

# Strategies and Resources to Develop a Diverse Applicant Pool

# Table of Contents

<b>Introduction</b>	<b>1</b>
<i>Letter to Faculty</i>	<b>1</b>
<b>Strategies and Best Practices</b>	<b>4</b>
<i>What Can Be Done After Proposition 209: Strategies for Increasing Faculty Diversity</i>	<b>4</b>
<i>Checklists: UCSF Best Practices for Faculty Recruitment</i>	<b>5</b>
<i>Important Guidelines for the Search Process</i>	<b>7</b>
<i>Best Practices of Academic Health Science Institutions for Recruiting Diverse Candidates</i>	<b>8</b>
<b>Resources and Tools for Recruiting Diverse Faculty</b>	<b>9</b>
<i>Organizations to Assist in Outreach</i>	<b>9</b>
<i>Applicant Data Form Request Letter</i>	<b>17</b>
<i>Guidelines for Academic Interview Questions</i>	<b>17</b>
<i>Candidate Evaluation Form</i>	<b>20</b>
<b>Policies</b>	<b>21</b>
<i>Revised APM-210 , Review and Appraisal Committee; APM-240, Deans and Provosts; and APM-245, Department Chair</i>	<b>21</b>
<b>Appendix</b>	<b>22</b>
<i>Appendix 1: University of California Diversity Statement, 2006</i>	<b>23</b>
<i>Appendix 2: University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty</i>	<b>24</b>
<i>Appendix 3a: Unconscious Bias in Faculty Recruitment</i>	<b>40</b>
<i>Appendix 3b: Unconscious Bias in Faculty Recruitment: A Literature Review</i>	<b>43</b>
<i>Appendix 4a: Academic Personnel Manual (APM) 210</i>	<b>45</b>
<i>Appendix 4b: Academic Personnel Manual (APM) 240</i>	<b>79</b>
<i>Appendix 4c: Academic Personnel Manual (APM) 245</i>	<b>88</b>
<i>Appendix 5: Guide to Campus Life Services</i>	<b>93</b>

# Introduction

## Letter to Faculty

Dear Faculty Colleague:

You have found your way to the Academic Senate Committee on Equal Opportunity Committee's (EQOP) **“Strategies and Resources to Develop a Diverse Applicant Pool”** -- guidelines and resources to assist you in the faculty search process. This is a testament to your commitment to incorporating UCSF's Diversity Mission into the faculty search process. There are many groups on campus who are dedicated to better integrating diversity principles into UCSF to ensure that ours is a welcoming community, respectful of the rich contributions that we each make. Our dual aim is to suggest faculty-specific resources to assist you with your roles and responsibilities in the search process, and to direct you to resources provided by the many other UCSF groups focused on diversity.

### **UCSF's Diversity Commitment to Diversity and Affirmative Action**

“UCSF defines diversity as acknowledging, understanding, accepting, valuing, nurturing and celebrating differences among people – whether it's age, race, ethnicity, gender, physical and mental ability, language, education, sexual orientation, spiritual practice, or socioeconomic status.

UCSF has made important strides in diversifying the campus community. Our successes bear out the belief that a diversity of perspectives and practices drives ingenuity, creativity and productivity in a world of increasing globalization. . . . UCSF will build upon its successes and strive to do even better.”

-- UCSF Chancellor, Susan Desmond-Hellmann, MD, PhD

As a state institution, the core mission of UC is “...to serve the interests of the State of California (therefore), it must seek to achieve diversity among its student bodies and among its employees” ([Appendix 1: UC Diversity Statement, 2006](#)).

The following UC System-wide Academic Personnel Manual (APM) Sections were implemented (July 2005) to implement the University's commitment to diversity and equal opportunity:

[APM 210\(1\)\(d\)](#) Instruction to Review Committees Which Advise on Actions in the Professor and Corresponding Series [Appendix 4(a)] Provides that teaching, research, and service that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications.

[APM 240](#) Deans and Provosts Provides that Deans and Provosts are responsible for an affirmative action program consistent with University policies. [Appendix 4(b)]

[APM 245](#) Department Chairs Provides that the Chair is responsible for maintaining a climate hospitable to diversity and for maintaining a department affirmative action program. [Appendix 4(c)]

### **UCSF Academic Senate Committee on Equal Opportunity (EQOP)**

Why is EQOP interested in faculty searches? EQOP is a committee of the faculty, charged with promoting faculty diversity, in part by evaluating the progress of departments with recruitment and retention of underrepresented minorities and women faculty. The purpose of Strategies and Resources is to provide you with the background, guidelines, and resources to be an effective member of a faculty search committee so that you can make a meaningful contribution to faculty diversity.

First we will address some common misconceptions about efforts to diversify our faculty and review the U.S. Affirmative Action Mandate for faculty hiring. Then, we will present specific practical resources to assist you with faculty searches. “Strategies and Resources to Recruit a Diverse Faculty ” can be downloaded by specific sections as needed. There are also links embedded within the document to get you to other sites with information on other aspects of searches (e.g., Academic Affairs for administrative duties and reports).

### **Common Misperceptions**

There are at least four common misperceptions about recruiting for diversity in faculty searches:

**MYTH #1: Prop 209 does not allow us to recruit for diversity.**

**REALITY: UCSF has an affirmative action mandate.**

The passage of California Proposition 209 in 1996 raised many questions about preference-based faculty recruitment, hiring, and retention practices. In fact, the University of California has stated, in their [Affirmative Action Guidelines for Recruitment and Retention of Faculty](#), that “Prop 209 contains language stating that the prohibition does not apply to actions which are necessary to establish or maintain eligibility for any Federal program, where ineligibility would result in a loss of Federal funds to the University. As a Federal contractor, the University of California has an obligation to comply with affirmative action regulations governing all levels of employment, including academic personnel practices.” ([Appendix 2](#))

The [UCSF Office of Affirmative Action, Equal Opportunity, and Diversity](#) describes affirmative action as “a set of result-oriented steps that actively may take race, sex, national origin, disability, or veteran status into account in order to remedy the effects of past discrimination. These steps can include outreach and recruitment.” There are many strategies for increasing faculty diversity. See [Best Practices](#).

**MYTH #2: There are no diverse candidates in my specialty.**

**REALITY: There are multiple ways to increase the diversity of the applicant pool.**

There are substantial numbers of qualified women and people of color in many disciplines and specialties. Strategies to develop an inclusive applicant pool require reaching beyond our own personal networks. They include outreach to organizations and universities that have large numbers of under-represented groups, including face-to-face contact with potential applicants. We can expand our own graduate student pipelines to identify and hire qualified and promising graduates. See [Recruitment Resources](#).

Effective search efforts for women and minorities require financial support for conducting a thorough search.

**MYTH #3: If we recruit for diversity, we will sacrifice excellence.**

**REALITY: Diversity is integral to the University's achievement of excellence.**

In fact, as enumerated by the [UC Diversity Statement](#), “Diversity aims to broaden and deepen both the educational experience and the scholarly environment, as students and faculty learn to interact effectively with each other, preparing them to participate in an increasingly complex and pluralistic society.” UCSF prides itself on its preeminence for understanding and reducing health disparities. Hiring faculty who can contribute to addressing these issues should reflect this priority. ([Appendix 1](#))

**MYTH #4: Building a diverse applicant pool is sufficient.**

**REALITY: Unconscious bias may inhibit the fair evaluation of qualified candidates.**

Experimental and non-experimental research has shown that unconscious bias works to disadvantage women and minority candidates in evaluation and hiring. That is, among equally qualified candidates, women and people of color are viewed less favorably and hired less frequently than their male and white counterparts. Most of us believe that we can objectively judge peoples' qualities and capabilities, however, research supports that we all have many implicit assumptions about others, based on our own background and experiences. Thus, the task of recruiting for diversity in faculty searches must also extend to acknowledging that unconscious bias may be at play when assessing and comparing candidates, and actively working to overcome any systematic disadvantages such bias may place on women and minority candidates. (Unconscious Bias in Faculty Recruitment ([Appendix 3a](#)), [Unconscious Bias in Faculty and Leadership Recruitment](#) ([Appendix 3b](#)), [E-Learning Seminar: The Science of Unconscious Bias](#))

### **Call to Action**

If we continue on our current path of faculty recruitment, it could take many years to accomplish our diversity goals. The EQOP will continue to monitor our progress in diversifying our faculty and will continue to seek resources to facilitate this, important mission. (For additional information on affirmative action goals and progress, please refer to the [UCSF Office of Affirmative Action, Equal Opportunity, and Diversity](#))

We hope that you find these materials helpful as you participate in faculty searches. As stewards of our great institution, it is our ethical obligation to continue to serve and to better reflect the population that we serve in California, by providing equal opportunities for our faculty, students, and staff.

