New Chairs Two-day Workshop Academic Advancement

Philip Kass Vice Provost -- Academic Affairs

September 12-13, 2018



Roadmap

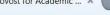
- 1. Resources and tools for chairs
- 2. Important changes for 2017-18 and beyond: the Annual Call
- 3. Step Plus updates
- 4. Update on LSOE series
- 5. Review of the merit and promotion process



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
- Multiple dossiers can be in progress at one time
- Merits with appraisal are now linked in MIV
- We have a web page devoted to MIV, including the latest enhancements made and those being planned



lemicaffairs.ucdavis.edu

UCDAVIS

Academic Affairs

Serving the professional Academic Community at UC D

Home People Vour Resources Policies Programs Tools Honors Diversity & Equity

Quick Links

Academic Employment Opportunities (RECRUIT) Academic Personnel Manual Annual Call Attributes Chart Deans, Directors & Department Chairs List Delegations of Authority FAQs MOUS Salary Scales Step Plus System UCD Policy & Procedures Manual (PPM)

Academic Affairs

Fifth Floor Mrak Hall University of California, Davis One Shields Avenue Davis, CA 95616 Map

(530) 752-2072



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

Recent Academic Advisories sent to the Deans

AA2015-06 - Academic Enrichment Accounts

What's New

 2015-16 Annual Call for Academic Personnel Advancement Actions

Search Academic Affairs

- 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



MyInfoVault Information (MIV)

MyInfoVault (MIV)

Enhancement Process

Pending Enhancements

Completed Enhancements

FAQs

Testimonials

Training & Resources

Quick Links

Academic Employment Opportunities

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.

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]

InfoVault

Click the MIV logo to enter

MyInfoVault.

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 and APM 285 plus our procedures, checklists, and sample letters (significant revision nearing completion)
- 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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- 2015-16 Associate Professor Brown Bag Schedule

MIV – Sign Vice Provost's F... 🗴 Table of Contents | Academic ... +C **Q** Search i manuals.ucdavis.edu/apm/apm-toc.htm E'I 自 Most Visited 🕘 Getting Started 脑 Latest Headlines Home > Table of Contents **Table of Contents Quick Links** Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide IN THIS SECTION Office of the Chancellor policies have UCD procedures. Universitywide policies are issued by the Office of Office of the Provost the President and apply to all campuses and laboratories. UCD procedures are I, General University Policy developed by Academic Affairs and issued by the Offices of the Chancellor and Academic Affairs Regarding Academic Appointees Provost and apply only to UCD, which includes all units under the jurisdiction of UC Directives II, Appointment and Promotion Davis, located in Davis, Sacramento, and all off-site locations. Principles of Community III, Recruitment Throughout these policies, the term "Chancellor" refers to the Chancellor and/or IV, Salary Administration the Chancellor's designee. Responsibilities that cannot be redelegated by the Search the Policy Manuals Chancellor are stated explicitly within the policy.

I. General Un	iversity Policy Regarding Academic Appointees
APM 005	Privileges and Duties of Members of the Faculty
APM 010	Academic Freedom
<u>APM 015</u>	The Faculty Code of Conduct
	UCD-015, Procedures for Faculty Misconduct Allegations
	Exhibit A, Examples of Unacceptable Faculty Conduct
	Exhibit B, Allegations of Misconduct Request for Review
APM 016	University Policy on Faculty Conduct and the Administration of Discipline
	UCD 01C Brossdures for Esculty Dissipling

V, Benefits and Privileges

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 2018-19 and beyond



The Annual Call

- Issued in summer (e.g., August 2018)
- Reminders about process steps and best practices
- Summarizes and links to recent Academic Affairs' advisories
- Due dates for academic personnel actions to department, Dean's office, and Vice Provost's office
- Identifies what has changed since 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 academic personnel staff member!!!
- Discuss the important changes with your faculty, as well

