

# **Chair's Academic Duties Handbook**



# Chair's Academic Duties Handbook

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## THE CHAIR

The chair has the dual role of representing the administration to the department and articulating the department's achievements and needs to the administration.

- In this critical role, the chair must explain and interpret information so that the intended audience has a full understanding and appreciation of the message. This is often a difficult and time-consuming task.
- In addition to this critical role, the chair is responsible for facilitating communication among the various constituencies that relate to department activities, including students, faculty, staff and other individuals throughout the institution

As the chair, you have taken on a very important role at the university, some aspects of which occur over the fiscal and not just academic year. Your compensation package recognizes your fiscal year responsibilities.

### 1. ACADEMIC PLANNING

#### a. Chair's Responsibilities (APM 245, Appendix A)

- The chair is in charge of planning the programs of the department in teaching, research, and other functions, e.g., clinical services in the medical school, or agricultural outreach in AES.
- The chair is expected to keep the curriculum of the department under review, and to maintain a climate that is hospitable to creativity and innovation.

#### b. Best Practices

##### (1) Annual Planning of the Curriculum and Teaching Schedule

It is the chair's responsibility to review the department's teaching plan every year, including the curriculum and programs, the need for teaching faculty (both Senate and non-Senate) for specific courses, the need to accommodate sabbatical leaves or long-term absences of the faculty, and the need for facilities (i.e. lecture halls, lab space, seminar rooms for use at specific times, etc.). This is often done in consultation with department curriculum committees so the chair has faculty input in performing this function. Constraints obviously include shared spaces, sequencing of courses and the need to fully utilize all teaching spaces on campus. With current demands on teaching spaces at UCR, gone are the days when faculty can teach when they prefer (or when the students prefer), but if at all possible try to be cognizant of the extra time constraints placed on faculty with family obligations. The chair should work with the faculty to create and maintain an academic environment that promotes research opportunities and internships for undergraduates.

Contract provisions apply to non-Senate faculty covered by the union contract (e.g. Unit 18 Lecturers and Supervisors of Teacher Education). For more detailed information, see "(3)" below.

## (2) Long Range Academic Planning

Chairs are not only caretakers of the status quo, but also leaders looking to further the academic profile of the department and enhance the research, teaching and service mission of the faculty.

- The chair should engage in fundraising activities to enable new initiatives, especially those that may seed innovative programs, create synergies within and outside of the department, serve the community, or which otherwise help to fulfill the mission of UCR.

The department chair guides the department in developing a long range academic plan for instruction/teaching and research. Academic Plans may be requested of new chairs or new departments, or they may be requested at specific times of all departments within a college/school, using prescribed formats and addressing specific questions. They may become the basis for the college's Mission Statement which the dean uses to project programmatic requirements and overall faculty recruitment needs. Even when there is no formal call for a new Academic Plan, each department is expected to keep academic programs up to date by reviewing and updating the department's plan, where/when necessary. An Academic Plan should set goals and assess availability of resources. In addition, it should develop a realistic strategy to attain those goals and a methodology for measuring the success of the Plan. The Academic Plan is a responsibility of the chair and in some departments the chair is assisted by a variety of committees; but in all departments it requires discussion and consultation with the departmental faculty. Although the Academic Plan is the chair's opportunity to make known the plans for the department, the chair needs to be reasonable and creative in what is requested in the way of resources.

An Academic Plan is expected to:

- Include a statement on undergraduate/graduate teaching, research/creative activity, and clinical responsibilities, where appropriate; and an assessment of the need for revision or development of courses and facilities/resources; it should relate how well they interface with other related courses/majors;
- Outline programmatic strengths and target areas for development;
- Assess projected retirements (if known -you are not allowed to ask) and develop priorities for FTE to implement the plan -- i.e., recruitment need;.
- Include potential opportunities for collaborative efforts within the department or with outside individuals, programs, or departments;
- Indicate how success of the plan will be assessed -- e.g., numbers of grants, rates/venues of publication by the faculty, numbers of undergraduate majors, student contact hours per FTE, numbers of graduate students, course selections in a new area, national profile and ratings, etc.; and,
- Anticipate changes in emphasis or direction occurring in academic fields important to the department's teaching and research mission. In departments where service and outreach are important facets of its mission, those aspects should also be included.

## (3) Planning for Unit 18 Contract Employees

This is the Non-Senate Instructional Unit which includes the following titles at UCR:

- Lecturers/Senior Lecturers (not with Security of Employment)

- Supervisors of Teacher Education

These titles are covered under a Memorandum of Understanding (MOU) that governs their employment:

<http://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/contract.html>

(i) Unit 18 Characteristics

There are two types of Unit 18 employees:

- Pre-Six: those with fewer than six years of service.
- Continuing Appointment: those appointed after six years of service in the department in Unit 18 titles.
- Service in a Unit 18 title is counted separately by each department.
- This service counts toward a 4th year salary increase as well as toward a Continuing Appointment.
- An individual can hold a Continuing Appointment in one department, and a pre-six appointment in another.
- There is merit review for Continuing Appointees only.
- Courses taught by Lecturers have pre-approved value Instructional Workload Credit (IWC).
- Percentage of appointment is set by the value of the IWC. The full-time (100%) instructional workload standard for an academic year shall not exceed nine (9) IWCs over three (3) quarters. A typical 4-unit course is equivalent to one (1) IWC.
- Pre-Six Lecturers have a required mentoring meeting with their chair or designee, which shall take place during the academic year in which the ninth (9th) quarter of service in the same department, program, or unit occurs. The meeting must be scheduled 30 days in advance. See [Article 31 of the MOU](https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix_2011-2015_31_pre-six_mentoring.pdf) [https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix\\_2011-2015\\_31\\_pre-six\\_mentoring.pdf](https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix_2011-2015_31_pre-six_mentoring.pdf) for further details.

(ii) Importance of Planning/Assessing Departmental Instructional Needs

- Planning begins with an annual department determination of instructional delivery for all undergraduate courses.
- Needs Assessment: If annual determination of instructional delivery reveals a need for non-Senate faculty (NSF), then NSF performance (Teaching Assessment) is evaluated for possible reappointment.
- Planning begins with annual determination by the department that an instructional need exists that is not met by (a) Senate faculty, (b) Visiting or Adjunct Professors, or (c) when faculty determine that the academic programmatic needs require rotation to satisfy intellectual diversity.

(iii) Professional Development Fund

In accordance with the Unit 18 contract negotiated by the UC-AFT, the University has created a fund for professional development for non-senate faculty (NSF) members. Individual NSF are eligible to submit requests for funding to support proposals for professional development including, but not limited to, presentation/attendance at professional meetings, training seminars, software and paid leave, all of which should

be in support of pedagogical endeavors. For further information about the application process and funding priorities see [http://academicpersonnel.ucr.edu/programs\\_and\\_awards/development.html](http://academicpersonnel.ucr.edu/programs_and_awards/development.html)

**It is important to emphasize that applications are evaluated by a committee of peers and have become increasingly competitive so no guarantees about their availability can be made**

(iv) Pre-Six Reappointments

- Needs Assessment and Teaching Assessment must precede any reappointment for Unit 18 employee in their first 6 years in a department.

(v) Continuing Appointments

During the fifth year of a Unit 18 employee's service within a department, the department must conduct the Instructional Needs Assessment (for instruction that will occur in the seventh year of the Unit 18 employee's appointment.) If this Assessment determines that need exists for instruction that could be met by the individual, then the department conducts a review of the individual to determine if their performance has been excellent and thus appropriate for appointment as a Continuing Appointee.

Need for a Continuing Appointment exists when:

- Course(s) to be taught are in the same area as those previously taught by the NSF;
- Courses are in the same area of NSF's expertise; and,
- Courses are expected to be taught by that NSF.

Need for a Continuing Appointment of an individual does not exist if:

The courses they have been teaching will be taught by Academic Senate faculty or by a Visiting or Adjunct Professor; or,

- Academic programmatic needs require instructional rotation to satisfy intellectual diversity; or,
- There are no other courses that would be appropriate for the individual to teach.

The senate participates in review for potential continuing status. For details of the review process see [http://academicpersonnel.ucr.edu/checklists\\_and\\_forms/](http://academicpersonnel.ucr.edu/checklists_and_forms/) and click on Academic Reviews-lecturer.

(vi) Ending a Continuing Appointment

A Continuing Appointment can only be changed or ended in the following ways:

- Resignation
- Layoff or Reduction in Time – due to (a) lack of work, (b) budgetary exigencies, or (c) programmatic changes where classes taught by NSF are no longer offered, or are being taught by others – e.g., Academic Senate faculty or graduate academic student employee (of the same department). See the [Article 17 of the MOU](#) for further details.