Sincerely,

## **The UCSF Academic Senate Committee on Equal Opportunity**

*The materials in "Strategies and Resources" represent the collective work of many individuals over several years. EQOP is especially indebted to Professor Emeritus, Harvey Brody, XXX our former Director of the Faculty Ambassador Program, Hobart Harris, MD, MPH Chair of the Department of Surgery and former Chair of EQOP, Michael Adams, Director of the Office of Affirmative Action, Equal Opportunity, and Diversity and ex-Officio member of EQOP, and Shilpa Patel, JD, Senate Analyst and Staff to EQOP. Former EQOP Chair Susan Kools, PhD, RN and EQOP members Janet Shim, PhD, MPP and Elise Riley, PhD, MPH worked hard to create and improve this document. Without their sustained leadership, "Strategies and Resources" would not have been possible.*

# Strategies and Best Practices

## What Can Be Done After Proposition 209: Strategies for Increasing Faculty Diversity

Make academic administration accountable at all levels for affirmative action efforts:

- ❖ Include diversity efforts in performance reviews of deans and chairs
- ❖ Evaluate diversity efforts in allocation of departmental resources
- ❖ Make affirmative action and diversity mandatory elements of short and long term planning

Provide financial incentives to departments and divisions for effective good faith efforts to promote faculty and campus diversity:

- ❖ Consider affirmative action efforts in the allocation of FTE
- ❖ Award discretionary funds and/or additional graduate support funds as reward for exemplary efforts

Collect, analyze and distribute information about the nature of the problem:

- ❖ Conduct focus groups, campus climate surveys and exit interviews
- ❖ Conduct regular pay equity studies and implement a process for salary adjustments
- ❖ Track hiring results by gender and race, and make the information readily available to faculty involved in hiring and to the campus community
- ❖ Add Affirmative Action/EEO links to campus home pages, departmental sites, and academic personnel web information

Examine hiring practices to optimize diversity:

- ❖ Collaborate with other departments to find opportunities for cluster hiring
- ❖ Use broadly worded position announcements to get a wider pool
- ❖ Provide sufficient resources for targeted advertising and recruitment
- ❖ Develop effective spouse/partner hiring programs
- ❖ Develop pre- and postdoctoral programs focused on diversity
- ❖ Include commitment to diversity statement in all job announcements
- ❖ Develop job descriptions that reflect desired attributes such as ability to work with diverse students or commitment to the success of under-represented students

Conduct affirmative action training programs for deans, chairs and search committees:

- ❖ Emphasize the economic consequences of failure to address diversity
- ❖ Discuss current research on the educational benefits of diversity
- ❖ Illustrate the legal risks in violating equal opportunity principles
- ❖ Address “best practices” in search and recruitment activities
- ❖ Include training on responding effectively to discrimination complaints

Value diversity by valuing research, service and teaching that contributes to the diversity of the academic community:

- ❖ Use faculty development programs to reward diversity contributions
- ❖ Value diversity in promotion and merit reviews
- ❖ Develop special recognition and award programs for faculty who make exceptional contributions to diversity on campus

Make efforts to identify and plug “leaks” in the pipeline:

- ❖ Establish mentor programs for junior faculty
- ❖ Promote informal networks between junior and senior faculty
- ❖ Recognize and compensate for the “double duty” imposed on women and minority faculty who are underrepresented in their field
- ❖ Enforce existing non-discrimination policies in academic personnel:
- ❖ Change focus from eliminating “preferences for minorities” to identifying and addressing the preferences accruing to majority groups
- ❖ Have clear effective grievance procedures with prompt remedial action

Sponsor regular efforts to promote a welcoming campus climate:

- ❖ Publish a Chancellor’s statement of support for diversity
- ❖ Sponsor educational and multicultural events and lectures
- ❖ Implement prompt and effective responses to identified problems

For more information on UC faculty affirmative action, see the Academic Advancement web site at:

<http://www.ucop.edu/acadadv/welcome.html>

## Checklists: UCSF Best Practices for Faculty Recruitment

Here we present two checklists as aids in the faculty recruitment process. The first checklist notes best practices that should be followed by each individual involved in a search, specifying the roles of each party. The second checklist was developed by UCSF's Office of Academic Affairs, and provides additional detail about best practices that all parties should follow.

### **Best Practices by Each Individual Involved in a Faculty Search:**

#### **Best Practices by Academic Dean**

- ☐ Reviews diversity expectations with search chair/committee

#### **Best Practices by Department Chair**

- ☐ Reviews the unit's affirmative action progress report and existing parity goals
- ☐ Ensures a diverse search committee with respect to ethnicity, gender and other relevant characteristics
- ☐ Charges Search Chair to monitor UCOP Affirmative Action Guidelines
- ☐ Advertises position in at least one targeted journal (e.g., Black Issues in Higher Education, Women in Cardiology)
- ☐ Ensures that the following language is in the body of the position description: "UCSF seeks candidates whose experience, teaching, research, or community service has prepared them to contribute to our commitment to diversity and excellence
- ☐ Ensures that the advertisement concludes with the following sentence: *"The University is an equal opportunity/affirmative action employer. All qualified applicants are encouraged to apply, including minorities and women."*

#### **Best Practices by Search Chair**

- ☐ Reviews the unit affirmative action plan and parity goals with the committee
- ☐ Discusses unconscious bias with the committee
- ☐ Carries out proactive outreach to insure recruitment plan reflects diversity needs
- ☐ Includes diversity activities in evaluation of applicants and selection of candidate
- ☐ Reviews applicant pool for diversity prior to interviewing
- ☐ Monitors compliance with UCOP affirmative action guidelines

#### **Best Practices by Human Resources Personnel**

- ☐ Ensures that diversity language and equal opportunity statements are included in position description
- ☐ Ensures that Applicant Data Form is sent to all applicants
- ☐ Notes parity goals for Recruitment Plan after review of the unit affirmative action progress report

## **Best Practices for UCSF Faculty Searches:**

### **Before the Search**

- ☐ Within Department consultation/discussion of need for new position
- ☐ Review Affirmative Action Progress Reports
- ☐ [Academic Recruitment Plan](#) including [Placement/Parity Goals](#) along with the job description and recommendation for search committee is completed and routed to the Dean's Office for review and to the Vice Provost, Academic Affairs for approval.\*
  - ☐ Position announcement/advertisement is drafted and included with the Academic Recruitment Plan. The following statement must appear in all ads: "UCSF seeks candidates whose experience, teaching, research, or community service has prepared them to contribute to our commitment to diversity and excellence. UCSF is an Equal Opportunity/Affirmative Action Employer. The University undertakes affirmative action to assure equal employment opportunity for underutilized minorities and women, for persons with disabilities, and for covered veterans. All qualified applicants are encouraged to apply, including minorities and women.
- ☐ Academic Recruitment Plan and search committee membership is approved and vacancy number assigned. Position is entered into the Academic Demographic System by Academic Personnel. [Your Responsibility as a Search Committee Member](#), [Affirmative Action Guidelines for Recruitment & Retention of Faculty](#) and [Guidelines for Evaluating Contributions to Diversity](#) are distributed to Committee members.
- ☐ Department places ad in journals and/or on websites. Academic Affairs posts the job description on their website (see [Job Opportunities](#)) and on [NC-HERC](#). Personal contacts are made with departments, individuals, conferences, etc. (for organizations that are likely to reach a diverse pool of candidates see [Recruitment Organizations](#)).
- ☐ Applications arrive.

### **Search Process**

- ☐ Applicant information is entered into the Academic Demographic System by designated and trained Department contact. See [ADS Instructions](#)
- ☐ Applicants are sent confirmation/thank you letters. The applicant data form is sent to applicants online by the Academic Demographic System so they can anonymously self-report their demographic data for compliance with Federal Affirmative Action requirements. Applicants are sent rejection letters as soon as the search committee decides they are no longer being considered for the position. See [Sample Letters to Unsuccessful Applicants](#)
- ☐ Department provides Chair of Search Committee and Vice Chancellor of Diversity and Outreach with Applicant Pool charts from the Academic Demographic System for review of applicant pool demographics once Committee is ready to begin interviews. See [ADS Instructions](#)

\*In limited circumstances, a short term search waiver may be requested. See [Search Waiver Form](#).

For non-faculty academic searches please refer to the [UCSF Non-Faculty Academic Search Checklist](#).

