New Chairs
Two-day Workshop

Academic Advancement

Philip Kass
Vice Provost -- Academic Affairs

September 19, 2017

UCDAVIS
ACADEMIC AFFAIRS

Roadmap

1. Resources and tools for chairs

2. Important changes for 2017-18 and beyond: the Annual Call

3. Step Plus updates

4. Update on LSOE series

5. Review of the merit and promotion process

The Merit and Promotion Process

Part 1: Resources and Tools

MyInfoVault (MIV)
https://myinfovault.ucdavis.edu/

- MIV is mandated for all academic personnel actions

- Appointment dossier– CV may be uploaded in lieu of full data input is allowed

- Multiple dossiers (e.g., merit with appraisal) are now linked in MIV

- We have a web page devoted to MIV, including the latest enhancements made and those being planned:

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Delegations of Authority

FAQs

MOUs

Salary Scales

Step Plus System

UCD Policy & Procedures Manual (PPM)

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University of California, Davis
One Shields Avenue
Davis, CA 95616
Map

(530) 752-2072
(530) 752-6359 fax

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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

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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.

Quick Links

Academic Employment Opportunities

- MIV Oversight Committee [PDF]

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- 2015-16 Associate Professor Brown Bag Schedule

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Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures are developed by Academic Affairs and issued by the Offices of the Chancellor and Provost and apply only to UCD, which includes all units under the jurisdiction of UC Davis, located in Davis, Sacramento, and all off-site locations.

Throughout these policies, the term "Chancellor" refers to the Chancellor and/or the Chancellor's designee. Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

Advancement Policies and Practices: Resources

- APM 210 lists the review criteria for Academic Senate Series

- APM 220 describes system-wide policy for merits/promotions in the Professor series

- APM 285 describes system-wide policy for the Lecturer SOE series (significant revision is in planning stage)

- APM **UCD** 220 and APM **UCD** 285 describe campus implementation of APM 220 plus our procedures, checklists, and sample letters (significant revision is in planning stage)

- See the Step Plus Toolkit on the Academic Affairs website for information and guidance

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

Chair's Roles in the Academic Personnel Process

- *Liaison* between faculty member & Dean/Administration

- Proactive *mentor* 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

- Sets the standard for department climate and modes of interaction

Part 2: Important changes for 2017-18 and beyond

The Annual Call

- Issued in late spring or summer (e.g., August 2017)

- Reminders about process steps and best practices

- Summarizes and links to recent Academic Affairs' advisories

- Due dates for academic personnel actions to Dean's office

- Identifies what is new from last year, and offers reminders and clarifications about things to do or to avoid

- Make sure to read the Annual Call and discuss it with your AP staff member!!!

- Discuss the important changes with your faculty, as well

   ALSO, review VP-AA advisories for the past year!

Recommendation: Also check "Historical Annual Calls" for last 2-3 years

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Upcoming Events

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Recent Academic Advisories sent to the Deans

AA2016-08 - Upgrade Requests and

What's New

- 2016-17 Annual Call for Academic Personnel Advancement Actions
- Unit 18 Pre-Six Reappointment Criteria
- Pre-Six Year Mentoring Meeting Toolkit
- 2016 Retirement Program - APPROVED
- New Junior Specialist Forms and Checklists
- 2015-16 Equity Adjustment
- 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

ANNUAL CALL
A few highlights for 2017-18 and beyond

- Faculty Recruitments:

  - Review and approval from the Office of the Provost is required before transmitting any tentative offer letter (TOL) to a faculty candidate in a recruitment that meets either of the following criteria:

    - 1) resources have been promised that total $1M or more; or

    - 2) the candidate's program may require a significant renovation or capital expense need.

