

NEW CHAIRS TWO-DAY WORKSHOP

Academic Advancement

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Vice Provost -- Academic Affairs

September 24, 2015



Roadmap

1. Resources and tools
2. Important changes for 2015-16: the Annual Call, the “new” SOE series
3. Lessons learned from Year 1 of Step Plus for Senate titles; making Step Plus fairer
4. Review of the merit and promotion process



The Merit and Promotion process



Part 1: Resources and tools

MY-INFO VAULT (MIV)

- MIV is mandated for all merits and promotions
- Appointments, multiple dossiers (e.g. merit with appraisal), and most other actions are also being submitted through MIV
- We have a **web page** devoted to MIV, including the latest enhancements made and those being planned.
- **MIV is going through a comprehensive review this year**
 - **Please provide your input!!!**



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MyInfoVault Information (MIV)

MyInfoVault (MIV)

[Enhancement Process](#)[Pending Enhancements](#)[Completed Enhancements](#)[FAQs](#)[Testimonials](#)[Training & Resources](#)

Background

MyInfoVault, also known as MIV, is an online system that houses academic personnel research, creative activity, teaching and service data, and creates and routes electronic dossiers for academic peer review. The program is sponsored by Academic Affairs with technical assistance from Information and Educational Technology (IET). MIV currently has approximately 3,840 academic accounts and 620 administrative accounts from all schools and colleges on the Davis campus.

MyInfoVault

Click the MIV logo to enter MyInfoVault.

MIV Oversight Committee and MIV Users Group

The role of the MIV Oversight Committee and MIV Users Group, as enhancements are approved and incorporated into MIV, is to help inform the nature, timing, and implementation of additional functionality. This advice is essential to realize the full potential of MIV as the campus academic personnel review system.

- [MIV Oversight Committee \[PDF\]](#)

Quick Links

[Academic Employment Opportunities](#)

Advancement policies and practices: Resources

- **UC APM 210** lists the criteria for scholarship for both series
- **UC APM 220** describes system-wide policy for merits/promotions in the Professor series
- **UC APM 285** describes system-wide policy for Lecturer SOE series (significant revision is in planning stage)
- **APM UCD 220 and 285** describe campus implementation of APM 220 plus our procedures, checklists, and sample letters
- See the **Step Plus Toolkit** on the Academic Affairs website for information and guidance

APM – <http://manuals.ucdavis.edu/apm/apm-toc.htm>

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Academic Affairs

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[Map](#)

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Awards - national and international awards and honors for our academic community



Upcoming Events

[2015-16 New Faculty Brown Bag Schedule](#)

[2015-16 Department Chairs Brown Bag Schedule](#)

Recent Academic Advisories sent to the Deans

AA2015-06 - Academic Enrichment Accounts

What's New

- [2015-16 Annual Call for Academic Personnel Advancement Actions](#)
- [Step Plus PPS Data Entry Guidelines](#)
- [VP Stanton's Step Plus Presentation regarding voting and ballots \(PDF\)](#)
- [Ebola Advisory](#)
- [New Extramural Letter Requirements](#)
- [2014-15 Annual Call for Unit 18 Members](#)
- [Position Planning Tool](#)
- [Step Plus System](#)
- [Capital Resource Network](#)
- [Step Plus Orientation Presentation \(PDF\) March 5, 2014](#)
- [2014-15 Call for Chancellor's Postdoctoral Fellow Applications](#)
- [2015-16 New Faculty Brown Bag Schedule](#)
- [2015-16 Department Chairs Brown Bag Schedule](#)
- [2015-16 Associate Professor Brown Bag Schedule](#)

CHAIR'S ROLES IN THE ACADEMIC PERSONNEL PROCESS

- Liaison between faculty member & Dean/Administration
- Proactive *mentor and advocate* in career advancement of faculty
 - Meet at least annually with each faculty member (perhaps more frequently with junior faculty)
- Ensures department and university policies are followed in all personnel actions
- Agent for change in making personnel processes fairer and more efficient

Part 2: Important changes for 2015-16



THE ANNUAL CALL

- Issued in late spring/early summer
- Reminders about process steps and best practices
- Summarizes and links to recent Academic Affairs' advisories
- Due dates for actions to Dean's office
- Identifies what is new from last year, and offers reminders about things to avoid
- Make sure to read the Annual Call and discuss with your AP staff member
- Consider discussing important changes with your faculty, as well

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MIV Information Testimonials

What's New

- [Step Plus PPS Data Entry Guidelines](#)
- [VP Stanton's Step Plus Presentation regarding voting and ballots \(PDF\)](#)
- [Ebola Advisory](#)
- [New Extramural Letter Requirements](#)
- [2014-15 Annual Call for Unit 18 Members](#)
- [Position Planning Tool](#)
- [2014-15 Annual Call for Academic Personnel Advancement Actions](#)

ANNUAL CALL

A few highlights for 2015-16

- Recruitments:
 - 2-stage interviews require submission of 2 shortlist reports via UC Recruit
 - All candidates are now given the option to submit “Contributions to Diversity” statements
- Streamlining for appointment dossiers:
 - Department can upload c.v. instead of entering data into MIV
 - Reminder: at least 4 application letters suffice at Assistant rank
- Adjunct appointees should be given a letter of expectations on the balance of teaching and research expected
- Reminder: spell out acronyms in merit/promotion documents
- Academic Federation research titles, including Adjuncts, HSCP faculty and CE Specialists, are now on the Step Plus system

Advancement within the “new” Senate SOE
series: LPSOE/SLPSOE/LSOE/SLSOE



SOE Expectations and responsibilities are changing

- Previously used at UC Davis for transfer of teaching-focused faculty from ladder series
- UC Davis started hiring into the SOE series 2013-14
- SOE series workgroup, chaired by Shirley Chiang, worked through latter half of 2013-14; a new UCD-285 was drafted; CAP reviewed draft; Senate approved
- New APM UCD 285 went into effect July 1, 2015
- As of now, we have made 17 hires into the series

SOE faculty vs. Unit 18 Lecturers:

Why hire into these two series?