Dismissal may be based on:

- Dereliction of Duty



- Just Cause
- Lack of Excellence

When the teaching of a Continuing Appointee is less than excellent, a remediation plan must be instituted to improve performance. If teaching performance remains less than excellent, dismissal will follow. Please contact Academic Employee and Labor Relations within Academic Personnel ([nicholas.weston-dawkes@ucr.edu](mailto:nicholas.weston-dawkes@ucr.edu)) for guidance on a suitable remediation plan and/or Discipline and Dismissal matters.

**(4) Planning for non-senate, non-represented academics.**

Many academics in non-senate, non-represented categories are not part of a chair's planning since their appointments are supported by externally funded grants, but, for example, if in the agricultural experiment station or a clinical department or the department runs a center etc, the department's mission and therefore long range plan does indeed involve an assessment of what hiring in these titles is appropriate. In addition, appointments may be split between senate and non-senate titles, such as is often the case for those in the Agronomist series. If a split appointment with a Senate title, all appointment/merit/promotion is through the Senate process.

- Non-Senate Clinical Faculty.

(i) Health Sciences Clinical Professor.

Generally, these faculty members participate in teaching (in a clinical or classroom setting), see patients and therefore contribute to the clinical enterprise, contribute to university and professional service and participate in scholarly activity  
[https://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-278.pdf](https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-278.pdf).

(ii) Volunteer Clinical Faculty.

These are faculty members from the community who may teach in basic science or clinical portions of the curriculum without salary. [https://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-279.pdf](https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-279.pdf)

## 2. FACULTY RECRUITMENT, SELECTION AND APPOINTMENT

### a. Chair's Responsibilities (APM 245, Appendix A)

**(1) Together with the faculty, the chair is responsible for the recruitment, selection, and evaluation of both the faculty and the staff personnel of the department;** in most instances a senior staff person handles the staff recruitment/evaluation for the department. Together with the faculty, the chair recommends appointments, promotions, merit advances, separations, and terminations. The chair is expected to make sure that faculty members are aware of the criteria prescribed for appointment and advancement and to make appraisals and recommendations in accordance with the procedures and principles stated in the [President's Instructions to Review and Appraisal Committees in APM 210 \(Appointments and Promotions\) \(pdf\)](#) and The Call [http://academicpersonnel.ucr.edu/the\\_call/](http://academicpersonnel.ucr.edu/the_call/)

As academic leader of the department, the chair is responsible for assigning teaching to the faculty (both Academic Senate and non-Senate members). Although the chair is ultimately responsible for the oversight of graduate student TAs and may be responsible for their appointment, they are not considered to be part of the faculty of the University (as defined in [APM 110--pdf](#)).

## (2) **Other Academic Appointees**

In addition to teaching faculty, there are other academic appointees in the department. They hold Academic Federation titles as listed below.

- Academic Administrator\*\*\*
- Academic Coordinator
- Agronomist
- Continuing Education Specialist
- Professional Researcher
- Project (e.g., Scientist) Series
- Specialist in Cooperative Extension
- Specialist Series
- University Extension Teacher

Anyone holding an Academic Federation title (\*\*\*excluding Academic Administrators whose responsibilities may include teaching duties) who is required to teach in addition to other duties, must be appointed to an appropriate teaching title (e.g., Lecturer, Adjunct Professor). Any problems with performance should once again be referred to Academic Employee and Labor Relations within Academic Personnel ([nicholas.weston-dawkes@ucr.edu](mailto:nicholas.weston-dawkes@ucr.edu)) for guidance on a suitable remediation plan and/or Discipline and Dismissal matters.

## **b. Best Practices**

### (1) **Recruitment Process**

In response to department needs, the dean may authorize recruitment for a permanently budgeted FTE (for Professorial Series appointments):

- In a specific research/teaching area;
- At a specific level (i.e. series, rank and salary);
- With a specific start-up financial package to support the position; and,
- Located in specific office and lab space, or this may have to be flexible, according to need

The chair, after consultation with the department, initiates recruitment for a faculty position by developing a search plan in concert with the department faculty (see below). Although a staff member may monitor the day-to-day progress of the committee, it is the responsibility of the chair to see that the whole recruitment process is conducted according to University policies. The following is a brief summary and more details can

be found in The UCR Hiring Toolkit

[http://academicpersonnel.ucr.edu/policies\\_and\\_procedures/Academic%20Hiring%20Toolkit.pdf](http://academicpersonnel.ucr.edu/policies_and_procedures/Academic%20Hiring%20Toolkit.pdf)

## (2) **Faculty Diversity**

In recruiting new faculty, it is important that both the search committee and the applicant pool are diverse. Strategies for obtaining a diverse applicant pool are discussed in the Hiring Best Practices brochure given to all search committee members and also found here

[http://academicpersonnel.ucr.edu/policies\\_and\\_procedures/Best%20Practices%20in%20Hiring.pdf](http://academicpersonnel.ucr.edu/policies_and_procedures/Best%20Practices%20in%20Hiring.pdf).

All search committee members for Senate positions are required to take both the online course in the UC learning System (go to your list of authorized applications in R'space) entitled **Equal Employment, Affirmative Action and the Academic Hiring Process** and the in-person workshop **Promoting Faculty Diversity** once every two academic years. Because we are now using the LMS system, faculty will be able to look up whether or not they need to retake either of these for an upcoming search.

## (3) **Search Plan**

The search committee who will be implementing the search plan should develop the search plan. This is not a job for a staff member. Please see Hiring Toolkit for details

[http://academicpersonnel.ucr.edu/policies\\_and\\_procedures/Academic%20Hiring%20Toolkit.pdf](http://academicpersonnel.ucr.edu/policies_and_procedures/Academic%20Hiring%20Toolkit.pdf)

- The goal is to identify the very best candidate available. Therefore, every effort should be made to conduct a thorough search and advertise widely before filling any faculty position. Use national and/or international publications, personal contacts, listserves, mailing lists, professional and academic conferences, and Web sites.
- In addition to position-specific requirements, all advertisements for faculty positions must include the following :

*UCR is a world-class research university with an exceptionally diverse undergraduate student body. Its mission explicitly states the goal of providing routes to educational success for underrepresented and first-generation college students. A commitment to this mission is a preferred qualification.*

*Advancement through the faculty ranks at the University of California is through a series of structured, merit-based evaluations, occurring every 2-3 years, each of which includes substantial peer input.* This paragraph may be omitted for temporary positions.

*The University of California, Riverside is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, protected veteran status, or any other characteristic protected by law.*

- Advertisements should also state that although applications will be accepted until the position is filled, evaluation of applications will begin on [date].
- Federal affirmative action regulations require every campus to collect data regarding the race and gender of all job applicants. This is documented on the Recruitment Report submitted to APRecruit.
- If, after review, it is determined that the pool is not very diverse, the department should review whether recruitment and outreach procedures were sufficiently broad, and if not, consider reopening the search with more inclusive recruitment efforts. The Equal employment and affirmative action office reviews and approves the short list versus available pools before candidates are invited to campus for an interview and they may also initiate a re-opening of the search.

#### **(4) Search Committee**

The department should make every effort to recommend a composition for the Search Committee to the dean that represents a diverse cross section of the faculty. It is also important to be alert to any potential conflict of interest or appearance of conflict of interest situations in making the committee assignments.

- The department chair should submit a slate of names (usually 5-7) to the dean; the dean appoints the committee. It is important to have a search committee that is diverse in terms of people and viewpoints and the most junior faculty member on the committee should not be the Affirmative Action Compliance Officer. This job should be assigned to someone with the gravitas to achieve what is necessary to overcome biases that others may exhibit.
- Faculty from outside the department should be included on the committee to provide a fresh perspective to the search.

#### **(5) Getting to a Short List**

Procedures should require that applications be read by more than one person. The Search Committee must write the reasons for rejecting candidates on the deselection form, and the reasons must be consistent with the stated selection criteria.

- Department chairs should review the documents and examine the committee's selections to ensure that they meet the selection criteria listed in the position announcement and the Search Plan.
- In many departments there is a meeting to discuss the candidates to be placed on the short list and subsequently selected for campus interviews. Before such a meeting, faculty are invited to look through the files of all applicants (not only those on the Search Committee's list). At the department meeting, these applicants, as well as those on the Search Committee's list are discussed, and the faculty vote.
- The Equal Employment and Affirmative Action Office will review the race and gender of short list candidates to compare representation to availability.
- If selection problems are identified, the search can be reopened to conduct additional outreach or revisit the pool of all qualified applicants and create a new list of potential short list candidates.
- The dean must approve the candidates selected for campus interviews -- i.e., the short list.