ANNUAL CALL
A few highlights for 2017-18 and beyond

- **Faculty Recruitments**
  - **Search waivers for academic appointments: new systemwide guidelines are in effect now. See: https://academicaffairs.ucdavis.edu/local_resources/docs/Search_Waiver_Guiding_Principles.pdf**
  - **Some highlights:**
    - **Exemptions can be used for:**
      - **Concurrent WOS appointment**
      - **Recall appointment**
      - **Faculty Administrator Title (Vice Provost, Associate Vice Provost, Associate Vice Chancellor, or Associate Dean) at less than 100%**
      - **True Visitor (i.e., is on leave from an academic or research position at another educational institution, research institution, or industry) and is visiting the campus for research activity or to teach a course in his/her area of expertise**
      - **Interim/Acting Position**
    - **NO "unique qualifications" waiver criterion**
    - **Senate waivers are permissible for partner hires, TOEs, PPFP/CPFP**
    - **Fewer "lifetime" waivers for Academic Federation**

ANNUAL CALL
A few highlights for 2017-18 and beyond

- Reminders:

  - STEAD training expires in three years – recertification is required to continue to serve on Search Committees

  - Statements of Diversity are required of all Academic Senate recruitments

  - Upgrade requests (i.e., requests to hire at the Associate or full Professor ranks) no longer need approval by Academic Affairs – approval authority rests with deans

  - Two-stage interviews must have the process described in the approved Search Plan before starting the search. Shortlists will be approved in two stages:
    - 1) preliminary (e.g., Skype interviews),
    - 2) final shortlist

ANNUAL CALL
A few highlights for 2017-18 and beyond

- Clarification – Target of Excellence (TOE) Recruitments: There are four stages to a TOE recruitment process:

  (1) the Consultation stage that includes concept development and nomination,

  (2) the Search Waiver stage that is completed in UC Recruit,

  (3) the Recruitment stage, and

  (4) the Appointment stage. *Only* at the fourth stage are departments allowed to solicit extramural letters or formal application statements from the potential candidate. The TOE recruitment process and steps are described in detail on the Academic Affairs website: (http://academicaffairs.ucdavis.edu/programs/target-excel/index.html).

ANNUAL CALL

- New 2017-18 deadlines for academic personnel actions

New – Administrative Deferrals will begin in 2017-2018. Deadlines for actions due to the Vice Provost's Office are published in the Annual Call and Deans' Offices set additional deadlines to allow for timely review at their level**. If any 2017-18 action is late without obtaining prior approval of an extension, the action will automatically be designated as an "Administrative Deferral", and the candidate will be eligible in 2018-2019.** The advancement will not be made retroactive to the previous year. Note: Five-year reviews and 7th-year tenure cases cannot be designated as Administrative Deferrals.

New – New Deadline for Submitting Materials to Review Files in 2017-2018. In the past, UC Davis allowed candidates to submit additional materials to a review file until December 31. Effective with the 2017-2018 review cycle, this date will change to **September 30**. **Materials will not be accepted after September 30 unless the person undergoing review is an Assistant Professor in his/her "seventh year" of service.** For example: a journal article accepted as in-press on October 12, 2017 cannot be included in the 2017-2018 review file. Please be sure to communicate this information to all academic members of your unit(s).

Part 3: Step Plus Update and Reminders

2015-16: Step Plus, Year 4

- **The 3-year Senate transition is now over.**

- **The following Academic Federation (AF) titles are now on the Step Plus System:**

  Academic Administrator Series
  Academic Coordinator Series
  Adjunct Professor Series
  Assistant/Associate University Librarian/Law Librarian Series
  Continuing Educator Series
  Health Sciences Clinical Professor Series
  Professional Researcher Series
  Project Scientist Series
  Specialist in Cooperative Extension Series
  Specialist Series
  University Extension Teacher Series

Reminder: Step Plus Advancement Dossiers

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

- Provide complete description of teaching responsibilities (% responsibility, average loads), etc.
- Conduct substantive peer review of teaching
- **Assess 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 the current review period
  - Add web links documenting editorial board service

Reminder: although candidate can state a preferred action in the Candidate's Statement, routing of subsequent review and decision is determined by the majority department, FPC or dean recommendation

- If any of these reviewing bodies supports a non-redelegated action (e.g., 2.0 steps), it becomes non-redelegated and is reviewed by CAP and the VP-AA.

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 and is outstanding 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 report Step Plus votes unambiguously!

Example: "Of the 25 faculty eligible to vote on this action, 20 voted and 1 abstained. 20 voters supported at least 1.0-step advancement. Of these, 8 supported at least 1.5-step advancement based on outstanding research, and 3 of those also supported 2.0-step advancement for outstanding teaching."