Unit 18 Lecturers

- Manage teaching loads too high for available Senate faculty
- Need for consistent, excellent classroom teaching
- Temporary teaching needs, e.g. replacing retirees or those on leave
- Fill teaching needs in specialty “gaps”

SOE faculty

- Need for excellence and innovation in classroom teaching
- Curriculum, course development
- Transform and update teaching approaches in the discipline based on research, learning assessment, etc.

Academic Personnel Manual

[About the APM](#)[Table of Contents](#)[Administrative Policy](#)[Personnel Policies for Staff Members](#)[Policy and Procedure Manual](#)[Delegations of Authority](#)[Home](#) > **APM UCD-285**

APM UCD-285

Appointment and Promotion

Section UCD-285, Lecturer with Security of Employment Series

Date: 7/1/2015

Responsible Department: [Academic Affairs](#)

Source Document: [UC APM-285](#)

285-2 Purpose

This section provides additional criteria and policy concerning the Lecturer with Security of Employment series.

Note: All Lecturers with Potential for Security of Employment (LPSOE) and Senior Lecturers with Potential for Security of Employment (SLPSOE) will normally be appointed full time (100%). Full time appointees in these titles are Senate members per the [Regents Standing Order 105.1](#). Those appointed less than full time in these titles are members of the Unit 18 bargaining unit, and their terms and conditions of employment are covered by the UC-AFT MOU.

[APM 133-0b](#). applies to those in the Lecturer Potential Security of Employment or Senior Lecturer Potential Security of Employment titles. Prior service in a number of other faculty titles counts towards the 8-year limit for service in these titles. If a Lecturer PSOE or Senior Lecturer PSOE is at more than 50% time and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five years. For a list of those faculty titles, see [APM 133, Appendix A](#).

Quick Links

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IN THIS POLICY

[Purpose](#)[Criteria](#)[Review Procedures](#)

SOE Advancement

Materials submitted in support of an appointment or advancement action should provide a comprehensive assessment of the candidate's qualifications and performance in the areas specified below:

- A. Teaching and Learning**
- B. Professional Achievement and Activities**
- C. University and Public Service**

- Peer review of teaching is required for all merit actions

Policy References – APM 210, APM 285 and UCD 285

LPSOE → LSOE Promotion



Excellence in Teaching and Learning: Clearly demonstrated evidence of excellent teaching and pedagogical innovation are essential criteria for promotion; professional growth in scholarly teaching and learning is expected.

- maintain continuous, current command of their disciplinary subjects
- foster an inclusive and stimulating learning environment in which students develop their ability to apply critical thinking, evidence, creativity, and problem-solving to advance the subject area
- demonstrate superior intellectual attainment in teaching and assessment of learning outcomes

Further evidence of excellence and scholarly creativity in teaching may include:

- Evidence-based curricular innovation
- monitoring and measuring impact of methods on learning outcomes
- use of data, research and student feedback to justify/change teaching approaches

LPSOE → LSOE Promotion



Professional Achievement and Activities: Although extensive service to, or leadership in, education may require a reduction in teaching load, no other professional achievements may substitute for a continuing record of superior teaching. Professional growth in disciplinary teaching and learning may include some or all of the following attainments:

- Research and publication on pedagogy, including the writing and substantial updating of published textbooks, and leadership in writing or reviewing proposals for funding from internal and/or external sources that are focused on pedagogy.
- Scholarly leadership in reforming curricula (also see **Service**)
- Research and publication in the candidate's subject-matter discipline, especially with impacts on enhancing teaching.
- Activity in professional organizations or in other settings that demonstrates the candidate's excellence or leadership in teaching and that contributes to his or her teaching effectiveness at UC Davis.

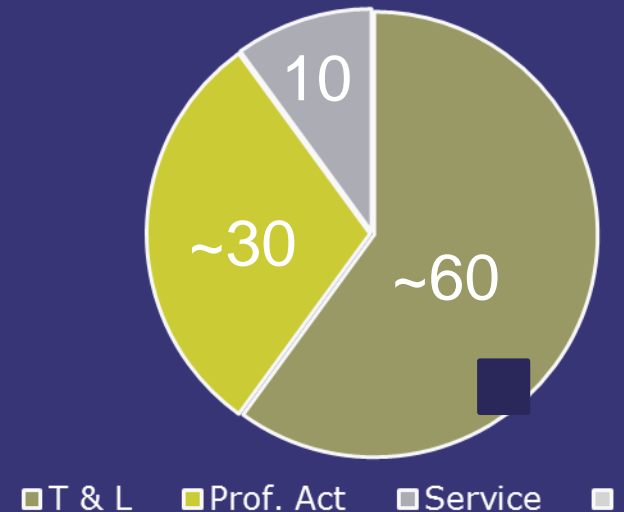
LPSOE → LSOE Promotion

A. Teaching and Learning

B. Professional Achievement and Activities

★ C. University and Public Service

Example LPSOE Effort



★ As for Assistant Professors, Department Chairs should avoid assigning heavy service responsibilities to LPSOE faculty members

APM UCD 285: SOE Advancement



III. Merit or Promotion

A. Advancement within these series requires evidence of superior intellectual attainment in teaching and assessment of learning outcomes. Although extensive service to, or leadership in, education may require a reduction in teaching load, no other professional achievements may substitute for a continuing record of superior teaching.

