



Chairs 201

The Chair's Roles and Responsibilities in the Merit
and Promotion Process

Presentation mostly based on checklist found on Pages 75 and 76 of current CALL

Chair 201 sessions

- October 5th: “All things bylaw 55”, Cherysa Cortez
- November 5th: “The Chairs' roles and responsibilities in the M/P process”, VPAP
- December 4th: “Joint appointments and joint searches”, VPAP and Assoc Provost
- January 5th: “Recruitment best practices”, TBA
- February 5th: “Leaves (deep-dive)”, Sara Umali
- March 4th: “Stalled Faculty” Workshop discussion
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The job of the Chair is to nurture careers and ensure a fair and equitable review during evaluations

Both can be challenging, but particularly when difficult personalities are involved



Timelines in Review

It is extremely important that the Chair instill in each faculty member a sense of responsibility for preparing accurate files and meeting all deadlines.

It is the faculty member's responsibility to complete the file and NOT the responsibility of staff in the department/dean's office/service center. Staff are there to assist to a degree according to local practice.

The Chair, in turn, must exercise strong leadership in managing the file evaluation and submission to the Dean within the agreed upon time frames.



Interacting with faculty

New Faculty: Ensure that new faculty understand the review process at UC. This is best achieved by

- a) Encouraging them to attend the new faculty orientation produced by APO (materials on APO webpage for those who couldn't attend)

http://academicpersonnel.ucr.edu/new_faculty_orientation/fall2015/Presentations/Walker,%20Ameae-NFO2015-PPT.pdf

also Junior faculty workshop

http://academicpersonnel.ucr.edu/workshops/junior_faculty_workshop/Walker,%20Ameae-Junior%20Faculty%20Workshop.pdf

- b) Encouraging them to ask questions about the process
- c) Having all faculty present at personnel meetings, whether or not the vote on the cases being discussed has been extended to all groups

Seasoned Faculty: Schedule a meeting with each faculty member at a time of year that would allow you to advise about their next personnel move. Some may be doing really well and want to go up early for a promotion and therefore, unexpectedly on the basis of normal schedules, need outside letters.

In non-7th year promotion cases, Department Chair should help to assess readiness, but this is ultimately the candidate's choice. It is most helpful if this is done with an updated CV in hand (**reduces miscommunication**).

All Faculty: Send a memo to all faculty reminding them that they can request to go up early for a merit or promotion. Discuss with faculty the specific requirements and pros and cons of going for an acceleration (**Discuss**). Schedule a meeting with all who have upcoming reviews to discuss the review process, to answer any questions, and inform candidate of the entire process (it is amazing how many do not understand the process).



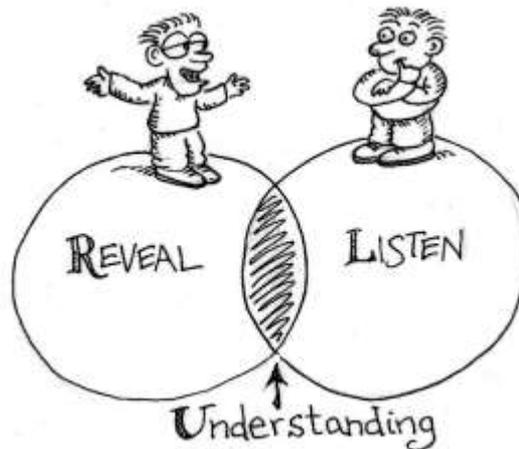
Making sure faculty are cognizant of appropriate sections of APM

Inform candidate of APM 210-1, **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series**

APM 220-80 , **Recommendations and Review: General Procedures**

APM 160, **Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of** and if applicable,

APM 133, **Limitation on Total Period of Service with Certain Academic Titles**



Extramural letters

- 1) Remind candidate to suggest names for extramural reviewers and give a reasonable time frame for them to get back to you.
- 2) Review text of solicitation letter and for those up for tenure, remember to include an explanation of how stop the clock years should be viewed – do not explain what the stop the clock years were for!
- 3) Notify candidate that s/he may provide in writing (to be included in the file) names (and reasons) of up to 3 persons who they would prefer not be asked to write a letter on the basis that they may not provide objective evaluations.
- 4) **Discuss** materials to be sent to extramural reviewers – CV, reprints, teaching evals, self-statement. It is up to candidate.
- 5) Encourage candidate to include a self-statement in the file that **contextualizes**, rather than merely enumerates, the items in the file. The self-statement should address research/creative activity, teaching and service. As a reminder, if the self-statement sent to the extramural reviewers differs from the self statement reviewed by the department, both self-statements must be included in the file.

6) Solicit extramural letters and stay on top of reminders, the number received, and the balance between those from reviewers selected by department versus candidate. If necessary, solicit from additional reviewers. If, after a good effort, insufficient letters have been received, either request an extension for receipt from the VPAP or, if you feel this would be fruitless, record the attempts in the form of a memo to be placed in the file.