### **Selection Process**

- ☐ Search Committee begins selection process from approved applicant pool. Applicants are selected for campus visit.
- ☐ Campus visit is arranged (travel, lodging, scheduling, etc.).
- ☐ Candidates make campus visits (for interview guidelines see [Guidelines for Interview Questions](#)).
- ☐ Search Committee recommends candidate(s) for selection to Department Chair.
- ☐ Department Chair identifies candidate of choice.
- ☐ Offer is made.
- ☐ Once offer is accepted, data on selected candidate and search is entered on the [Search Process Report](#) (SPR) in the ADS. (For instructions on completing the search report see [ADS Instructions](#)). Print the SPR.
- ☐ Close the position in the Academic Demographic System and print the AA/EO/D Summary. Applicant entries must be edited in the ADS to reflect their status in the search process before a position is closed (must be completed by a designated and trained Department contact). See [ADS Instructions](#).
- ☐ Attach the AA/EO/D Summary to the Search Process Report and route to the Search and Department Chairs for signature.
- ☐ Route the Search Process Report, AA/EO/D Summary, ad copies and CV to Dean and Vice Provost for signature and certification that selection process is in compliance.



## **Important Guidelines for the Search Process**

### **Search Committee Composition**

- ❖ Include faculty who are committed to diversity and excellence.
- ❖ Ensure that women and minorities have equal opportunity to serve on search committees.
- ❖ Include one person from outside the department for senate faculty searches.
- ❖ Be sure that most members are at or above the same rank and some are in the same series as the position

### **Job Description/Position Announcement**

- ❖ Include language that expresses an interest in candidates who will advance our commitment to diversity: “UCSF seeks candidates whose experience, teaching, research, or community service has prepared them to contribute to our commitment to diversity and excellence. UCSF is an Equal Opportunity/Affirmative Action Employer. The University undertakes affirmative action to assure equal employment opportunity for underutilized minorities and women, for persons with disabilities, and for covered veterans. All qualified applicants are encouraged to apply, including minorities and women.”
- ❖ Broaden the job description to attract the widest possible range of qualified candidates.
- ❖ Advertise in venues that are likely to reach a diverse pool of candidates, such as special subgroups of professional organizations or focused conferences.

### **Active Recruiting**

- ❖ Recruit from a broad range of institutions.
- ❖ When contacting colleagues, specifically ask for recommendations of candidates that will increase our commitment to diversity.
- ❖ Consider candidates who may be currently thriving at less well-ranked institutions.
- ❖ Consider hiring outstanding trainees.

### **The Interview**

- ❖ Treat female and minority applicants as scholars and researchers, not as “female or minority” scholars and researchers.
- ❖ Avoid illegal and discriminatory questions (see [Guidelines for Interview Questions](#)).
- ❖ Give candidates the opportunity to talk with others – not the search committee and not in the same department – about gender and climate issues. Contact the Vice Chancellor of Diversity and Outreach at 476-7700 for suggestions.
- ❖ Provide information about family friendly policies (see [Family Benefits & Privileges](#)) and partner hiring (see [Job Opportunities](#)) to all candidates.

### **Evaluating Candidates**

- ❖ Self-Correction – be aware of the possibility of your own unconscious bias.
- ❖ Agree upon ground rules for the search committee and stick to them.
  - Agree on evaluation criteria.
  - Agree on rules of discussion and how to handle disagreement.
  - Agree on a method for determining who will be invited to interview.
- ❖ Develop evaluation and interview tools to enable consistency.
- ❖ Slow down.
  - Make time to review the entire application.
  - Look for non-stereotypical evidence.
- ❖ Do not rank order immediately.
  - Consider alternatives to rank ordering, such as summaries of each finalist.
- ❖ Insist on the evidence.
  - Require faculty members to back up statements and opinions with facts and evidence.

All academic search forms and the search checklist for non-faculty academic searches may be found online at <http://academicaffairs.ucsf.edu/>

## Best Practices of Academic Health Science Institutions for Recruiting Diverse Candidates\*

1. In order to maximize the opportunities of identifying diverse candidates, consideration should be given to the proposed rank of the new hire and not exclude promising junior level applicants. A should not be excluded, and a broad range of ranks should
2. The composition of a search committee should reflect a diverse cross section of the faculty. Special efforts should be made to ensure that minorities and women serve on search committees.
3. Departments should commit funds to enable a diversified list of journals to announce positions. The goal is to eliminate barriers that often prevent full representation of, and access to qualified minority and women applicants.
4. Proactive outreach should be used to attract the most diversified applicant pool. This includes: face-to-face outreach at national scientific meetings, phone calls and letters to other institutions, and full cooperation with the Faculty Search Committee Ambassador Program (UCSF).
5. Search Committees should be made aware of departmental placement goals. The applicant pools should have the potential of addressing the identified underrepresentation.
6. During the search process, if an applicant pool for a given position does not have the potential of meeting the targeted placement goal, the search committee should consider additional outreach efforts. These efforts must be taken BEFORE interviews begin.
7. The evaluation criteria for a position should include consideration of the applicant's efforts or potential concerns to: address or initiate research or programs in diversity, provide community service, and address health disparities.
8. All members should strive to eliminate unconscious bias in the search process.

\*These practices are consistent with the [University of California Affirmative Action guidelines](#) and APMs [210](#), [240](#), and [245](#). ([Appendices 4\(a\)](#), [4\(b\)](#), [4\(c\)](#))

# Resources and Tools for Recruiting Diverse Faculty

## Organizations to Assist in Outreach

*Adapted from the Office of Academic Affairs*

Organization	Target	Description
<a href="#">Academic Careers Online</a>	Health Professionals	An online search engine serving faculty, research, post doc, adjunct, administrative, and senior management positions at colleges, universities, and research institutes around the world.
<a href="#">Academic Diversity Search</a>	Women and Minorities	Specializing in connecting women and minorities with Academic Institutions.
<a href="#">American Academy of Pediatrics</a>	Women in Pediatrics	
<a href="#">American Academy of Physical Medicine</a>		National medical society representing more than 8,000 physicians who are specialists in the field of physical medicine and rehabilitation (PM&R).
<a href="#">American Association for Women Dentists*</a>	Women	Journal and online job boards addressing issues including clinical dentistry, scientific abstracts, practice management, and lifestyle issues for women dentists.
<a href="#">American Association for Women Radiologists</a>		Provides a forum for issues unique to women in radiology, radiation oncology and related professions; sponsor programs that promote opportunities for women; and facilitate networking among members and other professionals.
<a href="#">American Association of Immunologists (Committee on the Status of Women)</a>	Women	Responsible for generating and developing programs that assure equal treatment of all professional immunologists on the basis of merit.
<a href="#">American Association of Immunologists (Minority Affairs Committee)</a>	Minorities	Focuses on activities that advance the scientific development and career opportunities for minority scientists, in order to make them “full-fledged” members of the scientific community.

Organization	Target	Description
American Association of Women Emergency Physicians	Women	Provides a broad-based network of support, guidance and education in personal and professional leadership skills especially for women emergency physicians, residents, and medical students.
American Association of Women Emergency Physicians	Women	Provides a broad-based network of support, guidance and education in personal and professional leadership skills especially for women emergency physicians, residents, and medical students.
American Dental Education Association's Women Liaison Officer Program*	Women	Seeks to improve the academic environment for female faculty, staff and students. Major activities include mentoring, networking and information exchange.
American Heart Association Women in Cardiology Committee	Women	
American Physiology Society Committee on Women in Physiology	Women	
American Psychiatric Association (Office of Minority and National Affairs)	Minorities	Promoting diversity and cultural competence and to eliminate disparities in mental health.
American Public Health Association (APHA) American Indian, Alaska Native & Native Hawaiian Caucus*	American Indians, Alaska Natives & Native Hawaiians	Promotes equal opportunity and access for indigenous peoples of North America and the Hawaiian Islands to health care, provides a supportive entry into APHA, and disseminates information about major native health issues and programs.
American Public Health Association (APHA) Latino Caucus*	Latinos	Facilitates active participation of Latino public health workers in the organizational and programmatic activities of the APHA.
American Public Health Association (APHA)	Health Professionals	Online job postings for the oldest and largest organization of public health professionals in the world.
American Society for Investigative Pathology Committee on Career Development, Women and Minorities	Women and Minorities	

Organization	Target	Description
American Society for Microbiology	Women	Seeks to improve the academic environment for female faculty, staff and students. Major activities include mentoring, networking and information exchange.
Association for Women in Science	Women	Works to promote women's activities in all scientific fields, from mentoring to scholarships to online job listings.
Association for Women in Sciences, San Francisco Chapter	Women	Aims to achieve equity and full participation for women in a variety of scientific fields.
Association of American Indian Physicians	Native Americans	Online job postings dedicated to pursuing excellence in Native American health care by promoting education in the medical disciplines, honoring traditional healing practices and restoring the balance of mind, body, and spirit.
Association of Black Cardiologists*	African Americans	Online job postings dedicated to eliminating the disparities related to cardiovascular disease in all people of color.
American Society for Microbiology	Women	Seeks to improve the academic environment for female faculty, staff and students. Major activities include mentoring, networking and information exchange.
Association for Women in Science	Women	Works to promote women's activities in all scientific fields, from mentoring to scholarships to online job listings.
Association for Women in Sciences, San Francisco Chapter	Women	Aims to achieve equity and full participation for women in a variety of scientific fields.
Association of American Indian Physicians	Native Americans	Online job postings dedicated to pursuing excellence in Native American health care by promoting education in the medical disciplines, honoring traditional healing practices and restoring the balance of mind, body, and spirit.
Association of Black Cardiologists*	African Americans	Online job postings dedicated to eliminating the disparities related to cardiovascular disease in all people of color.