B. Excellent teaching is expected of all Lecturers SOE and Senior Lecturers SOE. Such teaching cannot by itself justify continuing advancement within these series. Lecturers SOE are also expected to demonstrate continued professional growth and enhancement of their value to the University, particularly their value to the institution's instructional programs

The “new” SOE series: Advice for Chairs



- Carefully review APM UCD 285, and keep abreast of upcoming systemwide changes
- Review your department voting rules (refer to Senate Bylaw 55)
- SOE faculty are members of the Academic Senate, and should have considerable latitude in choosing their own activities for professional growth and scholarship
- Duties or assignments negotiated with the Chair, especially if demanding, should have a strong creative and scholarly element with a focus on teaching and learning
- Consider developing a Plan for Progress with new SOE faculty members
- Consider establishing a college-wide ad-hoc committee, assisted by the Center for Excellence in Education

Part 3: Lessons learned from Year 1 of Step Plus for Senate titles



2015-16: Step Plus, Year 2

- **The 3-year Senate transition continues:** Pre-7/1/2014 **Senate** faculty members may elect to pursue merit acceleration in time ONCE under the pre-Step Plus rules
 - All those hired July 1, 2014 or later are on the Step Plus system
 - Promotions to the Associate and full Professor ranks can occur early, but are evaluated using Step Plus criteria
 - All other merit actions are reviewed in normative time using Step Plus criteria
- **As of this year, the following Academic Federation (AF) titles are on the Step Plus System:** Adjunct Professor, Health Sciences Clinical Professor, Specialist in CE, _____ in the AES, Professional Researcher, Project Scientist and Specialist
 - ... there is no transition period for AF actions!
- **Please evaluate your AF and Step Plus voting methods and ballots!**

Major lessons from Year 1 of Step Plus

Step Plus is rewarding outstanding teaching and service more, so accuracy and detail in dossiers is essential!

- Complete description of teaching responsibilities (% responsibility, average loads), etc.
- Significant peer review
- Impact of candidate's contributions to diversity
- Update all activities (candidate signs off on dossier for accuracy!)
 - Include mentees only from review period
 - Include post-degree positions of PhD mentees
 - Include only service activities during this review period

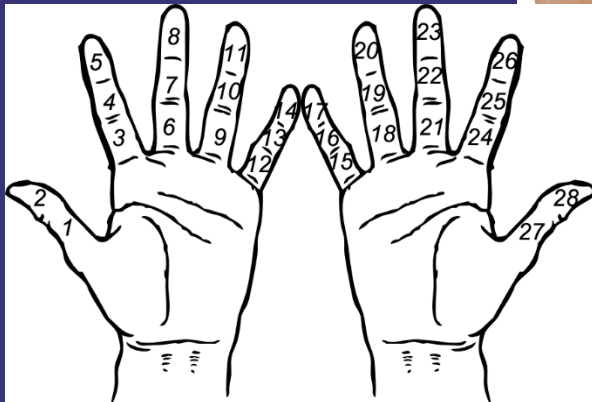
Step Plus criteria for Above-Scale advancements may be revised

“Recommended action” was inconsistently applied last year, and there were problems caused by reliance on the candidate's request to determine whether the action is redelegated.

Writing effective department letters for Step Plus actions

- If >1.0 step advancement is being recommended by the majority of the department:
 - Clearly identify which areas of performance are outstanding
 - Explain ways in which performance greatly exceeds expectations for regular advancement
- Report the full vote and all the rating scores (if these were done).
- Address potential weaknesses in the record, as well as strengths.
- **Recommended: append all ballot comments to the letter.**
 - “NO” voters must provide explanation
 - **Encourage comments on positive ballots, as well!**
- Indicate rationale for recommendation within Step Plus framework—which, if any, areas are deemed “outstanding”, and why?
- **Provide a clear description of the department vote**

Please make unambiguous
reports on Step Plus votes!



Achieving the core Goals of Step Plus

Academic Senate Task Force on Simplifying the Academic Personnel Process (STAPP), April 23, 2012

- “1) Step Plus will result in a significant decrease in the number of actions reviewed each year, a **clear workload reduction on the part of faculty, staff and administrators**.
- 2) Step Plus provides **a greater likelihood that deserving faculty** who do not currently put forward their packets for accelerated reviews (because either they are less aggressive or are just too busy) **will actually begin to gain the rewards of acceleration...**
- 3) Step Plus **allows all contributions during a review period to be fully accounted for** - whether happening uniformly across the review period or occurring all at once at the end of a period...
- 4) Step Plus provides a **greater likelihood of uniformly equitable decisions**, because all packets will cover either a two-year (Assistant and Associate) or three-year (Full) record rather than the current range of years.”

