committee and invited to apply.



# Senate faculty recruitments including ranks *above* Assistant/PSOE

- The search plan must include **a list of at least 8 candidates from groups that are underrepresented in the relevant discipline** (women and/or underrepresented minorities), and who could be attractive recruitment targets for a tenured faculty position.
- Individuals on this list will be personally contacted by the recruitment committee.
  - They will be informed of the position and asked if they have interest in applying.
  - If not interested, they will be asked to suggest **names of potential applicants who are underrepresented within that area of scholarship/creative activity**. The search committee will contact any of these individuals who are at an appropriate career stage.

# Faculty Upgrade Requests

The list of individuals consulted and the names of potential applicants they suggested must be reported in the “**Actual Search & Recruitment Efforts**” when the Academic Recruitment Analysis Report: Shortlist is generated.

# Public Records Requests

## Campus liability

# Sexual Harassment and Sexual Violence

## New Policy