Making Step Plus Fairer

- Implicit biases based on gender, race, and family status are particularly common

- 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

- Impacts of implicit biases can be reduced if they are recognized and called out

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

From 1991 to 2013, 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

UC Davis:
Promotion to Tenure by Gender

UC Davis Assistant Professors, 1991-2013

Slower rates to tenure are most dramatic for URM women
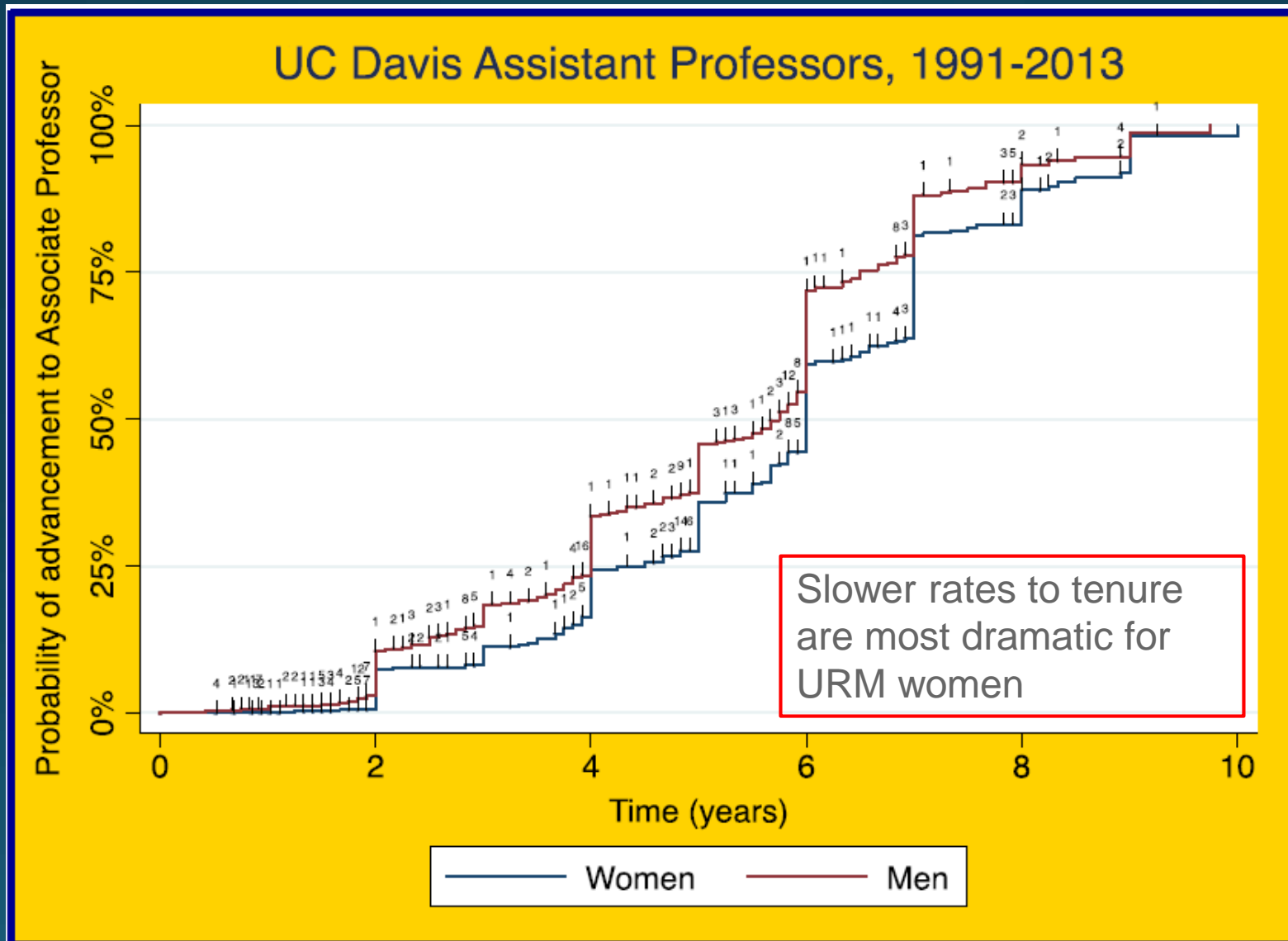
UC Davis:
Promotion from Associate to Full by Gender