Making Step Plus fairer

- Implicit biases reduce our ability to fairly evaluate non-majority candidates
 - Extramural referees
 - Student evaluators
 - Department peers
 - Review committees and administrators
- Implicit biases are known to affect self-review and self-promotion
 - Which action will a given candidate think is deserved?
 - Stereotype threat; the Imposter Syndrome
- Implicit biases based on gender, race, and family status are particularly common
- Impacts of implicit biases can be reduced

A little history:

ADVANCEMENT IN THE LADDER RANKS AT UC DAVIS:

**ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR
ASSOCIATE PROFESSOR TO PROFESSOR
PROFESSOR 1 TO PROFESSOR 6**

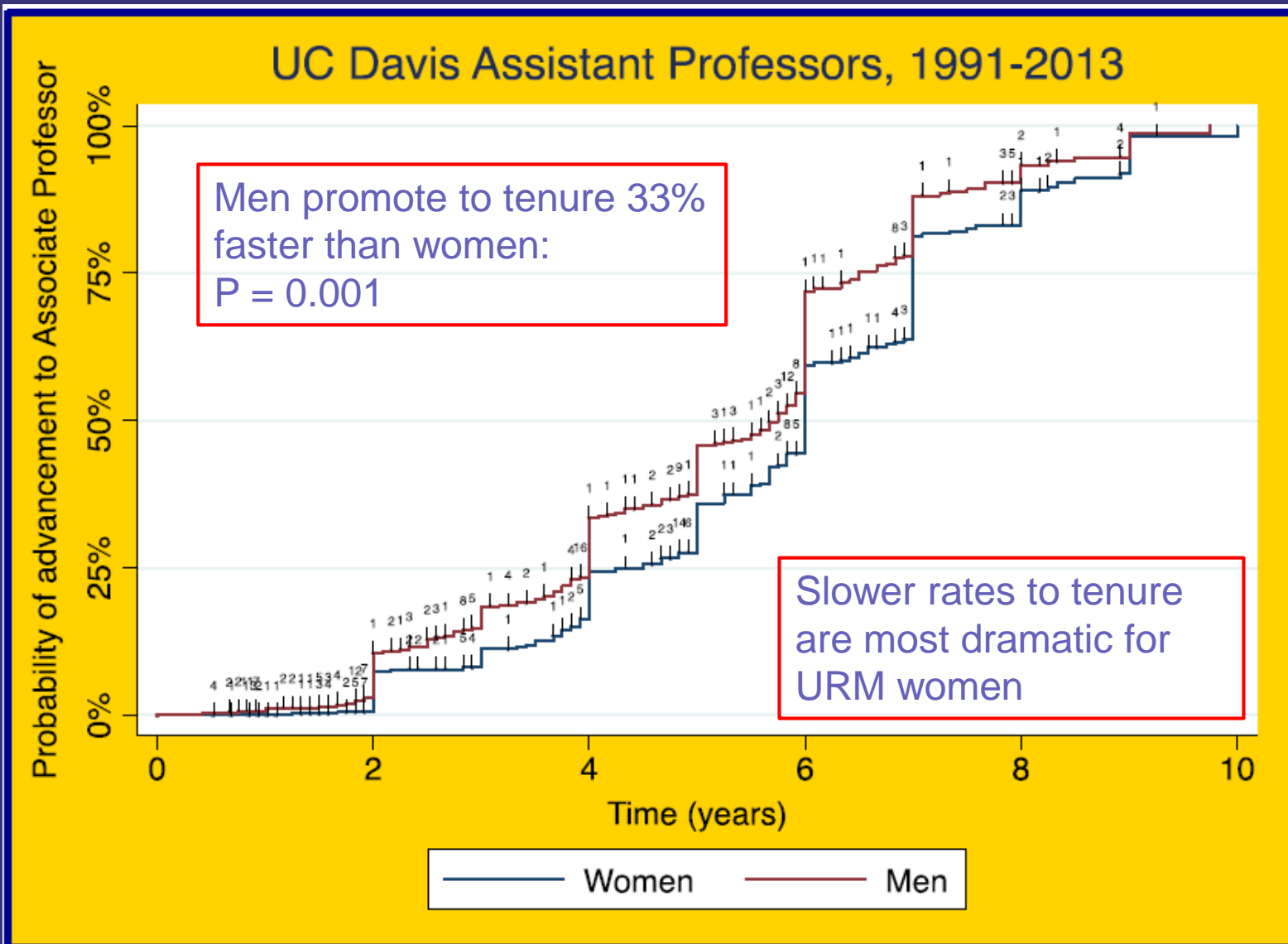
1991-2013

Since 1991, rates of promotion and merit advancement at UC Davis have been shown to vary significantly