Organization	Target	Description
<a href="#">Association of Women Surgeons*</a>	Women	Online job postings committed to supporting the professional and personal needs of female surgeons at various stages in their career - from residency through retirement.
<a href="#">Chronicle of Higher Education</a>	Health Professionals	The world's largest job marketplace for people with advanced degrees -- in print and online
<a href="#">Black Graduate Engineering and Science Students (BGEES) Future Black Faculty Database</a>	African Americans	UC Berkeley database for future black faculty positions.
<a href="#">Disabledperson.com</a>	Disabled Persons	Job board for disabled persons.
<a href="#">Diverse: Issues in Higher Education</a>	African Americans	The only national professional publication covering news and major issues in higher education affecting minorities in the United States and its territories.
<a href="#">Diversejobs.net</a>	Women and Minorities	The job site of Diverse: Issues In Higher Education, the flagship publication of a leading publisher of higher education news. A leading resource site for careers in academia. Colleges, universities, and higher education recruitment agencies in the US, Canada, and across the globe.
<a href="#">Diversityconnect.com</a>	Women and Minorities	A community of support and connections to employers seeking diverse, qualified candidates.
<a href="#">Diversitynursing.com</a>	Women and Minorities	A Career Job Board and Information Resource for Nurses regardless of age, race, gender, religion, education, national origin, sexual orientation, disability or physical characteristics.
<a href="#">DiversityWeb.org</a>	Women and Minorities	An interactive resource hub for higher education sponsored by the Association of American Colleges and Universities' Office of Diversity, Equity, and Global Initiatives.

Organization	Target	Description
Executive Leadership Program in Academic Medicine (ELAM)*	Women	The nation's only in-depth program focused on preparing senior women faculty at schools of medicine and dentistry to move into positions of institutional leadership where they can effect positive change.
Greek Diversity	African Americans	GreekDiversity is the job board of America's Historically Black Fraternities and Sororities which connects a network of collegiate to executive level fraternity and sorority members with career opportunities from employers seeking high-caliber, diverse professionals
Historically Black Colleges and Universities Career Center	African Americans	Supporting professional and career development of HBCU students, alumni, staff and the communities they serve.
Hispanic-Serving Health Professions Schools*	Hispanics	Seeks to improve the health of Hispanics through academic development, research initiatives and training.
Indigenous Peoples Issues and Resources	Indigenous Peoples	Website listing of resources for indigenous peoples.
Insight Into Diversity	Minorities	Recruiting Magazine for equal opportunity employment connecting professionals with institutions and businesses through its free magazine and online recruitment site.
Institute for Broadening Participation: Pathways to Science	Minorities	Promotes education and career opportunities in the STEM fields to students, with an emphasis on reaching members of under-represented groups.
Journal for Minority Medical Students	African Americans, American Indians, and Hispanics	A non-technical publication designed to inform its readers of the most pressing issues in medical education.

Organization	Target	Description
<a href="#">Journal of Blacks in Higher Education</a>	African Americans	Online job postings dedicated to the conscientious investigation of the status and prospects for African Americans in higher education.
<a href="#">MomMD</a>	Women	An association and online magazine for allopathic (M.D.) and osteopathic (D.O.) women in medicine. The MomMD community provides resources, forums, and info for women physicians, residents, medical students and premed students.
<a href="#">National Association of Hispanic Nurses</a>	Hispanics	Promoting Hispanic Nurses to Improve the Health of Our Communities.
<a href="#">National Black Nurses Association</a>	African Americans	Provides a forum and online job postings for collective action by African American nurses to "investigate, define and determine what the health care needs of African Americans are and to implement change to make available to African Americans and other minorities health care commensurate with that of the larger society."
<a href="#">National Dental Association</a>	Minorities	The premier dental organization including an email listserv for ethnic minorities.
<a href="#">NIH Women Scientist Advisors</a>	Women	Advisory board for issues relevant to women scientists.
<a href="#">National Medical Association</a>	African Americans	Promotes the collective interests of physicians and patients of African descent with online job postings.
<a href="#">National Pharmaceutical Association (NPhA)</a>	Minorities	State and local associations of professional minority pharmacists
<a href="#">Native Research Network*</a>	Native Americans	Establishes and maintains a proactive research network of Indigenous people of the Americas, such as American Indian, Alaska Native, Kanaka Maoli, and Canadian Aboriginal people through an email listserv.
<a href="#">Office Of Minority Health*</a>	Minorities	Serves as an information and referral service on minority health issues for professionals, community groups, consumers, and students through online job postings.



Organization	Target	Description
Philippine Nurses Association of America, Inc.*	Philipinas	Provides an organization that will uphold the image and foster the welfare of the Philippine Nurses in the United States as a professional.
Ruth Jackson Orthopaedic Society		The oldest surgical women's organization incorporated in the United States which continues to grow and welcomes new members of both genders.
Society for the Analysis of African-American Public Health Issues (SAAPHI)*		Dedicated to improving the overall health of African Americans.
Society for Women in Urology		Dedicated to promoting women as urologists.
Society of Executive Leadership in Academic Medicine (SELAM)*		Committed to the advancement and promotion of women to executive positions in academic health professions through programs that enhance professional development and provide networking and mentoring opportunities.
Women in Endocrinology		Devoted to promoting and facilitating the professional development and advancement of women in the field of Endocrinology.
Women in Higher Education	Women	National monthly practitioner's news journal with online job postings.
Women in Nephrology		To develop and provide mentors to women in the field. WIN strives to aid women develop exciting careers in the field of renal disease. WIN also advocates within the nephrology community for education and research relevant to women.
Women in Neuroscience*	Women	Seeks to foster the development and career advancement of women scientists, particularly in the field of neuroscience.
Women in Neurosurgery	Women	To educate, inspire, and encourage women neurosurgeons to realize their professional and personal goals, and to serve neurosurgery in addressing the issues inherent to training and maintaining a diverse and balanced workforce.

Organization	Target	Description
<a href="#">Women in Thoracic Surgery</a>	Women	To enhance the quality of medical care given to patients of the members; focus on the development of women thoracic surgeons through mentoring, education and seminars.
<a href="#">Women's Dermatologic Society</a>	Women	To help women in dermatology realize and fulfill their greatest potential.

\*As of the time of this publication, advertising or posting a position is free of charge for venues marked with an asterisk.

## Applicant Data Form Request Letter

*\*Please note that the letter below is only an example of what will be electronically sent to search committees for academic searches\**

Dear Applicant,

As the Search Committee Chair, I am working hard to ensure that we have a diverse applicant pool for faculty recruitment at the University of California, San Francisco. At UCSF, we strongly endorse the idea that diversity is an integral component of excellence. To implement this vision, I carefully review the applicant pool for each of our new faculty positions. I can only do this meaningfully if I have the data from the enclosed confidential applicant survey.

While furnishing this information is voluntary, I would like to strongly encourage you to complete the brief survey and return it in the enclosed envelope. This anonymous and confidential information is an important step in our process of ensuring a diverse applicant pool. I very much appreciate your willingness to participate in the University's on-going effort to recruit a diverse and highly qualified faculty. Please complete the attached form and return it to the Academic Data System.

Sincerely,

Search Committee Chair

## Guidelines for Academic Interview Questions

Excerpted from the Academic Affairs "[Guidelines for Academic Interview Questions](#)":

This guide is meant to assist recruitment committee members to navigate the interview process and to assess a candidate's potential and ability to contribute to the campus's inclusive climate. It is appropriate to indicate to candidates that UC San Francisco is an inclusive campus that values the intellectual richness resulting from a diverse range of interests, abilities, life experiences, and world views, and that UC San Francisco students and patients represent a broad range of ethnic, social, economic, and cultural backgrounds. It is imperative that faculty be able to respond to the range of experiences and needs of the students and/or patients; therefore, the candidate's potential to address this diversity is a key dimension of the search process. It is appropriate to inquire consistently of all candidates:

- Their level of experience teaching students of diverse racial and cultural backgrounds, including classroom and/or clinical teaching strategies or the inclusion of specific subject matter content.
- The degree to which attention to race and gender inclusiveness is incorporated in research/creative activity.
- Experiences or interests promoting equal educational opportunities through outreach and service activities.

The table below provides a specific guide to acceptable as well as unacceptable areas of general inquiry, and the reasons why some questions are unacceptable.