- The chair then may invite the short list candidates for a campus visit. This visit should be well organized beforehand; the department should send each visiting candidate information about the department, campus, the city of Riverside and local area including aspects that contribute to quality of life, and other useful information such as childcare information <http://academicpersonnel.ucr.edu/resources/RiversideLink.pdf>
- During the campus visit, the chair should ensure that the candidates meet graduate students and faculty from the department, as well as related departments, if appropriate; and that it is made clear that all department faculty are expected to make every attempt to attend the candidates' seminars/lectures and participate in the interviews. There may be occasions when video recording is appropriate, but please ensure that this does not substitute for actual attendance.
- **It is important to remember that the candidate is making a judgment about the department/campus, just as the department is making a judgment about the candidate.**

#### (6) **Conducting the Interviews and Choosing Candidates for the Position**

The department chair should meet with each candidate initially to give an overview of the position, answer general questions, and orient the candidate to the schedule, the department, and the campus. In some cases, the department chair may wish others to be present at this initial meeting (e.g., the Search Committee chair). If an endowed chair is part of the recruitment package, the duration and obligations of the chairship should be made clear

- The seminar should be scheduled early in the visit if possible, so that faculty can hear it before their interviews with the candidate and/or any secondary presentations such as a chalk talk. Each faculty member scheduled to visit with the candidate should be provided with the candidate's CV and statement about why he/she is interested in the position. It is highly recommended that the candidate meet with the dean at some point during the visit, if schedules allow.
- At the end of the visit, the department chair should again meet with the candidate to answer questions, clarify issues that may have arisen during the visit, assess the candidate's needs for space and facilities, assess the candidate's teaching experience, and let the candidate know the approximate time frame for the department to make its decision.
- After the candidate's visit, the department chair should solicit input from the voting faculty. This can be done in a number of ways, but the process should be agreed upon by the voting faculty as part of the development of the Search Plan (and it should be included in the Search Plan). One excellent mechanism is to use a rubric through which the candidates are compared on the same criteria.
- One effective procedure is to ask each person with whom the candidate met during the campus visit to provide comments with respect to the seminar, the interview, the candidate's CV, etc., right after the candidate's visit rather than waiting until all of the candidates have visited.
- Voting faculty should meet as a group to discuss the various candidates and have an opportunity for the department chair to share the comments from non-department (and thus, non-voting) individuals who met with the candidates.
- The department faculty should then vote on the candidates and decide to whom offers

should be made. It is important to remember that Academic Senate Bylaw 55 [http://senate.ucr.edu/bylaws/?action=read\\_bylaws&code=app&section=04](http://senate.ucr.edu/bylaws/?action=read_bylaws&code=app&section=04) gives all Senate members in the department the right to vote on all Senate faculty hires. Non-Senate faculty/academic appointees are not eligible to vote on Senate personnel actions. However, the department may consult with these individuals and invite an advisory vote.

#### **(7) Making the Offer**

- The chair will consult with the dean regarding the department's selection and obtain the dean's approval to contact the selected candidate and let him/her know of the department's decision to recommend the appointment. The letter of intent/Initial Complement Letter (LOI) comes forward jointly signed by the department chair and dean.
- For this LOI, it is often wise not to include step since although steps are only used in the UC system, a candidate who thinks they will be step IV can be disappointed if the final decision is step III, even when this does not alter the proposed salary. The chair should also provide required salary (including any off-scale supplement), anticipated appointment/start date, research support needed, amount of start-up package, teaching assignment expectations etc. The chair and the dean should come to agreement on the above issues. Note that off-scales above 25% of base salary for the likely step must be recommended by the dean to the Vice Provost for Academic Personnel, who has approval authority. Justification needs to speak to the candidate's qualifications, market forces, their current salary and if appropriate, competing offers. The final appointment letter for Senate appointments above Assistant III is prepared by Academic Personnel, and includes information about removal expense reimbursement, visa processing and a "respond by" date. This letter is signed by the PEVC. For senate appointments at Assistant I-III and most non-senate academic appointments, the final authority has been delegated to the dean. <http://academicpersonnel.ucr.edu/resources/doachart.pdf>, but the same appointment letter template must be used.
- If the chair believes that the selected candidate would qualify for a higher/lower rank than the one advertised or a different series, it is important to note that no appointment can be made to a rank or series not advertised. This is an equal opportunity issue. There may be others available who did not apply because of what was said in the advertisement and yet who would be superior candidates for the different rank/series.
- After the LOI has been sent, the chair may wish to contact the candidate to see if he/she has any questions about the offer.
- After the candidate accepts the LOI, the department will put together an appointment packet (see below). The chair should let the candidate know that the appointment process will take some time and why – emphasizing the pros of the UC shared governance environment. It is advisable for the chair to keep in contact with the candidate (i.e., at least once a week) to let him/her know where the process is and that there are no problems, etc.
- As soon as the candidate has accepted the LOI, the chair should personally notify the other short-listed candidates to let them know a final decision has been made. While it

is natural for non-selected candidates to be disappointed, it is important that they feel that they were fairly considered and well treated throughout the process.

#### (8) **Partner Employment**

If during the employment process, the candidate indicates (you cannot ask) that their partner is in need of employment, either at UCR or in the surrounding area, the Chair can contact Declan McCole, who is Faculty Assistant for Partner employment opportunities [PEO@ucr.edu](mailto:PEO@ucr.edu). Declan maintains a list of contacts with regional institutes of higher learning, K-12 schools, county and city entities and local industries. He will facilitate contact. He also serves as a liaison between colleges should it be appropriate to look for a second faculty or other academic position at UCR.

#### (9) **Appointment**

Candidates for appointment shall be judged by criteria appropriate for their series. These criteria are outlined in <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/> under the sections applicable to the specific faculty title.

- It is the policy of the University of California that no appointment shall be made to a tenure track position (i.e., professorial series) unless there is an appropriately budgeted provision (FTE) for the appointment.
- Each appointment at the Assistant rank is limited to a maximum term of two years at a time, and total service in this title (including that at a sister UC campus) cannot exceed eight years, except for those individuals granted an extension of the clock. See <http://www.ucop.edu/academic-personnel-programs/files/apm/apm-133.pdf>. **Note that Acting, Adjunct and Research Assistant professor titles all count towards this limit.**

All appointments to the positions of Associate Professor and Professor are continuous in tenure until terminated by voluntary separation, retirement, demotion, or dismissal.

#### (10) **Conditions of Appointment**

- After the appointment has been made, the chair can contact the candidate to see if he/she has any questions about the details of the appointment and to determine when the candidate will arrive on campus and if he/she has any special needs with which the department can assist.

#### (11) **Facilitating the Success of New Faculty**

- The success of faculty members is very frequently related to the number of casual interactions on campus, interactions that help solve problems, that develop friendships, and that develop research/creative activity collaborations. It is therefore important that when not conducting field research, faculty be physically present on campus at least a majority of days. Faculty are State employees with accountability. It is the chair's duty to ensure that faculty maintain an appropriate presence and that they understand all requirements for absences from campus.
- To ensure that new faculty are not immediately overwhelmed by the new teaching, research and service duties, the chair should be ready to give guidance in these three

areas to make the transition as easy as possible. This is particularly important for faculty for whom the UCR position is their first university position. UCR now has a year-long development series for junior faculty, details of which are handed out at the New Faculty Orientation, which occurs each year on one of the two days between the official start of the Fall quarter and when classes start. Please encourage attendance. If faculty arrive mid-year, they will likely still find the New Faculty Orientation session useful.

- It is the responsibility of the chair to make teaching assignments for all new faculty. Some departments have found it valuable for new faculty to audit a course that they will eventually teach. During this first year it is a good idea for new faculty to take advantage of the activities advertised through iteach <http://iteach.ucr.edu/> on course design and use of technology in the classroom, particularly if they have never taught before coming to UCR. Mentoring and special sessions are also offered through the Academy of Distinguished Teachers <http://academyteachers.ucr.edu/> and through the Teaching and Learning Center in the library <https://library.ucr.edu/about/directory/teaching-and-learning-services>. If in the Medical School, specific resources and development classes are available at <https://facdev.ucr.edu/>.

The chair should also make sure that all new faculty are aware of the requirements and regulations pertaining to classes in regard to syllabus, exam times, goals and learning outcomes, lab safety, TAs, substitutes, absences, missed exams, accommodating students with disabilities <https://sdrc.ucr.edu/resources/resources-and-handbooks> , and academic integrity issues

[http://senate.ucr.edu/bylaws/?action=read\\_bylaws&code=app&section=06](http://senate.ucr.edu/bylaws/?action=read_bylaws&code=app&section=06).