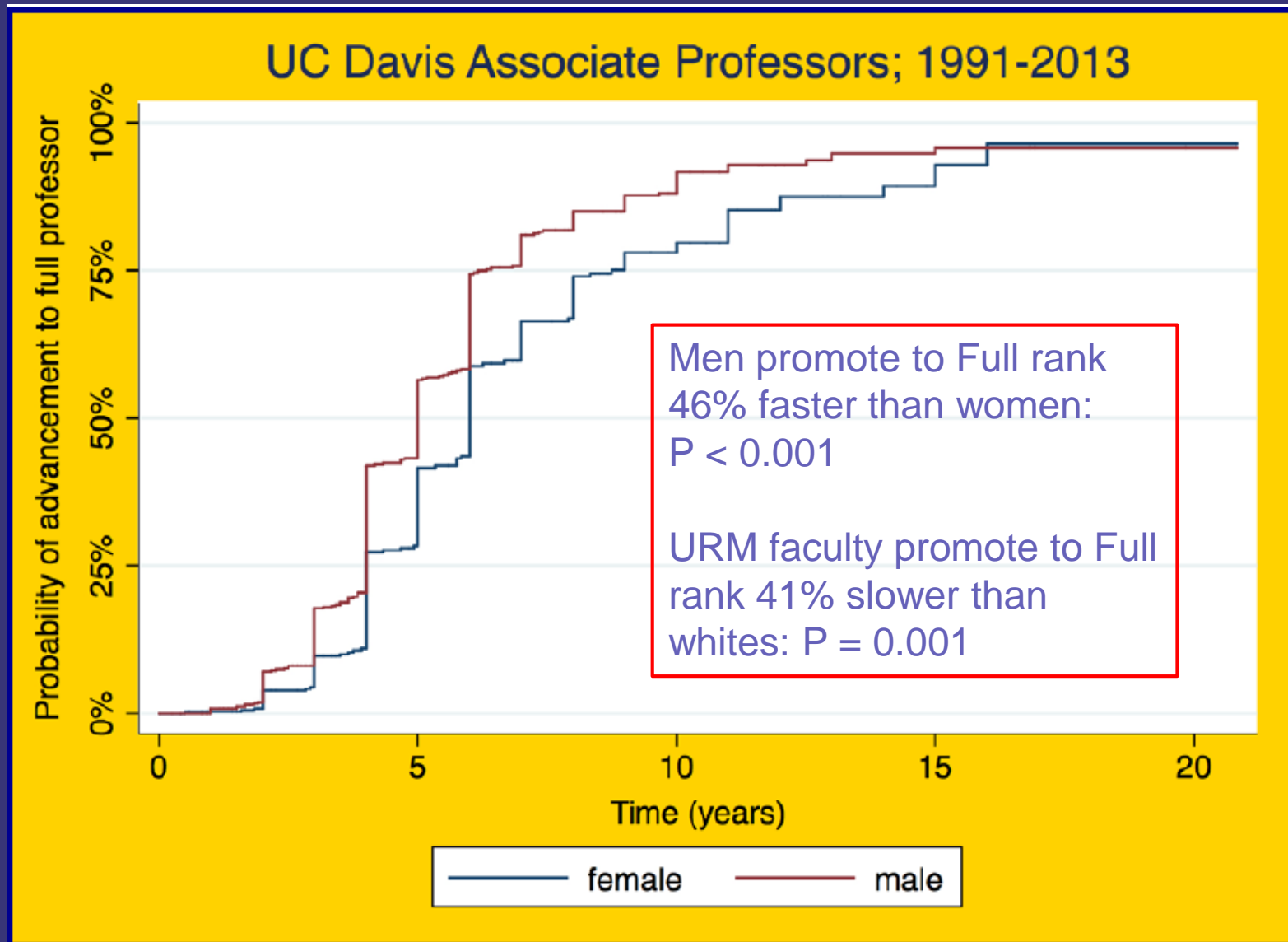
- between men and women
- among racial/ethnic groups (especially for women)
- among colleges and schools
- between faculty (men and women) who have or have not used FMLA family leave or stopped the tenure clock

-- 2014 data analysis by AVP-FEI Phil Kass

UC Davis: promotion to tenure by gender



UC Davis: promotion from Associate to Full by gender



UC Davis: accelerations-in-time show signs of gender bias

2008-13 data from UC Davis
ADVANCE:

Women are 36% less likely to seek accelerated tenure than men (25.5% vs. 39.7 % of dossiers put up for acceleration), but overall are as likely as men to succeed.

In STEM, women are 29% less likely to pursue accelerated tenure, but are *more* likely to succeed





Best practices to reduce the impacts of implicit bias

- Recognize that implicit biases exist and challenge fair evaluation
 - → Raise awareness of patterns of implicit bias
 - → Learn to recognize and call out biases when apparent
- Create and use more specific, structured evaluation criteria
 - When voting on merits or promotions, consider rating a faculty candidate's performance in each of the critical academic spheres
- Use processes that increase careful evaluation at the department level and decrease the role of variation in the personalities of candidates

NEW: 2015-16 changes in delegation of authority

The 2014-15 process was inconsistent: in most units, the candidate's request determined whether an action was redelegated or not; in others, the department recommendation was used.

Revised process, based on strong CAP recommendation:

- The candidate's preference, if stated in their statement, does not determine delegation of authority (DOA)
- The MIV dossier will indicate a default proposed action of 1.0-step advancement at the time of the department vote
- If any of the reviewing bodies recommends an action that is non-redelegated, the action becomes non-redelegated
 - Reviewing bodies: home department, other departments, FPC, or dean
 - "Proposed action" will be updated through process to reflect the highest advancement recommended by any reviewing body



Recent change in the roles of the candidate's preferred action

It is the candidate's right to pursue advancement, even if the department vote is negative.