*\*Sex and ethnic data are collected from applicants using a self-identification form. This form is kept separate from the individual's application materials, and data related to individuals are not provided to the hiring authority.*

See Guidelines for evaluating candidates in the Academic Affairs Recruitment Toolkit: <http://academicaffairs.ucsf.edu/recruitment/>

Area of Inquiry	Acceptable Areas of Inquiry	Unacceptable Areas of Inquiry	Reason Why
Name	To ask if an applicant's work records are under another name, for purposes of access to those records.	To ask the ethnic origin of an applicant's name. To ask if a woman is a Miss, Mrs., or Ms. To request applicant to provide maiden name	Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972; Title IX
Address/Housing	To ask for an applicant's address, phone number, and/or how s/he can be reached.	To request place and length of current and previous addresses.	Age Discrimination in Employment Act of 1967; Age Discrimination Act of 1975
Age	After hiring: to require proof of age by birth certificate.  To indicate the minimum legal age for specific type of employment.	To ask age or age group of applicant.  Before hiring: to request birth certificate or baptismal certificate.	Title VII and California Constitution, Article I, Section 31
Race/Color/National Origin/Ethnicity	To indicate that the institution is an equal opportunity employer.  To ask race and/or national origin for Affirmative Action plan statistics.*	To use any indication of race,color, or national origin as the basis for either hiring or disqualifying a candidate, unless job related.	Title VII and Title IX, and California Constitution,Article I, Section 31
Sex/Gender	To indicate that the institution is an equal opportunity employer.  To ask gender for Affirmative Action plan statistics.*	To use any indication of gender as the basis for either hiring or disqualifying a candidate, unless job related.	Title VII and Title IX, and California Constitution, Article I, Section 31
Religion/Creed	To state normal hours and days of work required by the job to avoid possible conflict with religious convictions.	To ask an applicant's religion or religious customs and holidays.  To request recommendations from church officials.	Title VII
Sexual Orientation	To indicate that the institution prohibits discrimination on the basis of sexual orientation.	To inquire about sexual orientation.	UC Nondiscrimination Policy
Citizenship	To ask ALL applicants if they are legally authorized to work in the United States.	To ask for date of citizenship or whether applicant is native-born or naturalized citizen.  To ask if parent or spouse/partner is native-born or naturalized.	Title VII
Marital/Parental/Family Status	After hiring: to ask marital and parental status for insurance and tax purposes.  After hiring: to ask name, relationship, and address of person to be notified in case of an emergency.	To ask the number and/or age of children, who cares for them, and if applicant plans to have more children.	Title VII and Title IX

Area of Inquiry	Acceptable Areas of Inquiry	Unacceptable Areas of Inquiry	Reason Why
Education	To ask if the applicant has the academic, professional, or vocational training required for the job, and to ask which institution provided it.  To ask about language skills such as reading and writing foreign languages, if job related.	To ask the racial or religious affiliation of schools attended.  To ask how foreign language ability was acquired.	
Criminal Record	To inquire about convictions if the reason for the inquiry is a business necessity.	To inquire about arrests.	
References	To request general and work references not relating to race, color, religion, sex, national or ethnic origin, age, disability, marital status, or veterans' status.	To request references specifically from clergy or any other persons who might reflect race, color, religion, sex, national or ethnic origin, age, disability, marital status, or veterans' status.	
Organizations	To inquire about professional organizations, union memberships, and any offices held, if job related.	To request listing of all clubs to which an applicant belongs or has belonged.	
Photographs	After hiring: to require photographs for identification purposes.	Before hiring: to request photographs.	
Work Schedule	To ask about willingness to work the required work schedule.  To ask if applicant has military reservist obligations.	To ask about willingness to work any particular religious holiday.	
Physical Data	To require proof of ability to do manual labor, lifting, and other written physical requirements if necessary for the job.	To ask height and weight, impairment, or other non-performance related physical.	
Disability	To ask if the applicant is capable of performing the essential functions of the job with or without reasonable accommodation.	To exclude disabled applicants as a class on the basis of the type of disability.  Before hiring: to initiate questions regarding specific accommodations needed.	Rehabilitation Act of 1973; Americans with Disabilities Act of 1990.
Other Qualifications	To inquire about any area that has direct relevance to the job.	To inquire about political affiliation.  To make any inquiry not related to a bona fide requirement of the job that may present information permitting unlawful discrimination.	

## Candidate Evaluation Form

Candidate Name: \_\_\_\_\_

Evaluator Name: \_\_\_\_\_

	Lacks Experience Not Qualified 1	Somewhat Experienced Semi-qualified 2	Experienced Qualified 3	Very Experienced Most Qualified 4	A Star Over Qualified 5	Not applicable
<b>Clinical Experience</b> (specific to position)						
<b>Professional Reputation</b> (local, regional, national prominence)						
<b>Publications</b> (first/last author, quality of journals, focus area)						
<b>Grant Funding Experience</b> (size and nature of grant)						
<b>Diversity Experience</b> (Evidence of efforts to address health disparities, diversity, provide community service)						
<b>Teaching Experience</b>						
<b>Service Experience</b> (committees, leadership ability, community outreach, extracurricular functions)						
<b>Collegial Experience</b> (ability to work with peers)						
<b>Administrative Experience</b> (ability to adhere to policies and procedures)						
<b>Supervisory Experience</b> (other than trainees)						

# Policies

## **Revised APM-210 Review and Appraisal Committee, APM-240 Deans and Provosts and APM-245 Department Chair**

Effective July 1, 2005, the following Academic Personnel Manual Sections will be revised to implement the University's commitment to diversity and equal opportunity"

### **[APM 210\(1\)\(d\)](#) Instruction to Review Committees Which Advise on Actions in the Professor and Corresponding Series [\[Appendix 4\(a\)\]](#)**

Provides that teaching, research, and service that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications.

### **[APM 240](#) Deans and Provosts**

Provides that Deans and Provosts are responsible for an affirmative action program consistent with University policies. [\[Appendix 4\(b\)\]](#)

### **[APM 245](#) Department Chairs**

Provides that the Chair is responsible for maintaining a climate hospitable to diversity and for maintaining a department affirmative action program. [\[Appendix 4\(c\)\]](#)

# Appendix

[Appendix 1: University of California Diversity Statement, 2006](#)

[Appendix 2: University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty](#)

[Appendix 3a: Unconscious Bias in Faculty Recruitment](#)

[Appendix 3b: Unconscious Bias in Faculty and Leadership Recruitment](#)

[Appendix 4a: Academic Personnel Manual \(APM\) 210](#)

[Appendix 4b: Academic Personnel Manual \(APM\) 240](#)

[Appendix 4c: Academic Personnel Manual \(APM\) 245](#)

[Appendix 5: Guide to Campus Life Services](#)



## **UNIVERSITY OF CALIFORNIA DIVERSITY STATEMENT**

### **RECOMMENDED TO THE UNIVERSITY OF CALIFORNIA BY THE ACADEMIC SENATE OF THE UNIVERSITY OF CALIFORNIA**

Adopted by the Assembly of the Academic Senate May 10, 2006  
Endorsed by the President of the University of California June 30, 2006

The diversity of the people of California has been the source of innovative ideas and creative accomplishments throughout the state's history into the present. Diversity – a defining feature of California's past, present, and future – refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, socioeconomic status, and geographic region, and more.

Because the core mission of the University of California is to serve the interests of the State of California, it must seek to achieve diversity among its student bodies and among its employees. The State of California has a compelling interest in making sure that people from all backgrounds perceive that access to the University is possible for talented students, staff, and faculty from all groups. The knowledge that the University of California is open to qualified students from all groups, and thus serves all parts of the community equitably, helps sustain the social fabric of the State.

Diversity should also be integral to the University's achievement of excellence. Diversity can enhance the ability of the University to accomplish its academic mission. Diversity aims to broaden and deepen both the educational experience and the scholarly environment, as students and faculty learn to interact effectively with each other, preparing them to participate in an increasingly complex and pluralistic society. Ideas, and practices based on those ideas, can be made richer by the process of being born and nurtured in a diverse community. The pluralistic university can model a process of proposing and testing ideas through respectful, civil communication. Educational excellence that truly incorporates diversity thus can promote mutual respect and make possible the full, effective use of the talents and abilities of all to foster innovation and train future leadership.

Therefore, the University of California renews its commitment to the full realization of its historic promise to recognize and nurture merit, talent, and achievement by supporting diversity and equal opportunity in its education, services, and administration, as well as research and creative activity. The University particularly acknowledges the acute need to remove barriers to the recruitment, retention, and advancement of talented students, faculty, and staff from historically excluded populations who are currently underrepresented.

UNIVERSITY OF CALIFORNIA  
AFFIRMATIVE ACTION GUIDELINES FOR

# RECRUITMENT AND RETENTION OF FACULTY



Academic Advancement  
Office of the President  
January 2, 2002

The background of the slide features a large, faint watermark of the University of California seal. The seal is circular with a dotted border. Inside the border, the words "UNIVERSITY OF CALIFORNIA" are written in a circular path. In the center of the seal is a shield containing a book, a sun, and a star, with the year "1868" at the bottom.