UC Davis Associate Professors; 1991-2013
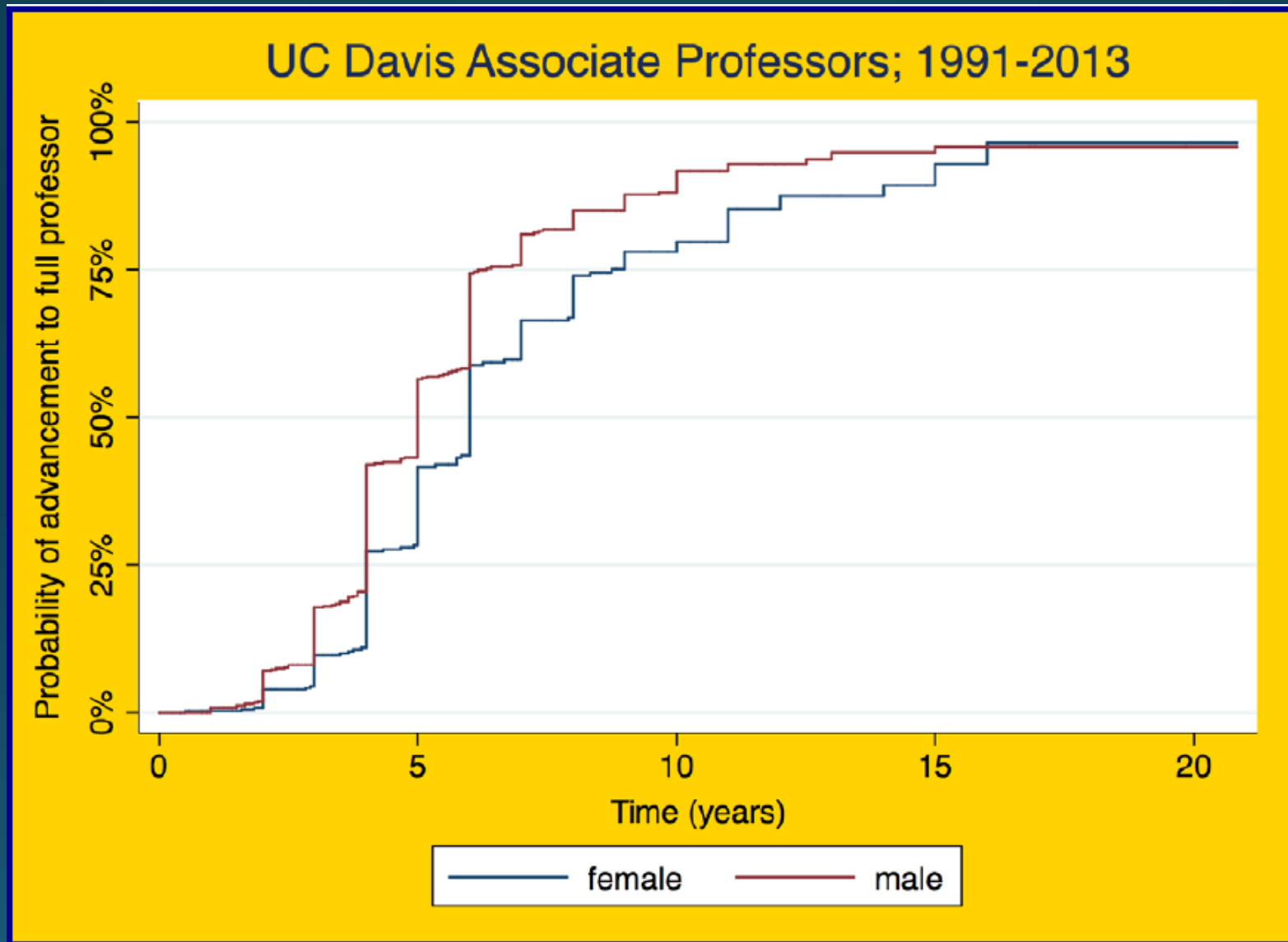
UC Davis: Accelerations-in-time Showed Signs of Gender Bias

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 men to succeed.