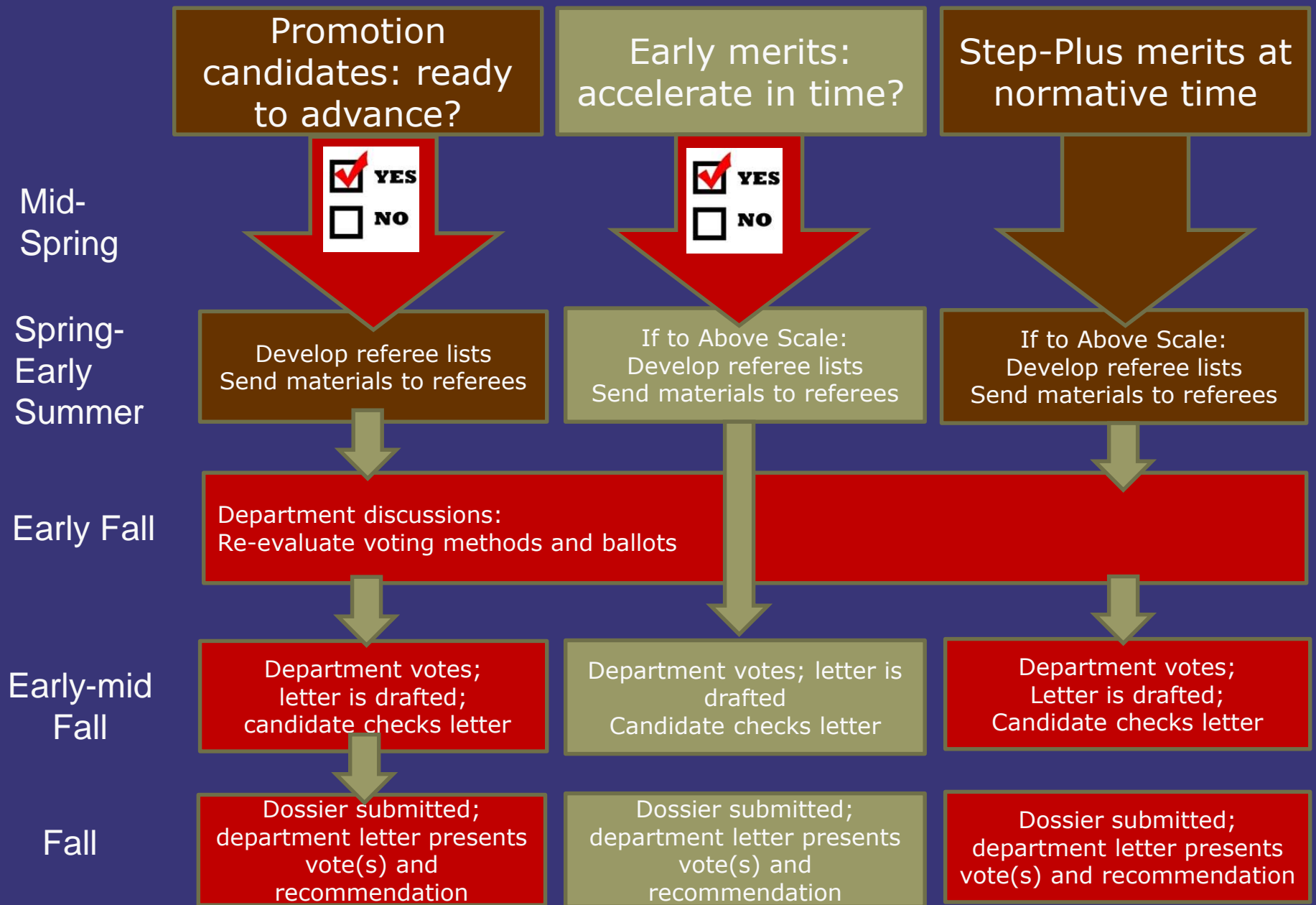
However, at the urging of the Senate, I am no longer requiring, or even recommending, that the candidate makes a specific advancement request.

It is our hope that this change will:

- encourage more thorough analysis of the dossier by department peers,
- reduce the need for peers to vote “against” a specific candidate request,
- allow the candidate to present their case and simply rely on department evaluation.

Part 4: Review of the merit and promotion process





Extramural referees

- Which referees are NOT arm's-length?
 - Former mentors, mentees; collaborators; close friends or professional associates; relatives
 - Encourage referees to describe their relationship to / knowledge of the candidate below the signature block
- Developing lists of extramural referees
 - Ask candidate to generate a list of colleagues/experts who can evaluate the work (this list may include arm's-length referees)
 - Chair generates ***a completely independent*** department list ***of arm's-length referees only***
 - *Any referee on both lists can legitimately be "claimed" for the department list*
- The Chair identifies each extramural letter as "arm's-length" or "not arm's-length" and as being from department's or candidate's list

Communication with extramural referees

- Contact potential reviewers early (late Spring, early summer)
 - at least half should be from the department list
- Provide reviewers a time frame for response & information about campus work-life policies
- Send CV, draft of candidate's statement, publications; book chapters or manuscript (only if book is very near acceptance)
 - Send publications ***only from the period under review***
 - For merits to Above Scale, even though the whole career provides context, encourage referees to discuss recent work
 - Keep sending reminders, as needed!!!!

NOTE: Solicit **intramural letters** from Grad Dean (if candidate is a grad group chair), Center Directors, Clinic Directors, peer reviewers of teaching (for promotion)

No more letters for merit to Prof 6: what are the implications?