<http://senate.ucr.edu/bylaws/> and <http://senate.ucr.edu/committee/?do=info&id=10>

- In many departments, there is course reduction for new faculty during their first year or two – this is particularly true of departments where new faculty are expected to submit a grant application for extramural research funding during the first year in their faculty position. However, some teaching is important during the first year as a way to orient to how things happen on campus and also to give some basis for a positive first merit.

- New faculty, particularly those at the Assistant rank, need some time to establish their research and teaching programs at UCR, but the amount of teaching release should be significantly less for senior faculty with more established research programs and teaching expertise; committee work should be limited for Assistant professors and geared to helping them with their career – e.g. running the seminar series so that they become known by more senior people in their field or graduate recruitment committee so that they have at least a first contact recruitment advantage over the big name folks in the department.

- In some units, Senate faculty may have been hired primarily to develop a specific program or medical clinic, or to fill some immediate teaching need. In these cases, the department chair should closely monitor the progress of the new faculty member to ensure that excessive time is not consumed by the special duties and that the faculty member has sufficient time for the scholarly work needed for a successful career at UC.

- Mentoring is an effective strategy in facilitating the success of new faculty. The chair may choose to serve in this role or may, in consultation with the new faculty member, select a senior faculty member of the department or a related department to mentor.



The important part of effective mentoring is that the mentor and mentee develop a relationship that allows the mentor to provide information, advice, support, and constructive criticism.

- Benefits information is provided on the UCPath portal (on the Rspace page) where new faculty can enroll. A benefits representative is also present at the New Faculty Orientation to answer questions.

## (12) Faculty as Supervisors of Employees

The chair should discuss with all new faculty their responsibilities as supervisors and principal investigators before they hire staff/academics and begin their research programs. They should be told that they have a responsibility to carry out fair and honest (i.e. not over-inflated) staff evaluations. It is important that faculty understand that they are the stewards of University, State or Federal resources in their role as administrator of research programs and grant funds. This includes oversight and supervision of people (technicians, GSRs, SRAs, computer analysts, etc), space, and equipment. They should be aware of the policies governing the employees and students they supervise (including the fact that some employees are covered by union contracts). Senior staff in the department (if big enough), shared service center, Graduate Division, Human Resources, or if an academic employee in Academic Personnel are available for consultation and assistance with problems that may arise with employees. Relevant policies relating to academic employees include [APM 137 – Term Appointments](#) (pdf), APM 140 – Grievance, [APM 145 – Layoff](#) (pdf), and [APM 150 – Discipline and Dismissal](#) (pdf). Policies related to staff employees can be found at <http://hr.ucr.edu/>.

## Resources

[Academic Senate-Appointment and Promotion](#) (APM 220) (pdf)

[Contract for Unit 18 Non-Senate Faculty:](#)

<https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/contract.html>

[Hiring Toolkit](#) <http://academicpersonnel.ucr.edu/>

[Faculty Development](#) <http://academicpersonnel.ucr.edu/>

## 3. ACADEMIC PERSONNEL ACTIONS

a. **Chair's Responsibilities** ([APM 245](#), Appendix A (pdf))

- One of the chair's most important duties as academic leader of the department relates to their role in assuring that new faculty understand the university's evaluative process and that this process is conducted fairly and is consistent with campus policy for all faculty in the department. This is briefly discussed at the New Faculty Orientation and in more detail for pre-tenure faculty at the Junior Faculty Workshop each year.

## b. Best Practices

### (1) Informing New Senate Faculty about the Academic Personnel Process and Departmental Expectations

Most new faculty who have had no previous academic appointment have no concept of how they will be evaluated for merit and promotion, and those who have joined the faculty after having served on the faculty of another university are often surprised at how different and complex the process is at the University of California. A time-effective approach to initiating new faculty into the system can be accomplished by the chair in the following three ways:

- The chair should strongly urge all new faculty, and particularly junior faculty to attend all presentations and workshops offered by Academic Personnel and those offered jointly with the Graduate Division.
  - The chair can encourage extension of voting rights during the bylaw 55 voting so that all new faculty are able to see, participate in the discussion and vote on all files. There is no better way to learn about expectations than to witness the process. Don't forget that this applies to professors of teaching as well. If extension of the vote is not forthcoming, perhaps the faculty will at least allow viewing of files and participation in the discussion.
  - The chair can meet with new faculty individually or in group sessions, shortly after they arrive. Covering the entire review process in detail is unnecessary, but new faculty should be made aware of the basis for evaluation soon after they arrive, the time lines involved, the expectations for advancement in their discipline, and the process that the department follows in evaluations for merit/promotion advancement (since the latter may differ among departments). It is also prudent to discuss issues that relate to the Faculty Code of Conduct/faculty misconduct ([APM 015--pdf](#)) and Conflict of Commitment ([APM 025--pdf](#)).
- (a) With respect to departmental expectations and standards (which will differ by department), the chair should discuss the department's expectations regarding:
- Teaching quality (student evaluations are based on a numerical scale and each department expects a faculty member to attain some minimum average score that is dependent on the class size in order to fulfill the APM requirement for 'superior intellectual attainment in teaching').
  - Teaching workload (including a designation of the expected balance between lower and upper division teaching load, and/or the balance between undergraduate and graduate courses in colleges/schools where these are important factors);
  - Graduate/undergraduate research training;
  - Research productivity (not just total number of publications/review period, but also quality; and how well it fits together as a cohesive research program, rather than as isolated, unrelated publications);

- Writing of books vs. journal articles as the expected medium for publication of research;
- Having extramural grant support for research program/creative activity;
- National vs. local or regional reviews of creative work;
- Need to develop, over time, national/international reputation;
- Participation in University committees at various levels, i.e., department, college, Graduate Group, campus, UC system, as well as participation in public/professional committees for state/federal government, research societies, journals, etc.; and,
- Clinical responsibilities, where appropriate.

(b) The chair should also refer new faculty to the Faculty Generic Job Description [http://academicpersonnel.ucr.edu/new\\_faculty\\_orientation/fall2016/Resources/Facultygenericjobdescription.pdf](http://academicpersonnel.ucr.edu/new_faculty_orientation/fall2016/Resources/Facultygenericjobdescription.pdf)

(c) The chair should emphasize the importance of keeping track of activities (classes taught, committees, academic society participation, advising of individual students, letters of invitation and recommendation etc) that will be a part of their evaluation throughout the year(s). Currently, this is most easily done directly in eFilePlus.

## Resources

[Appointment and Promotion](#) (APM 220) *(pdf)*

[The Call](http://academicpersonnel.ucr.edu/) <http://academicpersonnel.ucr.edu/>

[The UC Faculty Handbook](https://www.ucop.edu/academic-personnel-programs/programs-and-initiatives/faculty-resources-advancement/faculty-handbook.html) <https://www.ucop.edu/academic-personnel-programs/programs-and-initiatives/faculty-resources-advancement/faculty-handbook.html>

[Absence from campus](http://academicpersonnel.ucr.edu/leaves/) <http://academicpersonnel.ucr.edu/leaves/>

[https://medschool.ucr.edu/pdf/UCR\\_HSCP\\_implementing\\_procedures\\_2015.pdf](https://medschool.ucr.edu/pdf/UCR_HSCP_implementing_procedures_2015.pdf)

<http://academicpersonnel.ucr.edu/resources/conflictcommit.html> (APM 025 Procedures)

### (2) **Annual Review of Each Faculty Member's Record**

The chair should meet with each faculty member at least once a year to review the faculty member's progress in teaching, research, service, and professional competence, and to suggest ways to improve particular problem areas and thereby anticipate and correct problems before they become evident at a merit or promotion review ([APM 220-80b--pdf](#)).

- An annual review is particularly important for Assistant Professors and for others who are new to the campus or who have not been making normal progress, i.e. those who have deferred in the recent past. An annual assessment of teaching is required for each

pre-six Unit 18 Lecturer prior to reappointment. The chair might ask the faculty member to update their accomplishments in the areas of teaching, research, and service in eFilePlus, and then use that to begin the discussion. Chairs should encourage new faculty members to review the files of their colleagues as they come up for merit/promotion (even if departmental policies do not allow them to vote), so they can see what is expected for advancement in the system.

- For senior faculty who have been performing satisfactorily for years, the chair may feel that an annual review is unnecessary, and that the one preceding a merit/promotion action every two or three years is sufficient. But chairs should keep in mind the fact that high performers should not be overlooked for possible acceleration opportunities.
- In large departments, the task of performing annual reviews may have to be shared with a vice chair or a senior member of the faculty.