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

ADVANCE UCDAVIS

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

The Role 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, we are 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: Updates on the "new" Senate LSOE series: LPSOE/SLPSOE/LSOE/SLSOE

Title change is proposed as "Professor of Teaching _____" but policy is still at review stage at UCOP.

LSOE Series Faculty: A short history

- Previously used at UC Davis for transfer of teaching-focused faculty from ladder series

- UC Davis started hiring into the SOE series 2013-14

- New APM UCD 285 went into effect July 1, 2015

- As of now, we have made about 30 hires into the series

- Revisions to systemwide APM 285 are in the early stages

- Changes in systemwide policy may require changes in APM UCD 285

- Academic Affairs created a Chair's Guide: Recruiting, Hiring and Launching LPSOE/LSOE faculty (winter 2017), available here: http://academicaffairs.ucdavis.edu/local_resources/docs/Chairs%20Guide book%20for%20LSOES%20Winter%202017%20Acad%20Affairs%20FINAL. PDF

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"

LSOE series 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.
- Research in the underlying discipline *and* in pedagogy counts for advancement

Academic Personnel Manual

About the APM | Table of Contents

Administrative Policy | Personnel Policies for Staff Members | Policy and Procedure Manual | Delegations of Authority

Quick Links

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Directives
Principles of Community

Search the Policy Manuals

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

IN THIS POLICY

Purpose
Criteria
Review Procedures

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 these faculty titles, see APM 133, Appendix A

LSOE Series 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 APM UCD 285

LPSOE→ LSOE Promotion

Example LPSOE Effort

⭐ **Teaching and Learning**

- Assigned classroom teaching should allow sufficient time to participate in pedagogical innovation and professional development as educators

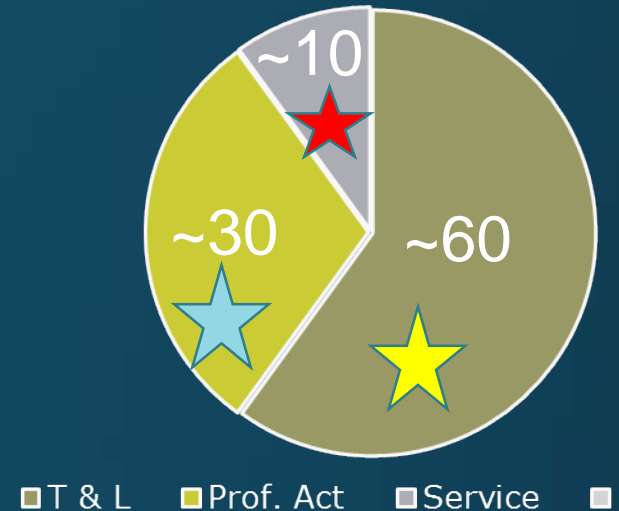⭐ **Professional Achievement and Activities**

- Includes scholarly professional activities and research in both the underlying discipline and in pedagogy

⭐ **University and Public Service**

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

~10

~30

~60

■T & L   ■Prof. Act   ■Service   ■

LSOE ➡ SLSOE 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 systemwide developments

- 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 consulting with the Center for Excellence in Education on peer review