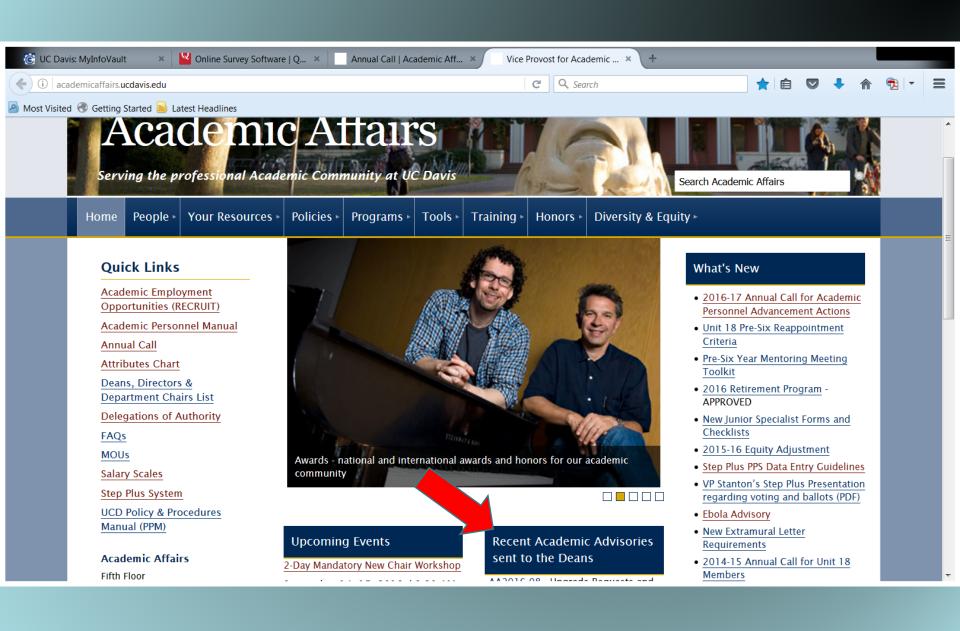


 2014-15 Annual Call for Academic Personnel
 Advancement Actions

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

Salary Scales

Stop Dlue Suctor



ANNUAL CALL

New 2018-19 deadlines for academic personnel actions

New – Administrative Deferrals will be optional in 2018-2019. 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. Deans have discretion to impose administrative deferrals for redelegated actions.

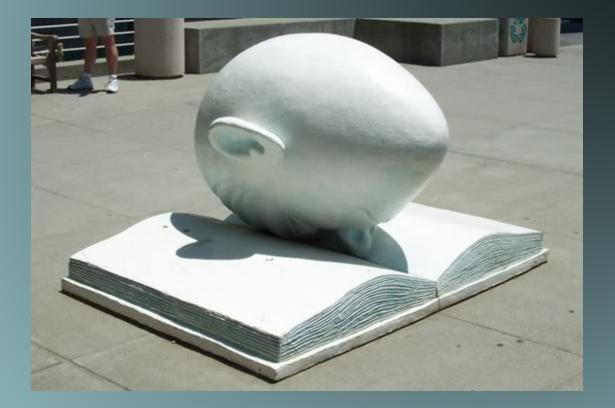
If any non-redelegated 2018-19 action is late <u>without</u> obtaining prior approval of an extension from Academic <u>Affairs</u>, the action will automatically be designated as an "Administrative Deferral", and the candidate will be eligible in 2019-2020. The advancement will not be made retroactive to the previous year. Note: Five-year reviews and 7th-year tenure cases cannot be designated as Administrative Deferrals.

ANNUAL CALL

New 2018-19 deadlines for academic personnel actions

Reminder: Deadline for Submitting Materials to Review Files in **2018-2019.** 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 was changed 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, 2018 cannot be included in the 2018-2019 review file. Please be sure to communicate this information to all academic members of your unit(s).

Part 3: Step Plus Update and Reminders



2018-19: Step Plus, Year 5

- The Academic Senate and Academic Federation transitions are now over.
- The following Academic Federation (AF) titles are now on the Step Plus System (click each title for a link to their Step Plus advancement guidelines):

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 than we did previously, 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 are expected to provide explanation (but votes still count even if they decline to)
 - 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."



Examples of good voting templates

A.	
Vote	Check box
Support 1.0 (normal advancement)	
Support 1.5 step	
Support 2.0 step	
Do not support advancement	
Abstain	

Β.

Unit	Voting action					
	Do not	1.0 step	1.5 steps	2.0 steps	Abstain	
	support					
Division/section						
Department						
Total						

Examples of good voting templates

C. Which of the following options do you feel is most appropriate for merit advancement? *Please vote for only one option.* (Note: a vote for a higher step implies support for all lower steps.)

- I vote in favor of a 2.0 step increase
- I vote in favor of a 1.5 step increase
- I vote in favor of a 1.0 step increase
- I do not support merit advancement
- Abstain

D. For appraisals:

Voting action				
Positive	Guarded	Negative	Abstain	

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 selfpromotion
 - 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

UC Davis: Accelerations-in-time Showed Signs of Gender Bias

2008-13 data from UC Davis ADVANCE:

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

In STEM, women were 29% less likely to pursue accelerated tenure, but were *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

The Role of the Candidate's Preferred Action

It is the candidate's right to pursue advancement, even if the department vote is negative or the dean is not supportive.