### (3) **Peer Teaching Evaluation/Teaching Committee**

The evaluation of teaching effectiveness includes not only evaluation by students, but also evaluation by others competent to comment. Some department chairs delegate peer evaluation to a departmental teaching committee; others appoint one or two senior faculty members to conduct the assessment of teaching/teaching materials. As mentioned previously, there is also a need to perform an annual review of the teaching effectiveness of Unit 18 Lecturers. The evaluation process should include attendance of the reviewer(s) at selected lectures, labs, or discussion sessions for in-class assessments of the effectiveness of the person's style, interaction with students, appropriate level, and information content. It should also include a review of syllabi, assignments, exams, or other materials prepared by the faculty member for the class.

### (4) **Voting on Senate Faculty Personnel Actions**

[Academic Senate Bylaw 55](#) defines the rights of faculty to vote on personnel actions of their departmental Senate colleagues. Voting is confidential, and Bylaw 55 enfranchises all Senate faculty at or above the rank of the candidate (including WOS, but not emeriti faculty unless extended). The bylaw outlines the method whereby department Senate faculty enfranchised by Bylaw 55 can extend the voting privilege to Senate faculty below rank. In many departments, the vote has been extended to all non-retired Senate faculty, including those in the professor of teaching series. Review of fellow faculty files is considered part of one's service obligation.

In order to ensure that all faculty have a chance to properly participate in review of files, it is important to schedule meetings at an appropriate time/day to maximize attendance. It is wise to schedule them all before the beginning of the Fall quarter and to overschedule (they can always be cancelled if all meetings are not required).

The actual review/voting process differs among departments.

- Some departments ask all faculty to review the file and then present the dossier at a full faculty meeting (without the candidate present) and discuss the various aspects of the teaching, research and service records as they appear in the file. A confidential vote then follows. Faculty not able to attend have to submit their vote ahead of the meeting.

- Other departments have an ad hoc committee review the file and write a report that is presented to the faculty (along with the file) for their consideration.
- Joint appointees with Senate titles are allowed to vote, consistent with Bylaw 55 extensions in each department.
- Non-Senate academic members of the department are not eligible to vote on Senate members, but they can be asked for an advisory vote or their opinions, which may be included as advisory in the departmental letter.

#### **(5) Voting on Academic Federation Personnel Actions**

There must be a formal review with a vote for each personnel action. In departments with only a few such academic positions, senate faculty generally vote on merits and promotions. In departments with greater representation, a peer review committee contributes.

#### **(6) Extramural Letters**

Confidential letters from referees reviewing the candidate's qualifications for promotion to Associate Professor or full Professor, or advancement to Professor Step VI or Above Scale are only to be requested by the chair, or the chair's designee (not by the candidate). [http://academicpersonnel.ucr.edu/checklists\\_and\\_forms/](http://academicpersonnel.ucr.edu/checklists_and_forms/)

CAP will look to see if extramural reviewers:

- Are well-known/respected in their field;
- Are at a rank at least comparable to the rank being sought;
- Are cognizant of the candidate's research and its impact;
- Have a strong national/international reputation (i.e., for faculty being considered for advancement to Professor Step VI or Above Scale).

#### **(7) Avoiding Conflict of Interest in Selecting Extramural Referees**

The APM stipulates that the candidate should submit a list of potential extramural reviewers to the chair, and that the chair should add other appropriate names (either from their own knowledge of the field or in consultation with department members). The chair solicits letters from each list, usually seeking about half from the candidate's nominees and half from the chair's nominees. (The list of solicited reviewers is not made available to the candidate at any stage of the process – the reviewers are confidential).

It is most efficient to contact each extramural reviewer via e-mail and, if he/she agrees to serve as a reviewer, send an "official" letter and appropriate materials. However, it is not OK to ask whether the potential reviewer will provide a supportive or unsupportive letter during this process. The "model letters" in the Call appendices should be used in order to solicit the correct analysis. This is crucial to ensure that the letter-writer knows what is expected by UC and especially when asking for evaluation of advancement to step VI or above scale, which without context mean little to non-UC personnel.

To assure that reviewers don't have a conflict of interest, all extramural letters are expected to be 'arm's length' - i.e., the reviewer is expected to be qualified to evaluate

the work, but to have had no recent (the last 5 years) connection with the candidate, such as mentor, advisor, or collaborator.

**(8) Extramural Letters from Other UC Campuses**

Extramural letters should include those from other UC campuses if at all possible. However, for some research areas, it is acknowledged that there may not be very many UC faculty members at or above the candidate's rank.

**(9) Extramural Letters for Academic Federation Members**

The list of appropriate referees is assembled in the same way for Academic Federation as for Senate members

**(10) The Departmental Letter**

The departmental letter, drafted by the chair or a designee, is an evaluation of a faculty member's record as presented in the file. It reflects the views of the eligible voting Senate faculty in the department, not just those of the chair or the ad hoc committee, if one is used. It discusses whether the candidate meets/exceeds departmental standards and expectations with regard to teaching, research/creative activity, and service (university and public) plus professional competency where appropriate (e.g. clinical medicine). The letter should include the proposed rank or step change and the period of review, so that it will be absolutely clear what was presented to the faculty for a vote. The vote tally must also be included -- i.e., the number of yes, no or abstention votes, as well as any reasons expressed for the no or abstention votes. The letter should contain no names or other identifiers associated with specific faculty or external reviewers (the latter can be referred to as Letter or Reviewer A, B, or C, etc.)

**(11) Chair Disagrees with Faculty Vote/Opinion**

Regardless of whether the chair agrees with the opinions of the faculty concerning the quality or significance of the teaching, research, or service of a candidate being considered for merit/promotion, he/she is obligated to construct the departmental letter to reflect the department's views. However, the chair may also write a separate confidential letter explaining their differing viewpoint. This letter is confidential in the sense that it is not made available to either the voting faculty or the candidate before it goes forward -- although after the administrative decision on the action has been completed, the candidate (but not the voting faculty), would receive the chair's confidential letter, in redacted form if necessary. [APM 160-20-c \(1\) \(pdf\)](#).

**(12) Reviewing Departmental Letter with the Candidate**

Departments currently handle the review of the letter with the candidate in different ways, but ideally this would be an occasion for the chair to either congratulate the candidate (without assuming any particular outcome of the formal review) or to discuss areas and strategies for improvement ahead of the outcome. If the outcome may be negative, what better way to get a few month's head start on turning things around!

- The candidate is allowed to request correction of facts that he/she considers to be inaccurately stated in the letter.
- If there are disagreements about other aspects of the document (e.g., emphasis), the

candidate may write a confidential “rebuttal” letter explaining their different point of view. This letter, may be transmitted at the option of the candidate to the chair, the dean, or the Vice Provost for Academic Personnel. It will become part of the candidate’s file.

**(13) Reviewing Faculty With Joint Appointments**

When a candidate has appointments in two or more departments, each department is responsible for reviewing him/her for merit/promotion, even though only the primary (home) department has the responsibility of preparing the file. In some instances, the joint appointee may only teach in the secondary department, (i.e., has little or no research or service there). Nonetheless, the faculty in the secondary department should review the file prepared by the home department and vote on the action.

**(14) Counseling Faculty After A Negative Appraisal**

Assistant Professors are usually evaluated in their 5th year (the file will contain 4 years of activities) to determine if they are on track for promotion. The premise is that, if there are deficiencies in the record, there will be time to ‘correct’ them before the person is considered for tenure. The department, dean, CAP and the Vice Provost for Academic Personnel each review the file. In cases where deficiencies are mentioned, the chair should review all of the recommendations with the faculty member to be sure he/she understands what corrective measures need to be taken to improve performance and the need to develop a timeframe for instituting changes. If the teaching is not up to department standards, the person may need a mentor or a referral to resources described earlier. If the research needs bolstering, the chair should discuss with the faculty member how best to solve the problem(s) - options might include some release time from service/teaching, temporary technical and/or financial research assistance, etc. In many instances, the candidate has two years to make appropriate changes, but in some instances the results of an appraisal may come just a year before a candidate prepares their promotion packet, so in this instance the time for correction will be very short. This highlights the importance of early and regular discussions with young faculty.

**(15) Counseling Faculty Before Promotion to Associate Rank/Tenure Review**

Annual Review by the department chair and the 5th year Appraisal should both provide feedback to candidates as to whether they are on track for promotion. It is imperative that a candidate have a clear idea what the department’s standards and expectations are with regard to quantity and quality of teaching, research and service activity, e.g.