- Review the Chair's Guide (on Academic Affairs website)
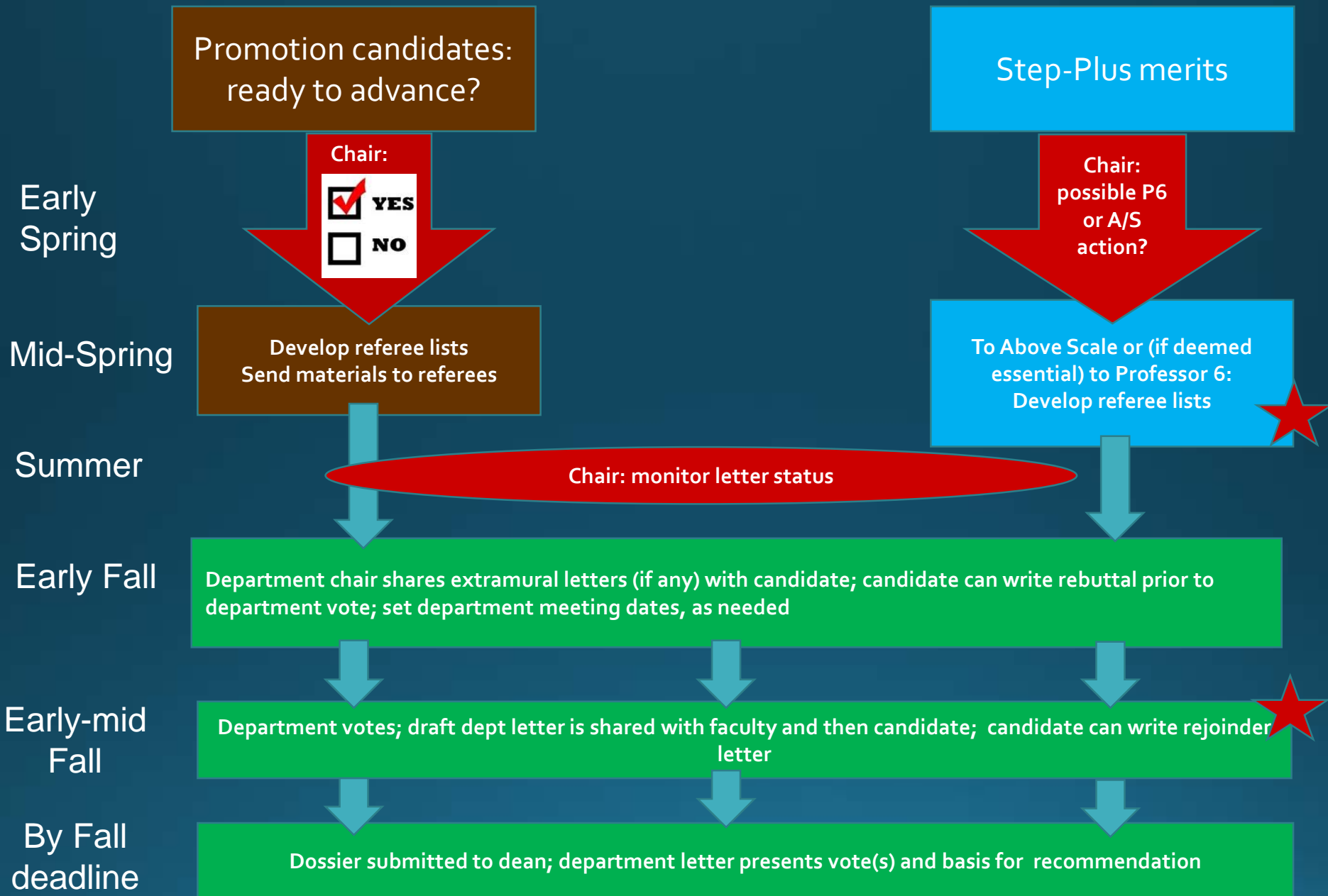
Extramural referees

- 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 late Winter-early Spring Quarter)
  - at least half should be from the department list
  - When the department vote favors a Step Plus action that requires letters, request extension from VP-AA and expedite letter requests in fall!

- Provide reviewers a time frame for response & information about campus work-life policies (see links to template letters on AA website)

- Send CV, draft of candidate's statement, publications; book chapters or manuscript (only if book is <u>very</u> 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 promotions and all merit for LSOE series faculty)

Letters are Not Generally Encouraged for Merit to Prof 6: implications

- APM 220-18b: Merit to P6 requires evidence of "great academic distinction, recognized nationally, … in scholarly or creative achievement or teaching"

- *Without letters from national authorities, such impact may be harder to demonstrate for some candidates. Use your judgement!*

- The dossier should thoroughly document:

  - National scholarly impact of publications (citations, etc.)

  - Invitations to speak/exhibit/perform, especially plenary addresses

  - National/international service based on scholarly/creative work

- At their discretion, the dean, CAP or VP-AA may request extramural letters in some cases

Extramural Letters for Merit to Above Scale

- Explain criteria for advancement in solicitation letter.

- APM 220-18b 4) 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 should 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/promotion] is not a factor in this review."

The Candidate's Statement

- Restrict to 1-5 pages (slightly 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 an analysis of impact of work, stressing intellectual leadership, creativity and uniqueness of work, and identifying technical contributions

- Do not repeat what is already in the dossier

- Should focus only on the period under review!