- Merit to P6 requires evidence of national impact and recognition. APM 220-18b (4) describes merit advancement P6 as follows

“... 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.”
- *Without letters from national authorities, such impact may be harder to demonstrate*
- Our new process is placing more emphasis on documentation of :
 - Scholarly impact of publications (citations, etc.)
 - Invitations to speak/exhibit/perform, especially plenary addresses
 - national/international service based on scholarly/creative work

Extramural letters for merit to Above Scale

- Explain criteria for advancement in solicitation letter.
- APM 220-18b 4) also describes the criteria for advancement to Above Scale:

“Advancement ... 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...”

- Ensure that some letters are from international authorities
- Include letters, if possible, from high-level faculty in the UC system
 - Note: Not all UC campuses use the title “Distinguished Professor” for the Above-Scale rank

Work-life language: Old School

Language was historically included JUST in letters for tenure candidates who stopped the tenure clock:

*For Dr. _____, a promotion action at this time is considered within normative time because s/he has been approved to extend the tenure clock for family medical reasons, in accordance with University of California policy. This policy requires that the dossiers of individuals who have been approved for such extensions be evaluated without prejudice as if the work were done in the **normal** period of service (APM 133-17-g, -h...*

Work-life language: New School

Language that can be used in ALL requests for extramural review of UC Davis faculty:

“UC Davis encourages its faculty members to consider extensions of the (pre-tenure/review) period under circumstances that could interfere significantly with development of the qualifications necessary for (tenure/advancement). Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment.

Please note that under this policy the overall record of productivity and scholarly attainment forms the basis of your evaluation. Time since appointment is not a factor in this review.”

The 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 accessible to non-specialists
- Should include impact of work, stressing intellectual leadership, creativity and uniqueness of work, and identifying technical contributions,
- Should focus on the period under review
- Can discuss challenges encountered, future plans

1st dossier review by candidate

- Before department faculty review, candidate checks dossier, *including redacted letters*
- Chair corrects factual errors
- Candidate may write rebuttal letter to voting faculty about issues raised in redacted letters

Departmental vote

- Before your first action of the 2015-16 merit cycle:
 - Evaluate your Step Plus voting process and ballot
 - Review your current voting procedures and Senate Bylaw 55
 - Many departments have recently hired SOE Senate faculty
 - Consider the role that more junior faculty can play in the process— many do not fully understand the benchmarks ahead of them
- Votes are totally confidential
- Negative votes *must* indicate reasons on ballot
- Under Step Plus, positive comments are also extremely important, and encourage your faculty to provide them
- Consider an online voting system, e.g. ASIS from the Senate

Evaluation of scholarly and creative work

Scholarly independence is no longer a key criterion for Senate faculty, given that many research areas are highly collaborative

Evidence for *intellectual/conceptual leadership, uniqueness and creativity* should be stressed for the Professor series

- Candidate: Care should be taken in describing Contributions to Jointly Authored Works
- Reviewers: Leadership should not be assumed just from authorship position.

Candidate and department letter should *describe* how contributions originated or changed the course of the project.

Department letter

- 2 pages maximum for merits
- Up to 5 pages for promotions, merits to barrier step
 - Appended comments from department voters do not count towards the page limit
- Reflects department view (not Chair's view)
- Don't duplicate candidate's statement
- Discuss *impact* of scholarly activities, innovative teaching, outreach, contributions to diversity & any extenuating circumstances
- Include language for Work-Life (WL) Program participation if appropriate.

Department letter (continued)

- Department letter should not be in final or near-final form prior to the department vote
- Don't include comments about off-scales or retentions (salary should not be discussed as part of the department evaluation)
- Draft can be prepared by a department ad hoc committee, designated faculty member, Vice Chair, or Chair
- CAP and I strongly recommend appending all written faculty comments to the department letter; however the chair may have to exercise discretion
- Voting faculty should have opportunity to review draft letter, including faculty votes, and suggest changes to Chair

Contributions to diversity as criteria for advancement

PROMOTING DIVERSITY EFFORTS RECOGNIZED IN MERITS AND PROMOTIONS, PER **UC APM 210**:

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)



The department letter should address the candidate's contributions to diversity

- Strongly encourage your faculty members to provide information in the “Contributions to diversity” sections in MIV
 - Teaching
 - Service
 - Research
- Discuss these contributions in faculty meetings
- Consider rating these contributions (e.g. 1-5), along with other critical areas of faculty performance



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Faculty Equity and Inclusion

Faculty Equity & Inclusion

[Why Does UC Davis Seek Diversity Statements From Applicants](#)

[Guidelines for Writing a Diversity Statement](#)

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Examples of diversity-promoting efforts

Teaching

- Modules/exercises to help under-represented students become more engaged with the topic, e.g. units that include contributions from different ethnicities/genders
- Methods/practices to foster an inclusive classroom environment
- Writing grants targeting at teaching/mentoring of diverse groups
- Use of methods that enhance learning outcomes for a diverse student body
- Mentoring students from under-represented or under-served groups

Examples of diversity-promoting efforts

Service

- Calling/encouraging admitted students from diverse backgrounds to attend UC Davis, 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



Examples of diversity-promoting efforts

Research

- Studies of gender/ethnic differences in _____ (e.g., learning methodology effectiveness, healthcare disparities, access to higher education,...) with dissemination of useful findings
- Making an extra effort to conduct research/creative activities in settings that will more fully engage and benefit under-served communities

Candidate reviews the department letter and dossier before it leaves the department

- Department letter content is not negotiable, but candidate can ask that inaccuracies be corrected
- If candidate disagrees with statements in final version of department letter, he/she may write rejoinder letter to Dean or VP-AA (by-passing Chair); has 10 days to do so
- Do *not* reveal names of extramural letter writers (or describe them in the letter)
- Candidate can request advancement even if faculty vote is negative
- Final step: Candidate signs disclosure statement verifying that packet is complete & factually accurate

Confidential Chair's letter (optional)

- Letter is confidential from faculty
- Letter is confidential from candidate until after the action is completed
- Candidate can request a redacted copy after administrative decision (i.e., before an appeal)
- Letter still remains confidential with respect to department faculty
- Collegiality is a legitimate factor for evaluation to the extent that it demonstrably affects research, teaching or service
- Why include a Chair's letter?