- the expected minimum teaching evaluation scores;
- the number/type/quality of publications expected for the review period;
- any expectation in regard to major financial support for, and therefore the sustainability of, the research program;
- the expectation that at least one major publication, i.e., a book, be published and reviewed before tenure, or that a major creative project be exhibited/reviewed and where (major gallery etc);
- the expectation that a candidate has participated in some level of service for the university, and for public or professional groups.

In addition, it should be clear by the time a candidate comes up for tenure that their research constitutes a cohesive body of related works (a program, rather than isolated papers), that a candidate is an independent researcher (i.e., their contributions to multi-authored papers are distinct and identifiable), and that he/she is a/the principal author (whether first or last) on a substantial proportion of the publications during the review period.

While it is advisable that faculty at the Assistant rank keep their service commitments low, some university service is expected, mostly at the department, college or Graduate Group level. It is advantageous for faculty to start to participate in professional activities like reviewing manuscripts for journals, volunteering for professional society committees, and sitting on government committees when asked, because researchers outside the university should start to associate the candidate's name with a specific research field. Candidates should be made aware that they will need 5-8 extramural ('arm's length') letters of support when they are considered for promotion.

If a chair perceives that there are deficiencies in the teaching, research, service, or professional competence records, he/she should advise the candidate as early as possible about ways to correct the deficit.

**(16) Counseling Faculty After Denial of a Merit or Promotion**

If, before submission of a file, the chair believes that the action is not likely to succeed, the most prudent advice to the faculty member may be to request a deferral if tenured. However, the candidate has the right to go forward even in the face of a negative department vote. Regardless, if the action is denied, the chair should discuss the decision with the candidate with respect to next steps. If it is a negative tenure decision, which occurs at the end of the 7th year, the candidate can appeal. If unsuccessful, the 8th year is the terminal year. A useful technique to help with productivity is having the individual develop a writing partnership or group, in which all members help to motivate and critique writing, be the writing part of a book project or journal articles. The premise is that they can keep each other on track with the pressure to produce a certain amount to present to the partner or group by the next meeting. Similar groups can help with grant applications, from maturation of ideas to clarity of writing.

**(17) Counseling Faculty with Multiple Deferrals and Quinquennials.**

Faculty who request successive deferrals may need collegial advice from the chair on how to restore their enthusiasm and effectiveness in teaching and/or research. The Vice Provost for Academic Personnel offers a workshop for those having trouble making the jump to Full professor, which covers aspects of re-invigoration if that is the problem. In other cases, the faculty member may have sacrificed their own advancement for the good of the department or a program or new initiative. In this case, chairs should consider ways to repay the time that may enable the faculty member to get back on the ladder.



All Senate faculty must be reviewed at least once every five years, regardless of whether they want to be put forward for merit or promotion ([APM 200 \(pdf\)](#)). This is a full review that may result in a satisfactory or unsatisfactory outcome. If unsatisfactory, it is crucial that the chair meet with the faculty member to discuss what can be done. A memo to this effect will come forward from the Vice Provost. This memo requests a plan be developed that will result in a positive personnel action on the next review occasion (usually a merit). More than one unsatisfactory rating in quinquennial reviews will initiate dismissal for incompetence [APM 075 \(pdf\)](#).

#### (18) **Refusal of a Faculty Member to Supply Materials.**

In those extremely rare instances where a faculty member has refused to put together materials for a mandatory review, then the file should be assembled with materials readily available to support staff (e.g. teaching evaluations and list of departmental committees) and processes described here [http://academicpersonnel.ucr.edu/checklists\\_and\\_forms/academic\\_reviews/Attachment%20B1-Procedural%20Safeguard%20Statement%20Part.pdf](http://academicpersonnel.ucr.edu/checklists_and_forms/academic_reviews/Attachment%20B1-Procedural%20Safeguard%20Statement%20Part.pdf) should be followed for the procedural safeguard.

Note: Because Step V and above in the full title rank (e.g., Professor, Professor In Residence, Professor of Clinical X) have indefinite periods at which the faculty member can stay without being considered for advancement, but these faculty members are still subject to a five year review and a Satisfactory quinquennial is expected.

## **4. FACULTY RETENTION**

### **a. Chair's Responsibilities**

It is the responsibility of the chair to ensure that faculty are:

- appointed at the appropriate rank and step, consistent with their academic accomplishments and advanced according to their accomplishments thereafter.
- assigned teaching according to equitable department practice.
- assigned space according to their specific research needs/size of group/funding level
- integrated into the department community.

Even when these basic conditions are met by the department, difficulties arise, and faculty are sometimes unable to meet the department's expectations. "Retention" refers both to efforts to help faculty meet departmental/university expectations with regard to teaching, research and service when there have been problems, and also to efforts made to keep excellent faculty from leaving the university. With regard to the retention of excellent faculty, it is the responsibility of the chair to be proactive in making sure that their value is appropriately recognized and rewarded. One way to do this is to ensure that faculty are considered for accelerated advancement when their record supports it. Another is to nominate department members for campus, professional society, and/or national/international awards (see below). A third is to publicize information about department members to the department/school, dean, campus when these members have:

- won prizes and awards;
- been elected/appointed to professional society office/editorial boards, etc.;
- received large important grants/contracts;
- made important breakthroughs in research, etc.; or,
- been selected to participate in important review groups.

## b. Best Practices

### (1) Nominating Department Members for Awards

It is important to nominate your faculty for college and campus awards: Examples for campus-wide awards include, but are not limited to, Innovative Teaching, Junior Faculty Excellence in Teaching, Distinguished teaching, Distinguished service, Graduate mentoring, Undergraduate Research mentoring, and Faculty Research Lecturer Awards. In addition, numerous campus divisions, schools and colleges sponsor teaching awards; and many professional societies grant awards in a variety of areas. Because a competitive nomination packet requires considerable thought and preparation, it is a good practice to have a list of potential awards, the approximate date of the “call” for nominations and the approximate deadline (information from previous years), and the criteria. Some departments have an awards committee; in others, the nomination process is ad hoc. If possible, the chair should develop a mechanism for identifying department members who would be appropriate for specific awards and facilitate putting together these nominations. Beyond campus awards, there are two Faculty Assistants to the Vice Provost whose job it is to identify national and international awards and appropriate nominating processes for those awards. In 2018-19, they are [Michael.Pirrung@ucr.edu](mailto:Michael.Pirrung@ucr.edu) in Chemistry and [John.Ganim@ucr.edu](mailto:John.Ganim@ucr.edu) in English.

### (2) Counseling Faculty With Low Teaching Evaluations

If a faculty member is having difficulty with teaching assignments, as indicated by teaching evaluations or student/faculty complaints, it is the responsibility of the chair to discuss with the faculty member and to make appropriate suggestions as to how he/she can improve either the substantive aspects of the teaching or its presentation. Two well-used methods for approaching teaching problems are the use of:

- Mentors: Suggest that the faculty member work with a mentor or a senior, experienced member of the department to reorganize their lectures, change the content or emphasis, change the presentation of the information, improve the quality of syllabi, audiovisuals, or exams, etc.
- Using the Teaching Resources described above.

### (3) Counseling Faculty with Low Research Productivity

When a faculty member is in a research “slow period”, it may be due to any number of problems including:

- unfunded grant applications.
- difficulty getting papers or books either written (“writer’s block”) or published (reviewer’s criticisms).
- difficulty getting creative projects exhibited/reviewed.
- difficulties with lab personnel (staff or students).

- difficulty in gathering or analyzing data.
- inappropriate time management or department assignments (i.e. over-load).

The faculty member may only need encouragement to break out of this slow period, or he/she may need more concrete help, such as new resources, time, or technical assistance. A referral to the Office of Research for information on funding sources or names of colleagues knowledgeable in that research area who could provide practical assistance, collaborations, or advice might give some new direction to the research.

Sometimes lack of research productivity is due to a departmental assignment over-load (e.g. clinical duties, service, and teaching). Thus, the chair should periodically reevaluate the workload, to determine if it is negatively impacting the faculty member's ability to accomplish their research goals. Reevaluation may lead to the recognition that the department needs to redistribute the workload among other faculty. That said, it is still important to take an egalitarian and transparent approach to the assignment of both teaching and service duties and, while it is appropriate to give someone a short break, a reduced load should not become the norm.

When the problem appears to be intractable and long-term (e.g., a faculty member has had a period of low research productivity for a significant period of time, and it has resulted in successive denials or deferrals of merit/promotion), the chair has the authority to increase the faculty member's teaching assignments to compensate for the time not being used for productive research.