# RECRUITMENT & RETENTION OF FACULTY

FEDERALLY MANDATED AFFIRMATIVE ACTION PROGRAMS

BEST PRACTICES FOR FACULTY RECRUITMENT

BEST PRACTICES FOR FACULTY SELECTION

BEST PRACTICES FOR FACULTY RETENTION

INFORMING THE CAMPUS COMMUNITY

ENFORCING THE NONDISCRIMINATION POLICY

CREATING A WELCOMING CAMPUS CLIMATE

DEVELOPING CURRICULAR DIVERSITY

VALUING FACULTY CONTRIBUTIONS TO DIVERSITY

## RECRUITMENT & RETENTION OF FACULTY

The University of California's commitment to affirmative action in faculty recruitment and retention serves two fundamental academic values. First, an effective affirmative action program will foster a diverse faculty which will reflect a diverse range of interests, abilities, life experiences, and worldviews that will enhance the academic mission of the University of California. Second, an effective affirmative action program will support equality of opportunity which will ensure that the University of California can serve the needs of our diverse state and also fully utilize the intellectual resources embedded in our diversity.

The enactment of Proposition 209 in 1996 raised many questions about the status of affirmative action programs in faculty hiring, promotion, and retention in the University of California. Proposition 209, which went into effect on August 28, 1997, as Section 31 of Article 1 of the California State Constitution, requires that the University shall not discriminate against or grant preferential treatment to any individual or group on the basis of race, sex, color, ethnicity, or national origin. In the four years following Proposition 209, many UC campuses experienced a drop in the rates of hiring women and underrepresented minority faculty members.

However, Proposition 209 contains language stating that the prohibitions do not apply to actions which are necessary to establish or maintain eligibility for any Federal program, where ineligibility would result in a loss of Federal funds to the University. As a Federal contractor, the University of California has an obligation to comply with affirmative action regulations governing all levels of employment, including academic personnel practices.<sup>1</sup> The University also has an obligation to comply with State and Federal laws that prohibit discrimination on the basis of race, sex, color, national origin, and other protected categories. Therefore, an effective affirmative action program for faculty remains a legal requirement for the University of California.

The under-representation of women and minorities on the University of California faculty is a twofold challenge. With regard to women faculty, in many fields the data reflect substantial numbers of qualified women in the labor pool, yet few women entering into the ladder rank faculty.<sup>2</sup> In these areas, efforts must be made to identify and eliminate barriers, both within the University and without, that prevent women from obtaining faculty appointments at the University of California. With regard to minority faculty, in many fields the data reflect an under-representation of minorities pursuing doctoral education necessary to qualify for faculty appointments. In these areas, efforts must be made to expand the pipelines of minority students entering graduate programs. To answer this challenge, the University of California may engage in a variety of voluntary practices that, although not strictly required by Federal affirmative action regulations, promote values of equal employment opportunity and are consistent with the State Constitution and University policy. These types of non-preferential affirmative action programs are important vehicles for expressing the University's commitment to diversity, equal opportunity, and academic freedom.



The following guidelines describe both mandatory and voluntary affirmative action programs, consistent with law and University policy, which may be undertaken to promote equal employment opportunity and diversity in the context of faculty employment practices.

## FEDERALLY MANDATED AFFIRMATIVE ACTION PROGRAMS

Federal affirmative action regulations and University policy require that all campuses develop and maintain a written affirmative action program covering staff, faculty, and all other academic employees.<sup>3</sup> According to the Federal regulations, “**an affirmative action program is a management tool designed to ensure equal employment opportunity.**”<sup>4</sup> A central premise of the Federal affirmative action requirements is that absent discrimination, over time, the demographic profile of employees generally will reflect the gender, racial, and ethnic profile of the pools from which the employer recruits and selects.<sup>5</sup> Faculty affirmative action programs should contain a diagnostic component which includes quantitative analyses and an action-oriented component which includes specific practical steps designed to address problem areas identified by the diagnostic analyses.<sup>6</sup> Effective faculty affirmative action programs also include internal auditing and reporting systems as a means of measuring progress toward achieving a faculty that generally would be expected in the absence of discrimination.<sup>7</sup>

### QUANTITATIVE ANALYSES



A faculty affirmative action program that complies with Federal regulations must include six specified quantitative analyses.<sup>8</sup> The most valuable of these for academic affirmative action planning purposes are determining availability, comparing incumbency to availability, and setting placement goals. Availability is an estimate of the number of qualified minorities or women available for employment in a given job group, expressed as a percentage of all qualified persons available for employment in that job group.<sup>9</sup> The purpose of the availability determination is to establish a benchmark against which the demographic composition of the faculty can be compared in order to determine whether barriers to equal employment opportunities may exist within particular departments or organizational units.<sup>10</sup>

To derive availability figures, the regulations require employers to consider the percentage of minorities and women with the requisite skills in the geographic area from which the employer usually recruits, and to use the most current and discrete statistical information available.<sup>11</sup> The Office of the President provides each campus with nationwide data on doctoral degree recipients compiled by the National Opinion Research Center for use in determining faculty availability. Other sources may be used for fields such as law and medicine where the necessary qualification is a professional degree, or fields such as the life sciences where postdoctoral experience is a prerequisite for a faculty appointment. Each campus should cooperate with the Office of the President to devise and implement a uniform method for calculating availability data. Determining the appropriate source data for estimating availability is an important part of developing a credible affirmative action program.

### SETTING PLACEMENT GOALS

The new Federal affirmative action regulations published November 13, 2000, no longer use the term “underutilization.” Instead, the regulations require the employers to compare the demographic profile

of current employees with the availability figures and set placement goals for hiring women and minorities.<sup>12</sup> Each campus must produce annual statistical reports comparing the percentage of women and minority faculty in each academic job group with the availability percentage. When the percentage of women or minorities in a particular academic job group is less than would reasonably be expected, given their availability, the campus must establish a percentage annual placement goal equal to the availability figure derived for women and minorities, as appropriate, for that job group.<sup>13</sup>

According to the regulations, placement goals serve as reasonably attainable objectives or targets that are used to measure progress toward achieving equal employment opportunity.<sup>14</sup> A determination that a placement goal is required constitutes neither a finding nor an admission of discrimination.<sup>15</sup> Placement goals are not quotas, and should not be considered either a ceiling or a floor for the employment of particular groups.<sup>16</sup> Placement goals do not provide a justification to extend a preference to any individual on the basis of gender, race, or ethnicity.<sup>17</sup> Placement goals do not create set asides for specific groups, nor are they intended to achieve proportional representation or equal results.<sup>18</sup> Placement goals may not be used to supersede merit selection principles or as a justification for hiring a less qualified person in preference to a more qualified person.<sup>19</sup>

For example, if a campus establishes a job group including all assistant professors in its School of Engineering, and determines that the percent of women in that job group (2%) is less than what would be expected based on availability (12%), then the campus must set a placement goal of hiring women at the rate of 12% of the upcoming hires. If there were four hires authorized in that job group in one year, and the campus hired one woman, the campus would have met its goal for the year in that job group. However, the campus may still have fewer women in Engineering than would be expected based on availability and must continue to set placement goals in the following years until the percent of women in the job group matches what would be expected based on availability.

## IDENTIFYING PROBLEM AREAS

Federal affirmative action regulations also require that each campus perform in-depth analyses of its total academic employment process to determine whether and where impediments to equal employment opportunity exist.<sup>20</sup> At a minimum, campuses must evaluate their personnel activities, including applicant pools, hires, termination, promotions, and other personnel actions to determine whether there are disparities in the allocation of employment benefits to women and minority employees.<sup>21</sup> Campuses must monitor and evaluate their faculty compensation practices to determine whether there are disparities based on gender, race, or ethnicity.<sup>22</sup> Campuses also must monitor and evaluate their recruitment, selection, and promotion procedures to determine whether they result in disparities in the employment or advancement of minorities or women.<sup>23</sup>



If any of the above analyses indicate a problem with regard to equal opportunity, the campus must develop and execute action-oriented programs designed to correct the problem area.<sup>24</sup> In order for these action-oriented programs to be successful, the campus must ensure that they consist of more than following the same procedures which have previously produced inadequate results.<sup>25</sup> To comply with the Federal regulations, a campus must demonstrate that it has made good faith efforts to remove identified barriers, expand employment opportunities, and produce measurable results.<sup>26</sup>



The Federal regulations also require each campus to develop and implement an auditing system that periodically measures the effectiveness of its total affirmative action program.<sup>27</sup> A good auditing system should include: (1) monitoring all personnel transactions and compensation practices to ensure that the nondiscrimination policy is enforced; (2) producing regular internal reports regarding the goals and achievements of the affirmative action program; and (3) advising top management of the status and effectiveness of the faculty affirmative action program, along with recommendations to improve any areas of unsatisfactory performance.<sup>28</sup>

## BEST PRACTICES FOR FACULTY RECRUITMENT

Under current law and University policy, the most important method for promoting equal opportunity is to conduct a vigorous search which should help ensure that qualified women and minorities are well represented in applicant pools for faculty positions. Search waivers should be granted only in exceptional situations and for compelling reasons. Many departments maintain faculty affirmative action committees that are charged with developing and implementing the practices described below to ensure departmental compliance with Federal equal opportunity standards.