- Can discuss challenges encountered, future plans

First Dossier Review by Candidate

- <u>Before</u> department faculty review, candidate checks dossier, *including redacted extramural letters*

- Candidate must correct errors in his or her MIV entries

  - It is the candidate's responsibility to check for accuracy of MIV information (e.g. service periods on editorial boards, committees or review committees, dates of grants)

- Candidate may write rebuttal letter to voting faculty about issues raised in redacted letters

Departmental vote

- **Before your first action of the 2017-18 merit cycle:**
  - Review your current voting procedures and Senate Bylaw 55, if you have not done so in the past 1-2 years
    - Many departments have recently hired LSOE series 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 d*escribe* how contributions originated or changed the course of the project.

Department Letter

- Two pages maximum for merits

- Up to five pages for promotions, merits to barrier step

  - Appended comments from department ballots do not count towards the page limit

- Reflects department view (not Chair's view)

- Should not duplicate candidate's statement

- Discusses *impact* of scholarly activities, innovative teaching, outreach, contributions to diversity & any extenuating circumstances

- Includes 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 **APM 210-1(d)**:

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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Academic Employment Opportunities (RECRUIT)

Academic Personnel

Why Does UC Davis Seek Diversity Statements From Applicants

Guidelines for Writing a Diversity Statement

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 kept confidential from faculty and accompanies the MIV file in paper form

- Letter is kept confidential from candidate until after the action is completed

- Candidate can request a redacted copy after administrative decision (i.e., before an appeal)

- Letter remains confidential with respect to department faculty

- Collegiality is a legitimate factor for evaluation, but only 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 barrier 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 Professor Above Scale, merits to Further Above Scale

    - Recommendation from department, FPC or dean for $\geq$2.0 steps

- See "Delegations of Authority" link on Academic Affairs' home page

Pathway for redelegated actions
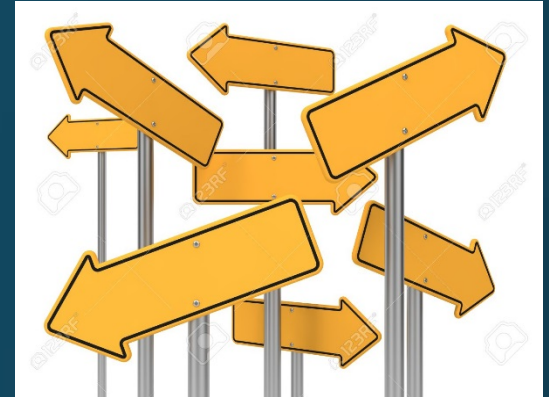
- Dossier goes from department to Dean's Office

- 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
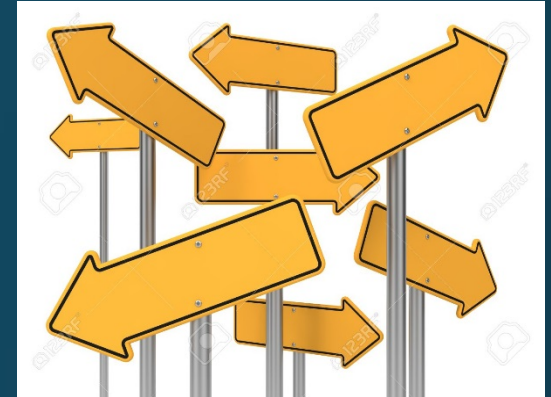
- Department to Dean's Office

- Dean makes recommendation to VP-AA

- Vice Provost sends to CAP—Oversight (which rarely 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—Appellate; 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 may be addressed

- Basic concept: CAP-Appellate 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

Deferrals

- Below Professor Step 5, deferral is required if a candidate chooses not to go forward for advancement when eligible

  - A candidate is eligible after normative time at the current step, or in the year following a denial, prior deferral, or five-year review

- Deferral requests are due at the same time that the corresponding merit or promotion action is due

- ALL academics must be reviewed at intervals no longer than five years. Accordingly, five-year reviews cannot be deferred.

- For further information, work with your college's personnel officer and see Academic Advisory 2016-07.

Five-year Review

- All faculty are required to be reviewed at least once every five years (starts during their 4th year since last review)

- 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