If the faculty member is an excellent teacher and does not foresee improving their research, the chair should suggest that he/she change from the Professorial series to the Lecturer with SOE or Senior Lecturer with SOE series. Both are Senate titles with heavy teaching responsibilities, but a reduced expectation in scholarly work. In the School of Medicine, it may be appropriate for faculty to move from the Professor or Professor In Residence series to the Professor of Clinical X or Health Sciences Clinical series where there is less emphasis on research and more on clinical/instructional responsibilities.

#### **(4) Counseling Faculty with Low Service Records**

Both university and public/professional service are required for advancement in the university. Faculty have been denied promotion and merits for lack of significant service or service not commensurate with rank and step. Although the university expects limited service from faculty at the Assistant rank, it does expect that, with promotion to Associate rank, faculty will start to seriously participate in the governance of the university, and begin receiving appointments to professional society committees, government panels, editorial boards, etc. It is especially important that faculty being considered for Professor Step VI and above have evidence not only of service, but also of leadership in university and public service committees. When faculty receive a warning from review committees that service is inadequate, or that insufficient service is the reason for a merit/promotion denial, the chair should advise the faculty member to take the criticism seriously and discuss with him/her ways to remedy the situation,

starting with department, college, and campus committees which take volunteers. The Academic Senate sends out a notice each year asking for volunteers for Senate committees.

#### (5) **Matching Offers from Other Universities**

When a valued faculty member is considering leaving the department for employment at another institution, the chair may want to encourage him/her to stay. The chair should discuss the outside offer with the faculty member to discern the reasons for their wanting to leave and what it would take for him/her to remain at UCR. The chair should then meet with the dean to discuss possibilities. An essential role of the chair in retentions is to make sure the faculty member realizes how valued and appreciated he/she is in the department and on campus by proactively ensuring that he/she is rewarded for excellence, and also to signal the importance of the retention to the dean when they have received outside offers. It may be that a commitment to recruit others to UCR would be a most welcome solution to retention, but obviously one more difficult for a relatively small faculty. A written outside offer makes it easier to justify any additional offscale, but by the time a written offer has been received, often the faculty member has emotionally committed to leaving. The grass always looks greener! Remember also, that it is equally as important to signal the dean if there are reasons not to be terribly aggressive with a retention.

### **5. RELATIONSHIPS WITH FELLOW FACULTY**

#### a. **Chair's Responsibilities** ([APM 245](#), Appendix A) (*pdf*)

When becoming a chair, one's relationships with faculty colleagues take on a different flavor since there is now a power/responsibility differential. It is best to remember why you agreed to take the job, even if the motivation was so that someone else didn't. Now it is yours, try to do your best to embrace the office.

- In the performance of duties, the chair is expected to seek the advice of faculty colleagues in a systematic way and to provide for the conduct of department affairs in an orderly fashion through department meetings and the appointment of appropriate committees.
- The chair should be receptive to questions, complaints, and suggestions from members of the department, including faculty, staff, and students, and should take appropriate action on them.

#### b. **Best Practices**

##### (1) **Maintaining Good Faculty Relationships**

Maintaining good relationships with the faculty requires the chair to be open and fair, to keep the faculty informed, to listen to their ideas and concerns about department issues, and to act on them in a timely manner. The most effective way to do this is to encourage their participation in departmental meetings where problems, except for confidential

issues, can be openly discussed. Remember to include all faculty in as many matters as possible. Those in the Professors of Teaching Series are members of the Senate and should be voting on all department matters, including personnel reviews if consistent with your bylaw 55 voting.

A thank you note or telephone message to faculty who have accomplished some specific task for the department is always a good policy; additionally, a public thank you (e.g., at a departmental meeting or in a departmental newsletter, etc.) is another way to show the department's appreciation.

Remember not to respond to an email when annoyed/angry. Give the issue time to settle and for you to gain perspective. Remember that emails are discoverable during investigations and once sent, you have no idea where they may end up! Emails should, in general, be very carefully composed so that their meaning is clear. It takes time in the short term, but saves time in the long term.

Three colleges (CHASS, SOM and BCOE) are piloting equity advisors. The role of the equity advisors is to advise on all departmental climate-related concerns and improvement strategies, recruitment/retention assistance, advisorial relations, etc. that have to do with diversity, equity and inclusion. Also, the Ombuds is available to offer confidential advice <http://ombudsperson.ucr.edu/> and the Vice Provost for Administrative resolution offers both informal and formal interventions for conflict resolution and information about what constitutes a violation of the faculty code of conduct [https://academicpersonnel.ucr.edu/department\\_chair\\_info/2017-2018/John%20Andersen%20-%20PP%20for%20Fall%20Forum2017.pdf](https://academicpersonnel.ucr.edu/department_chair_info/2017-2018/John%20Andersen%20-%20PP%20for%20Fall%20Forum2017.pdf).

## **(2) Departmental Meetings**

The chair usually schedules regular meetings of the faculty to discuss departmental business related to teaching, research, college/school issues, newly proposed policies on which there will be a future vote, personnel matters, budget issues, etc. The frequency of the meetings depends on the size of the department and the number of business items to be discussed, but in many departments they are scheduled once a month. If only part of the meeting is to be devoted to personnel matters, it is best to schedule those discussions at the end of the regular meeting and excuse those department members who are not involved in the actions. Minutes of the open meeting should be kept and made available to the faculty for additions or corrections by the next meeting. Because discussion of individual personnel actions is confidential, no minutes are taken except in the sense that the resultant departmental letter is a balanced summary of the discussion.

## **(3) Departmental Committees**

Depending on size, many departments have both 'standing' and 'ad hoc' committees through which they organize departmental business. Some of these are advisory to the chair who has decision authority (i.e. course assignments, staff personnel, budget, facilities/instrumentation, space, etc.). Committee reports can be presented and discussed at department meetings. This system allows the participation of all faculty. In

selecting faculty for committee assignments, the chair is well advised to:

- try to include all academic appointees in the operation of the department, where appropriate.
- select not only from those who volunteer, but also from those who have special expertise, interest, or experience in the area.
- avoid letting individuals become entrenched on a committee for many years by having a set time limit for service on each committee. This ensures that committees will have a variety of input and continuous renewal, as well as some yearly carryover of experience.
- start the junior faculty in their university service by having them serve on one or two committees at the departmental level.

#### (4) **Sabbaticals, Stop-the-Clocks and associated leaves**

The subject of leaves is extensive and dealt with in some detail here :

<http://academicpersonnel.ucr.edu/leaves/>.

- **Sabbaticals:** “at the University of California sabbatical leaves of absence are not and have not been granted as a matter of individual right; rather they are and have been accorded to qualified members of the academic staff to enable them to enhance their service to the University and thereby increase its distinction.” ([APM 740, Appendix A](#)”). A Chair’s job is to a) make sure there is a reasonable plan that will likely result in the faculty member “enhancing their service to the University and thereby increasing its distinction”. b) ensure equitable treatment of faculty in allocation of sabbatical leave, and c) ensure that sabbatical leaves do not interfere with the teaching mission of the department, particularly the time taken for students to graduate.
- **Stop-the-clocks.** Extension of the Tenure Clock during the probationary period may occur for a few reasons. The most common is for childbearing/childrearing, but there can also be stop-the-clocks for catastrophic life events or unforeseen major delays in the provision of research space/equipment (see link above). To cover only the most frequent reason in the current document, to be eligible to stop the clock, an appointee at the Assistant level must be responsible for 50 percent or more of the care of a child. The birth or placement of one or more children at the same time constitutes a single event of birth or placement. An appointee is eligible to stop the clock even if the appointee does not take a formal leave or have a modification of duties.
- **Childbearing/childrearing leave.** A childbearing faculty member (birth mother) in eligible titles may be granted a childbearing leave and active service modified duties (ASMD) for a total of two quarters with pay ([APM 760-28](#)). Any ladder-rank faculty member declaring childrearing responsibilities, including adoption, as specified in [APM 760](#) may be granted one quarter with pay for one of the following: (1) parental leave, (2) active service modified duties (ASMD) or (3) or a combination of 1 & 2. The Chair’s job is to make sure that faculty feel free to avail themselves of these leaves. Sometimes, junior faculty, and particularly women faculty, feel it will look bad if they take the leaves they are entitled to.