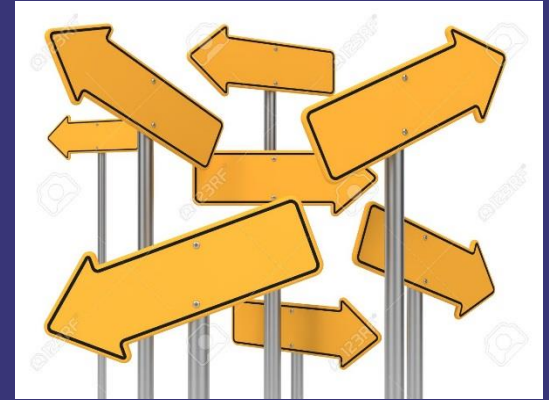
What happens to the dossier next?

Redelegated vs. non-redelegated merits

- If **redelegated**, your Dean makes the final decision (advised by the FPC)
 - Step Plus, 1.0- and 1.5-step merits, except those to or beyond a merit step
 - Old system: merit accelerations that don't skip a step
- If **not redelegated**, the Vice Provost – Academic Affairs makes final decision (except for tenure decisions), advised by CAP
 - Promotions, merit to Prof 6, merit to Prof Above Scale, merits to Further Above Scale
 - Step Plus: proposed actions ≥ 2.0 steps; Old system: skip-step accelerations;
 - URL for professorial series:
<http://academicaffairs.ucdavis.edu/delegations/delegations.cfm?page=1>

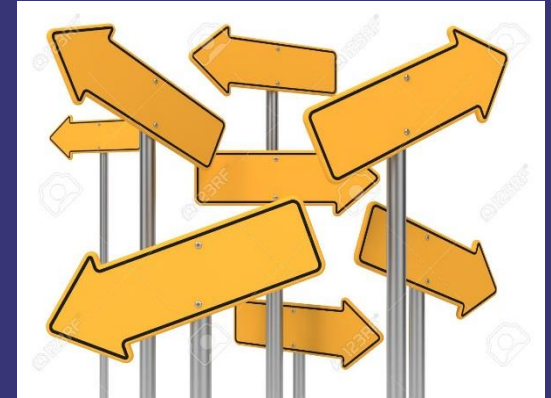


Pathway for redelegated actions



- 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

Pathway for non-redelegated actions



- Department to Dean's Office
- Dean makes recommendation to VP-AA
- Vice Provost sends 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 VP-AA
- Appeals go to CAP-AC; then to Vice Provost for final decision/recommendation (tenure cases go to the Chancellor/Provost)

Appeal

- Appeals occur when the candidate provides explanatory/clarifying information pertinent to the original dossier, after the final decision is made.
 - No additional scholarly activities, awards, teaching evaluations, etc. are provided
 - Procedural errors / oversights may be addressed
 - Incorrect application of standards
- Basic concept: CAP-AC does not review a dossier that differs from the dossier that CAP-OC reviewed.
- Final decision on appeal is based on the delegation of authority

Reconsideration

- Reconsideration occurs when the candidate provides substantive, additional materials to the dossier after CAP-OC review
 - This often happens in response to a negative preliminary assessment during a 7th-year tenure review.
 - During an appeal, CAP-AC may return a revised dossier to CAP-OC for reconsideration if CAP-AC feels that added materials are substantial.
- Additional materials include scholarly activities (e.g., ms accepted in final form; art shows; invited talks, etc.); newly arrived external letters solicited earlier 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 review)
- Note: updates to the dossier may also be provided *before* CAP-OC review; candidate will need to sign a new disclosure statement

Deferral

- Required if candidate chooses not to go forward for advancement when eligible, except for Professor 5 and above
- Deferral requests are due at the same time that the corresponding merit or promotion action is due
- First & 2nd year deferrals go from Chair to Dean for approval
- Third year deferrals (i.e., 3rd consecutive deferral):
 - If no review has occurred in 5 years, a 5-year review must be submitted (reviewed by Dean, CAP and the VP-AA)
 - If reviewed within 5 years, request for 3rd year deferral must include a plan for progress; goes to Dean, to CAP, & then to Vice Provost for approval
- After deferral, candidate can go up the next year

5-year review

- All faculty are required to be reviewed at least once every 5 years (starts during their 4th year)
- Department letter reviews activities in teaching, research, service and contributions to diversity.
- **Department vote is optional.** Voting options:
 - NAPS– “No advancement, performance satisfactory”
 - NAPU– “No advancement, performance unsatisfactory”
 - Recommend “Advancement”
- CAP can recommend advancement, which will require a full review, starting with a new department vote.
- Unsatisfactory performance requires a plan for progress
- Continued under-performance should lead to a shift in duties (e.g. additional teaching), and can lead to a termination process (APM 075)

Discussion