However, at the urging of the Senate, we are no longer requiring, or even recommending, that the candidate make 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 at the final 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 new hiring into the SOE series 2013-14

New APM UCD 285 went into effect July 1, 2015 but may change again after final systemwide review of APM 285

As of now, we have made about 45 hires into the series

Academic Affairs created a Chair's Guide: Recruiting, Hiring and Launching LPSOE/LSOE faculty (Winter 2017), available here: https://aadocs.ucdavis.edu/your-resources/deans-andchairs/chairs-guidebook-for-lsoes-winter-2017-acad-affairsfinal.PDF

SOE faculty vs. Unit 18 Lecturers: Why hire into these two series?

L(P)SOE series faculty – these are Academic Senate members

- 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/or in pedagogy counts for advancement
 Unit 18 Lecturers these are not Academic Senate members, but are members of
 the Academic Federation and are union-represented
- Manage teaching loads too high for available Senate faculty
- Requirement for consistent, excellent classroom teaching
- Temporary teaching needs, e.g. replacing retirees or those on leave
- Fill teaching needs in specialty "gaps"
- Must show evidence of no less than excellent teaching for advancement to Continuing Lecturer

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Academic Personnel Manual						
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Quick Links Office of the Chancellor Office of the Provost Academic Affairs Directives Principles of Community Search the Policy Manuals	APPM 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 Senio Employment (SLPSOE) will normally be appointed full time (100%). Full time app members per the <u>Regents Standing Order 105.1</u> . Those appointed less than full Unit 18 bargaining unit, and their terms and conditions of employment are cover APM 133-0b, applies to those in the Lecturer Potential Security of Employment of Employment titles. Prior service in a number of other faculty titles counts toward titles. If a Lecturer PSOE or Senior Lecturer PSOE is at more than 50% time and continue the individual's appointment in that series, the individual may not be applied for the faculty titles cound for the applied to the faculty titles counds toward titles. If a Lecturer PSOE or Senior Lecturer PSOE is at more than 50% time and continue the individual's appointment in that series, the individual may not be applied for the faculty titles counds toward titles. The provide of the series of the of these faculty titles counds toward titles. The series of the faculty titles counds toward titles. The series of the series of the of these faculty titles counds toward titles. The series of the series of the of these faculty titles counds toward titles. The series of the series of the faculty titles counds toward titles. The series of the series of the faculty titles counds toward titles. The series of the series of the series of the faculty titles counds toward titles. The series of th	pointees in these titles are Senate time in these titles are members of the ed by the UC-AFT MOU. r Senior Lecturer Potential Security of Is the 8-year limit for service in these the Chancellor has decided not to oppointed on any campus to certain fact	5			

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 LearningB. Professional Achievement and ActivitiesC. University and Public Service

Peer review of teaching is required for all merit actions

Although LPSOEs are expected to build significant expertise in the scholarship of teaching and learning, our campus does not require peer-reviewed publications in pedagogy for promotion from LPSOE to LSOE.