#### (5) **Rewarding Excellence in Teaching, Research, or Service**

If a faculty member is extremely good at teaching and does a consistently excellent job over the years, he/she should be nominated for a teaching award. As indicated above,

there are numerous such awards on campus. Some are college-based; others are campus-wide. They all have different requirements for nomination, but many ask for letters of support from the department chair, faculty, and/or from students. The chair should be proactive in nominating excellent teachers. For research (apart from the Faculty Research lecturer) most campus awards are based on a proposal and small grants are available from the Academic Senate and Research and Economic Development <https://research.ucr.edu/ord/funding/opportunities.aspx>. Where requested, all applications will do better with strong letters of endorsement. The same can be said for service recognition. If a faculty member has an outstanding service record, he/she may be eligible for college-based and/or campus-wide recognition awards. The chair's strong support for an outstanding departmental member can make a significant contribution in the award selection process. A strong Chair's letter of support is also often important for extramural awards and we really want to see our incredible faculty duly recognized by such awards.

#### **(6) Rewarding Outstanding Faculty by Accelerated Advancement**

To reward outstanding faculty for excellence in teaching, research and service, the chair can suggest an accelerated merit or promotion. It is important to support only those who are truly outstanding and who have made significant contributions because those reviewing (Dean, CAP, VPAP, PEVC) the file cannot use a departmental recommendation from departments that indiscriminately put everyone forward for acceleration and make no distinction between the whole group of faculty and those who are truly outstanding. i.e. the department effectively loses the ability to support their candidate.

#### **(7) Using the Career Review (CR) Process**

When there is a faculty member whose rank and/or step appears to be inappropriately low, i.e., the candidate's rank/step are not commensurate with their record of research, teaching, professional activity and service, then a CR may be in order. The purpose of the CR is to recalibrate rank and step, which may be low for a number of reasons – CRs are not intended simply to raise someone's salary, but to place them on the "ladder" at a level consistent with their academic record/accomplishments. A CR can be requested by a tenured/SOE candidate (not the chair) in any cycle, but there are limits on intervals, plus, if relatively new to campus, appointment usually made a determination of the appropriate rank and step.

#### **(8) Dealing With "Non-Collegial" Faculty**

Faculty members who continually exhibit "non-collegial" behavior toward their colleagues (e.g., showing disrespect, rudeness, physical or verbal abuse, refusal to cooperate, refusal to participate in department meetings or committee work, or refusal to work with other faculty members on teaching assignments, etc.) create a negative and tension-filled atmosphere in the department which can be disruptive to normal professional relationships and the department's mission. This behavior may be exhibited toward other faculty and/or directed at staff and students.

A number of departments have avoided confronting such problems and have allowed them to go uncorrected for long periods of time, to the detriment of the department. One reason may have been that the chairs have been concerned that setting limits on the behavior of a “non-collegial” faculty member might be viewed as an abridgement of the person’s academic freedom. However, academic freedom does not include abusive behavior or neglect of the faculty member’s campus/professional responsibilities.

The current view is that such behavior may violate both the campus Principles of Community and the Faculty Code of Conduct. Because such behavior can become so disruptive to the academic environment of a department, it is prudent to take corrective action as soon as it is identified as a problem. The chair should discuss the behavior with the dean to explore options for rectifying the problem. All parties may also consider confidential discussion with the Ombuds <http://administrativeresolution.ucr.edu/ombudsperson.html> who will help determine what further steps to take. There is also a campus website <http://help.ucr.edu/> that directs all on campus to appropriate resources to report/discuss discrimination, harassment, sexual violence, and other crimes, and to lodge a whistleblower report.

## Resources

[Principles of Community](https://chancellor.ucr.edu/documents/community.pdf) <https://chancellor.ucr.edu/documents/community.pdf>

[Faculty Code of Conduct](#) (APM 015) (*pdf*)

## **6. RELATIONSHIPS WITH STUDENTS**

### a. **Chair’s Responsibilities** ([APM 245](#), Appendix A) (*pdf*)

- The chair is expected to seek student advice on matters of concern to students enrolled in the department’s programs.
- The chair should be receptive to questions, complaints, and suggestions from members of the department, both faculty and staff personnel, and from students, and should take appropriate action on them.
- The chair should make arrangements and assignments of duty for the counseling of students and for the training and supervision of Teaching Assistants and other student teachers and teacher aides.

### b. **Best Practices**

#### (1) **Chair’s Interactions with Departmental Students**

In some majors/departments, undergraduate or graduate students may be organized with elected officers who interact with the department on their student members’ behalf when there are problems. Because the chair represents the authority of the department to the students, it is important that he/she listens to student problems, complaints, and concerns, whether they come from student organizations or individual students. Since psychological and other health problems are often related to academic problems,



students should be reminded that there are services available in those areas that may be helpful. <http://vcsa.ucr.edu/health/index.html>

- It is incumbent upon the chair to see that appropriate faculty/administrators are made aware of problems reported by students and that solutions are sought in a timely manner.

The Office of Vice Chancellor for Student Affairs <http://vcsa.ucr.edu/academics/index.html> or Graduate Division <http://graduate.ucr.edu/> can direct you to appropriate channels for dealing with a variety of other student-related issues that we cannot attempt to cover here. Note that the Graduate Division is also responsible for postdocs.

### **(2) Attaining a Diverse Student Population**

In addition to diversity in the faculty and staff, university policy seeks to encourage a diverse student population, both undergraduate and graduate. This means not only diversity in admission of new students, but also in the retention of advanced students. It is sometimes difficult, however, for individual departments to affect the diversity of their incoming students: graduate admissions are handled, in many instances, by Graduate Groups rather than by departments; and undergraduate admissions are handled on a campus-wide basis, with departments not having much input into the selection of students who will be their majors. Be that as it may, the department can influence whether advanced students decide to continue in the department and, indeed, whether they will continue in the university. The atmosphere of the department is one of the key elements in the successful retention of students -- i.e., whether it is welcoming, helpful, and supportive, particularly for students from groups underrepresented because of race, ethnicity, gender or sexual orientation. The university's policy is based on the premise that diversity of experience is reflected in intellectual diversity and academic innovation. The chair sets the tone for the department by their actions. The chair's leadership in projecting a welcoming attitude to all students helps to develop faculty and staff support for the university's diversity policy. Whether a faculty member expresses a welcoming and caring attitude toward all students should be taken into account when selecting faculty and staff academic advisors for the department.

### **(3) Selecting Academic Advisors**

Many departments have faculty undergraduate advisors, as well as graduate advisors (sometimes the latter work with a Graduate Group, rather than a department), to assist students in their academic progress, meeting department and degree requirements, and meeting requirements for graduate/professional schools and specific careers. In addition, some departments hire staff advisors to monitor and advise students about course requirements in their academic programs. The faculty and staff advisors who are selected by their department chair should not only be knowledgeable of regulations and course and major requirements, but they should also project a positive image of the department and have skills that help to foster pleasant interactions with students. A policy of "everyone must take a turn as undergraduate/graduate advisor" doesn't take into account the fact that some faculty are more skillful and effective as advisors than

others. That said, it is important not to overload the same few faculty members who consistently perform all service functions well. Instead, it is important to monitor efficacy in all service functions and to make comment on the quality of service part of routine input for merits and promotion.

#### **(4) Training Teaching Assistants (TAs)**

Since TAs are part of the department's teaching force, it is the responsibility of the chair to see that they are well trained and effective. Because TA-ing is a learning experience, all graduate students selected to be TAs for the department should undergo training before assisting with a class to ensure that the quality of instruction is high -- i.e., that they have a good knowledge base and are using appropriate techniques to convey information and interact with their students. TA training should also include discussion of appropriate and inappropriate interactions between the TA and their students (the latter would include romantic relationships and sexual harassment).

Also, TAs project an image of the department to undergraduate students, and the department should want that image to be one of competence and quality. For the same reason, after initial training, the TAs should be effectively supervised by the Instructors of Record during the courses to ensure that high quality is maintained throughout the term. All complaints from students about their TAs should be taken seriously. All such charges should be discussed with the Instructor of Record, investigated immediately, and if there is a need, appropriate action taken to correct the problem(s). Because the TAs are represented by a union and therefore covered by a contract, the chair needs to ensure that all actions taken by the department, including teaching assignments and actions regarding employment conditions (i.e., corrective action, termination, etc.) are consistent with the terms of the systemwide contract

<https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/index.html>. The Graduate Division runs initial TA orientation/training <http://tadp.ucr.edu/> with 2 sessions, scheduled at the beginning of both the Fall and Winter quarters. There is also a University Teaching certificate Program available for graduate students <http://tadp.ucr.edu/>.

#### **(5) Student Misconduct and Discipline**

Misconduct for which students are subject to discipline (e.g. plagiarism, cheating, sexual or other physical assault, harassment, forgery, use or sale of drugs or alcohol, alteration of university documents, forgery and theft, etc.) is subject to sanctions ranging from a warning to dismissal. <https://conduct.ucr.edu/>

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