### COMPOSING THE SEARCH COMMITTEE

Each department should make an effort to appoint a search committee that represents a diverse cross section of the faculty and includes members who will monitor the affirmative action efforts of the search committee. In accordance with Federal regulations, a special effort should be made to ensure that minorities and women have equal opportunity to serve on search committees. Departments that lack diversity on their own faculty should consider appointing faculty outside the department to search committees or develop other alternatives to broaden the perspective of the committee and increase the reach of the search. Each department should require search committees to create written search plans that describe, at a minimum, the underutilization and availability of women and minorities in the field, the methods of recruitment and advertising, the position description, and the criteria to be used in selecting candidates.

### DEVELOPING POSITION ANNOUNCEMENTS

Prior to initiating a search for a faculty position, the position description should be carefully reviewed by the search committee, the department faculty, and the academic administration. Every effort should be made to ensure that the position description reflects the needs of the department and is drafted as broadly as possible to attract the largest available pool of potential applicants. If two or more recruitments in related fields are anticipated in the near future, position announcements may include criteria for all pending appointments, with the understanding that the most exceptional candidate from this larger pool will be hired first, regardless of field. In the following year, the search can be reopened and

focused on the fields not filled by the initial hire. Campuses also may want to consider developing policies to encourage cluster hiring and/or spousal hiring policies that may contribute to attracting a more diverse pool of candidates to faculty positions.

In addition to the required notice that the University is an equal opportunity employer, position descriptions and job announcements may contain additional language reflecting the department's interest in attracting applicants whose teaching, research, or service activities may contribute to the academic diversity of the campus. For example, a department interested in increasing the participation and success rate of women or minority students in their fields may include language in its job descriptions such as, "The department is particularly interested in candidates who have experience working with students from diverse backgrounds and a demonstrated commitment to improving access to higher education for disadvantaged students," or "Candidates should describe previous activities mentoring women, minorities, students with disabilities, or other under-represented groups." Job announcements also may contain specific language reflecting the institutional commitment to consider dual career appointments and support spousal employment opportunities, such as "The University is responsive to the needs of dual career couples."

## WIDESPREAD ADVERTISING

Every effort should be made to conduct a thorough search and advertise widely before filling any faculty position. Search efforts should include all available avenues for publicizing the position, including national publications, personal contacts, listservs, mailing lists, professional and academic conferences, and Web sites. All advertisements for faculty positions should state that the University is an "Equal Opportunity/Affirmative Action Employer."<sup>29</sup> It also is consistent with University policy and obligations as a Federal contractor for advertisements to state that "all qualified applicants are encouraged to apply, including minorities and women."



## INCLUSIVE RECRUITMENT

All University search committees should engage in inclusive recruitment activities that are consistent with University policy and effective for increasing the numbers of women and minority applicants for academic appointments. An effective faculty affirmative action program will ensure that positions be advertised with organizations and publications that are targeted to women and minority audiences, in addition to advertising in publications for general distribution. This inclusive advertising may be placed in nationally known publications such as *Black Issues in Higher Education* or *The Hispanic Outlook in Higher Education*, or in specialized publications such as a newsletter for a women's section of a national academic organization. Each campus should develop and maintain a list of publications, by field, where academic positions could be advertised, that includes publications targeted to specific groups in addition to publications used for general distribution.



## PROACTIVE INFORMATIONAL OUTREACH

In addition to broad advertising, search committees may engage in other types of proactive informational outreach to increase the numbers of outstanding applicants for faculty positions, including women and minorities. As search committee members write letters or make phone calls to their colleagues to ask about promising candidates, they also may specifically inquire about promising women and minority candidates. As search committee members attend conferences or other academic meetings for the purpose of recruiting or networking with potential candidates, they may also make a specific effort to attend conferences or meetings attended primarily by women and minorities in the field. Search committees should ensure that female and minority members of the campus faculty are not excluded from consultations regarding their knowledge of potential candidates, and should actively encourage all faculty to refer potential candidates. All academic disciplines have professional organizations and most of these have subcommittees for women and/or specific minority groups. Search committees may broaden the pool by utilizing the resources of these specialized academic and professional organizations and also by making efforts to identify individuals who have achieved excellence outside academe.

## BEST PRACTICES FOR FACULTY SELECTION



The Federal affirmative action regulations provide the University with great flexibility in developing action-oriented programs and demonstrating good faith efforts to provide equal employment opportunity in faculty hiring. However, Proposition 209 does not permit the University to grant preferences on the basis of race or gender in the selection process for academic appointments. Therefore, programs that allowed departments to consider affirmative action in hiring decisions such as the Target of Opportunity for Diversity and the “tie-breaker” policy are no longer available as tools to increase academic employment opportunities for women and minorities. However, there are still important steps that departments can take that will serve to ensure that faculty selection practices provide equal opportunity for all candidates and do not inadvertently create barriers or biases in the selection.

## ANALYZING THE POOL

Federal affirmative action regulations require each campus to collect data regarding the race and gender of all job applicants, including applicants for faculty positions.<sup>30</sup> It is a good affirmative action practice, and consistent with University policy, to review the applicant pool prior to beginning the selection process to determine if women and minority applicants are represented in the pool. If women and minority applicants are not present in the pool at about the rate of their estimated availability in the field, then departments should review whether recruitment and outreach procedures were sufficiently broad, and if not, consider reopening the search with expanded inclusive recruitment efforts.

## MONITORING THE SELECTION PROCESS

In addition to analyzing the applicant pool for faculty positions, an effective faculty affirmative action plan will include monitoring the selection process.<sup>31</sup> Departments should establish procedures for selection that require applications to be read by more than one person, to minimize the possibility that qualified candidates may be overlooked. Search Committees should prepare written deselection documents that describe the reason(s) for rejecting candidates. Deans or department chairs should review these documents and may examine committee selections to ensure that they meet the selection criteria listed in the position announcement. For example, a search process that begins with a position description targeting one specialized field and ends with a recommendation to hire a candidate in a different specialty should be carefully scrutinized to ensure that no qualified candidates were denied an equal opportunity to compete for the position. Academic administrators also may review the race and gender of candidates on the short list. If there is insufficient representation as compared to availability and the applicant pool, the selection process should be scrutinized to ensure that the selection criteria were properly and consistently applied in the review of candidates, and that those criteria were consistent with the documented academic needs of the department. If selection problems are identified, a search committee may either reopen the search to conduct additional outreach or revisit the pool of all qualified candidates and create a new short list according to appropriate selection criteria.

## BEST PRACTICES FOR FACULTY RETENTION

In addition to active recruiting during the hiring process, campuses should be vigilant to identify retention problems that may have a negative impact on faculty diversity and equal employment opportunity. Federal affirmative action regulations require the campuses to collect race and gender data on personnel transactions such as promotions, transfers, and resignations and to make good faith efforts to address any racial or gender based disparities that may be reflected in those data.<sup>32</sup> Campuses may develop procedures for career reviews to ensure that all faculty are appointed at the appropriate rank and step consistent with their academic accomplishments.<sup>33</sup>

Another effective affirmative action tool is to conduct exit interviews with departing faculty, including minorities and women, to determine why they are leaving the University. This provides an opportunity for understanding obstacles to retention and designing effective responses to identified problems. Campuses that conduct exit interviews should make every effort to address problems identified in the interviews and document the results of those efforts. Campuses also may want to interview faculty who have been successful in obtaining tenure or who have remained with the University for a long period of time, in order to identify factors that contributed to successful faculty careers. Campuses may enlist senior faculty members in developing and implementing successful retention programs.



## MENTORING JUNIOR FACULTY

Mentoring is an important part of an effective campus retention program. In addition to informal mentoring, campuses may organize formal mentoring programs and conduct workshops for junior faculty to assist with the tenure process. These programs will contribute to the success of all junior faculty, but may be especially important to women and minority junior faculty who may not otherwise be a part of informal campus support networks. Campuses and departments also may consider permitting junior faculty to participate *ex officio* in academic personnel processes such as file review, ad hoc committees, and discussion of personnel cases. Access to information about personnel reviews will demystify the process and may contribute to the retention of junior faculty.