Policy References – APM 210, APM 285 and APM UCD 285

$LPSOE \rightarrow LSOE$ Promotion

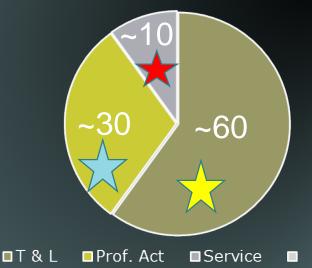
Teaching and Learning

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

Example LPSOE Effort



The "new" SOE series: Advice for Chairs

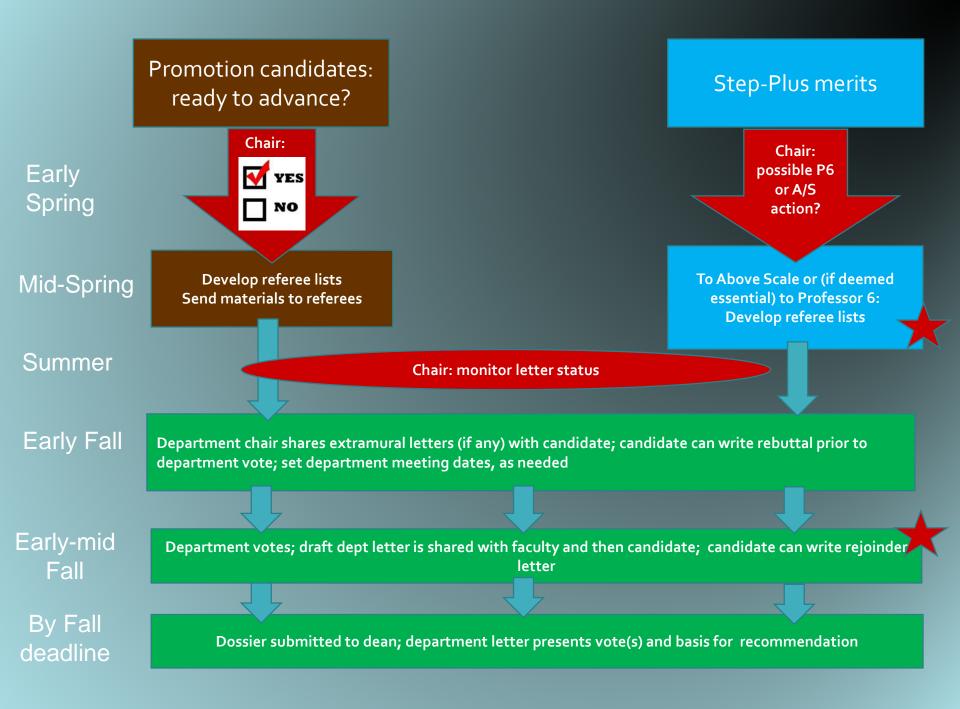


- Carefully review APM UCD 285, and keep abreast of system-wide developments
- Review your department voting rules (refer to Senate Bylaw 55)
- SOE faculty are members of the Academic Senate, and should have considerable latitude in choosing their own activities for professional growth and scholarship
- 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)

Part 5: 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). These cannot be from UC Davis.
 - Chair generates a completely independent department list of arm'slength 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 merits for LSOE series faculty)

Letters are Not Required 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"
- Letters may be especially helpful if > 1.0 step is anticipated for faculty at Step 4.0 or 4.5
- 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 extended 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, or 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) – please send back longer letters for shortening
- 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 within 10 calendar days to respond to issues raised in redacted extramural letters. This letter will be included for voting faculty review.

Departmental Vote

- 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

Before your first action of the 2018-19 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 processmany do not fully understand the benchmarks ahead of them

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

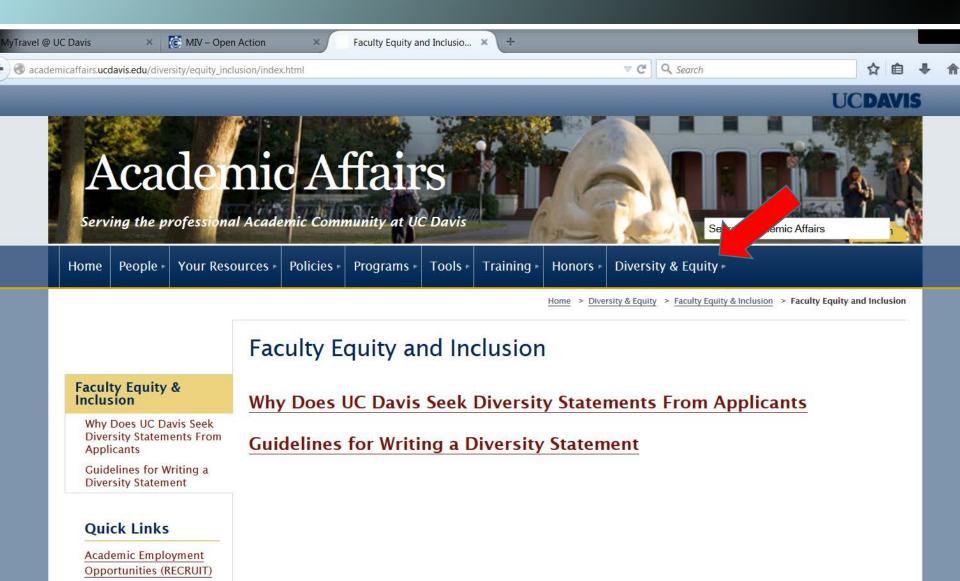
Strongly encourage your faculty members to provide information in the "Contributions to Diversity" sections in MIV

- 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





Academic Personnel

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; has 10 calendar 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)

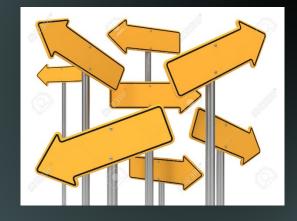
- Letter is kept confidential from department faculty and accompanies the MIV file in paper form
- Letter is kept confidential from candidate until after the action is completed
- Candidate receives a redacted copy of the Chair's Confidential Letter when the merit decision is finalized and shared with the dean's office to then share with the department
- Letter continues to remain 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, which may be decided by the Provost or Chancellor), 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 <u>></u>2.0 steps
- See "Delegations of Authority" link on Academic Affairs' website quick links

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

Appeals

- 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 substantially 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 academic personnel analyst.

Five-year Reviews

- 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 currently 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