Working with the faculty member on the file

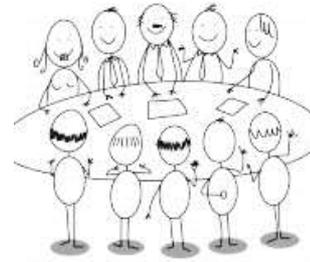
While the accuracy of the file and most decisions as to content are the responsibility of the candidate, a chair can be very helpful – [you can be added as a data entry assistant](#)

- 1) A fresh eye can catch errors
- 2) A chair can suggest ways to present the content. Was it an honor to be invited, how many attendees at the conference, explanation of committee duties, was it really time-consuming? etc etc – i.e. to **provide context**.
- 3) Anything missing that the department might have in mind to comment on?
- 4) A chair can help with the self-statement. Does it say how the work is important or novel, how it fits into the big picture, does it blow the candidate's horn without losing perspective?
- 5) Are there inappropriate personal details included? Ultimately the self statement belongs to the candidate, but you can advise.
- 6) If others have added material to the file (e.g. teaching evaluations), advise the candidate of his/her duty to inspect the complete file for accuracy.
- 7) Ensure that any documents in a foreign language include a translation in the file
- 8) Ensure that all publications etc are uploaded in a way that allows their review

- 9) Have candidate complete top portion of procedural safeguard **certifying accuracy** of the information in the file.
- 10) Give candidate redacted extramural letters and the opportunity to include a written statement in response to, or commenting on, these. Give a reasonable amount of time. The statement must be received 5 days prior to the department meeting.
- 11) Upon receipt of candidate's statement (if any), notify faculty that the file is ready for review.
- 12) Assure (by nagging!) department faculty have reviewed the file before the department meeting. Participation in the academic personnel process is a normal service expectation and part of UC shared governance.
- 13) Remind the faculty that absentee ballots are only OK under extenuating circumstances and that they must be received prior to department meeting.



Department meeting



- 1) Remind faculty that if they have an apparent conflict of interest, they should recuse themselves.
- 2) Remind faculty that a breach of confidentiality is a breach of the faculty code of conduct.
- 3) Do your best to create an atmosphere of respect in which everyone feels free to express their opinions on the merits of the case.
- 4) Lead the department meeting, ensuring the departmental review is both **fair** to the candidate and **rigorous** in maintaining University standards (**Discuss**).
- 5) Ensure discussion does not include reference to anything not present in the file (**Discuss**), with the exception of comments accompanying absentee ballots.
- 6) Ensure equal opportunity in the discussion such that by the end of the meeting, you will be able to fairly represent the opinion of the faculty, including **proportional** minority opinions, when drafting the department letter.
- 7) Encourage discussion that is **evaluative and analytical** in nature, rather than enumerative
- 8) It is often a good idea to ask for preliminary approval of phrases to be included in the department letter.
- 9) If an appointment, please vote in such a way as to ensure a distinction between a no vote on candidate A versus a preference for candidate B.
- 10) If a whole step acceleration or an early tenure file, vote on lesser possibilities as well.

Department letter

- 1) Note the department meeting date on the Summary Section of the department letter.
- 3) List exact votes, specifying the number eligible to vote, the number in favor, opposed, abstaining, and unavailable.
- 4) Include all rank/steps voted on by the department, including off-scales and noting accelerations
- 5) Identifiers on extramural letters and student letters should be limited to numerical or alphabetical designations.
- 6) Merit files (other than advancement to Professor VI, advancement to and within Professor Above-Scale) are limited to a maximum of two pages (excluding cover page).

- 7) Reports of ad hoc committees, internal to the department, are regarded as internal working documents and may not be forwarded with the file, although they may be used as the backbone for the **draft** department letter.
- 8) Describe the **significance/importance and impact** of the research, teaching, and service contributions. **Contextualize for an educated, but lay audience.**
- 9) It is understood that there is no entirely useful objective criterion for the quality of the work and so it is up to the department to make the case. You may use impact factors and citations and *h* values since those are available in public resources. References to “top-tier” should include information to support such a claim and be more specific (in cover sheet).
- 10) Provide a due date for receipt of any comments on the draft.
- 11) To the extent possible, incorporate department faculty comments reflecting the discussion into the finalized department letter. Not all comments will be appropriate if they distort the **balance** of comments made during the meeting. Explain to those who made them and ask others for a second opinion about balance.
- 12) Draft the department letter and make the **draft** available for departmental review. Remind faculty that it is a department letter and not a chair’s letter. How the letter is made available varies from department to department, but there are several confidential electronic mechanisms available to increase faculty participation. If using a hard copy approach, it is a good idea to have a check list where people indicate that they have read the letter. Send out reminders!
- 13) Notify departmental faculty that the finalized department letter is ready for review.
- 14) Allow 5 working days for submission of any minority reports. The candidate will be able to review the unredacted finalized letter and any minority reports AFTER the period for submission of minority reports has expired

Meeting with the Candidate after Letter is Finalized

- 1) Give a copy of the department letter (and any minority report) to the candidate and discuss the contents. **Discuss.**
- 2) Candidate completes Section II of procedural safeguard statement (Attachment B-1, the CALL).
- 3) Advise candidate of his/her right to submit a response to the department letter. Response may be addressed to the Chair, the Dean or the Vice Provost for Academic Personnel (must use attachment H of the CALL).
- 4) Inform candidate that his/her response to the departmental letter must be received within 5 business days upon receipt of the departmental letter



After Meeting With the Candidate

- 1) Chair may write (optional) a letter for inclusion in the file. **Discuss**. This is a confidential document and should be forwarded to the Dean's office, not retained in the department.
- 2) The file is routed to the Dean's office by the due dates set by the Deans

After you are informed of the Outcome of the Personnel Action

- 1) Have a meeting with the candidate to discuss the outcome: congratulate or commiserate
- 2) If commiserating, **discuss a strategy for next time** (if applicable) or make an appointment to do this once the CAP minute etc is available.