## FACULTY DEVELOPMENT PROGRAMS

Many campuses have faculty development programs designed to assist junior faculty in their progress toward tenure. These programs provide financial support and/or release time to support research. University policy prohibits the consideration of race or gender as a factor in determining eligibility for these programs. Campus faculty development programs may promote campus academic and educational diversity by rewarding faculty who are engaged in research focused on issues such as race, ethnicity, gender, and multiculturalism, and/or by allocating resources to faculty who have demonstrated a commitment to issues of social, educational, and economic justice as evidenced by their record of teaching and service. For example, faculty development programs may reward faculty who have engaged to a significant extent in outreach, recruitment, and retention activities such as counseling, tutoring, or mentoring for educationally disadvantaged students. Such programs also may reward faculty who have exhibited leadership in developing pedagogical techniques designed to accommodate diverse learning styles and promote welcoming classroom environments for students from culturally diverse groups, and/or faculty who have made exceptional contributions to campus diversity through their departmental service.

## ACCOMMODATING SPECIAL NEEDS

Providing faculty with necessary flexibility to accommodate special needs will contribute to faculty productivity and retention. Campuses should ensure that all deans and department chairs understand the University's policies concerning leave and modified duties to accommodate faculty with parenting or disability related needs. Campuses should make every effort to ensure that adequate childcare resources and facilities are available to faculty. Departments may explore permanent or temporary part-time appointments for faculty that desire such arrangements. Faculty should be informed of their options under University policies and encouraged to request leaves, modified work schedules, or other accommodations as needed. Departments also should consider parental and medical needs of faculty in scheduling department meetings and service assignments.

## MONITORING PAY EQUITY

Equitable pay practices are important to retain faculty and maintain equal employment opportunity. Campuses should conduct periodic summary level salary reviews to ensure that faculty compensation practices do not reflect disparities on the basis of race or gender. If problem areas are identified, campuses should investigate individual cases and ensure that salary levels are based on legitimate, documented academic considerations. Campuses may implement career review procedures that allow faculty members to have their academic personnel files reviewed for placement at the appropriate rank, step, and salary.

## INFORMING THE CAMPUS COMMUNITY

Developing an effective faculty affirmative action program requires involving divisions, departments, Senate committees, and faculty at all levels. Campuses may promote effective faculty involvement by providing faculty on a regular basis with statistical data regarding the number of minorities and women on the faculty and among new appointments. It is particularly important that data regarding faculty demographic profiles and availability figures be provided to faculty, search committees, department chairs, deans, and academic administrators involved in recruitment and retention activities. This information will serve to inform the campus community about the status and progress of the faculty affirmative action program and also will promote widespread discussion of issues relating to equal opportunity and diversity in faculty hiring. The Office of Academic



Advancement at the Office of the President currently compiles an annual statistical report, “Composition of Graduate Students and Faculty at the University of California by Race and Sex,” which is available on the web at <http://www.ucop.edu/acadadv/datamgmt/pub-99.html>. In addition, campuses may compile and distribute their own data sets with more detailed breakdowns reflecting the status of women and minorities in faculty appointments.

In addition to demographic data, all academic administrators, deans, department chairs, and faculty involved in academic personnel matters should receive information on an annual basis regarding the components of the campus faculty affirmative action program and the placement goals in their fields or organizational units.<sup>34</sup> This information is important for identifying potential equal opportunity problems and implementing action-oriented programs to address such problems. Information regarding affirmative action requirements and campus-specific affirmative action data should be provided to all department chairs and deans on an annual basis and should be discussed in orientation and training programs for department chairs and deans.

## ENFORCING THE NONDISCRIMINATION POLICY

Each campus should demonstrate its commitment to equal opportunity and diversity by taking active steps to disseminate and enforce the University's policy prohibiting illegal discrimination. University policy, consistent with State and Federal laws, prohibits discrimination, including harassment, on the basis of race, color, national origin, religion, sex, physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran.<sup>35</sup> This policy applies to all employment practices, including recruitment, selection, promotion, transfer, merit increase, salary, training and development, demotion, and separation.

Campuses can promote enforcement of the University nondiscrimination policy by having knowledgeable persons available to facilitate resolution of complaints, by providing ready access to informal and formal channels for bringing grievances, and by conducting training for all staff and faculty regarding the requirements of the nondiscrimination policy. Training programs regarding sexual harassment and cross-cultural sensitivity are examples of educational programs that may help prevent behavior that could lead to discrimination complaints and provide a more productive employment experience for all employees.

## CREATING A WELCOMING CAMPUS CLIMATE

Each campus may promote faculty diversity and equal opportunity by making every effort to provide a scholarly and educational environment that is welcoming and supportive of all participants, regardless of their race, color, ethnicity, or gender. Annual statements from the Chancellor regarding the campus commitment to principles of equal opportunity in education and employment are an important element of an effective campus affirmative action program. Such statements may be distributed widely to publicize the campus position regarding affirmative action and compliance with Federal regulations. Campus leaders can make similar public statements declaring their support for the value of diversity in the educational community.<sup>36</sup>

Campus faculty and academic administrators can encourage and support interested groups that wish to sponsor speakers, discussions, and other educational events to discuss questions of affirmative action, diversity, and equal opportunity. Maintaining an ongoing and civil dialogue at the campus level will provide a welcoming academic environment for women and minority faculty. Such dialogue also will provide opportunities for input from a wide variety of persons including the campus leadership, faculty, staff, students, and community members. Such discussions also may be effectively introduced on the campuses via the curriculum in a broad array of disciplines. Exploring and implementing diversity in approaches to teaching and research can support educational diversity in the classroom, and can assist departments in diversifying and strengthening their faculty. Campuses may provide public and academic recognition to faculty who make exceptional contributions to academic and educational diversity through their research, teaching, or service activities.

## DEVELOPING CURRICULAR DIVERSITY

Increasing faculty diversity is one of the valuable consequences of a commitment to a broad and diverse academic curriculum. It is within the academic discretion of the University to encourage faculty to conduct research that contributes to the overall breadth of the curriculum, and to consider contributions to this breadth in making faculty appointments. Campuses may develop organized research units to pursue scholarly exploration of topics such as race, ethnicity, gender, and multiculturalism. Campuses may consider developing joint appointments with ethnic and women studies programs in pursuit of a curriculum that encompasses a broad and deep range of programs and interests. Campuses may commit resources toward developing interdepartmental curriculum initiatives to address issues such as gender and race within the traditional disciplines. Such initiatives may support cluster hiring and other academic personnel practices that will contribute to the diversity and intellectual vitality of the campus community.



## VALUING FACULTY CONTRIBUTIONS TO DIVERSITY

Campuses may consider whether faculty members' research, teaching, or service makes an outstanding contribution to the educational diversity of the academic community as part of criteria for faculty recruitment, selection, and advancement. In considering candidates for appointment, departments and search committees may consider whether a candidate's research will serve curricular needs for addressing present-day societal issues related to gender, race, ethnicity, and culture. Campuses may create incentives for hiring faculty who are engaged in research that advances the understanding of issues such as race, ethnicity, gender, and multiculturalism as they intersect with traditional academic fields, or research that examines socio-economically or politically disadvantaged groups in areas such as community development, public health, urban affairs, social justice, or educational reform.<sup>37</sup>

Departments and search committees also may consider a candidate's demonstrated commitment to issues of social, educational, and economic disadvantage as evidenced by the record of teaching and service. For example, campuses may reward faculty who have demonstrated creativity and initiative in engaging in outreach, mentoring, or tutoring for educationally disadvantaged students, or who have exhibited leadership in developing pedagogical techniques designed to accommodate diverse learning styles and promote welcoming classroom environments for students from culturally diverse groups.<sup>38</sup> A department may consider such criteria in its evaluation of current faculty for promotion and advancement, and may provide release time or faculty development funds for faculty who are active in research, teaching, or service that promotes equal access for underrepresented students or increases our understanding of the dynamics of race and gender in our society.

Campus values of academic diversity also may be expressed through evaluations of academic administrators. Each academic administrator should be held accountable for implementation of an effective faculty affirmative action program and should be evaluated for contributions to affirmative action



and diversity efforts in program administration and academic personnel practices. Performance reviews for deans and department chairs should include a review of their efforts to promote academic diversity and equal opportunity in all academic affairs. In addition, deans and chairs should be assessed annually with regard to their efforts to follow affirmative action good practices in faculty hiring and other academic personnel actions.

Valuing contributions to diversity will improve the campus climate for women and minorities, and promote equal opportunity for all members of the academic community. It will also provide incentives and rewards for faculty and administrators whose contributions to academic diversity will help the University of California meet the academic needs of the next generation.

## END NOTES

<sup>1</sup> 41 C.F.R. 60 et seq.

<sup>2</sup> California State Auditor Report on the University of California, May 2001

<sup>3</sup> 41 C.F.R. 60-2.1(b)(1)

<sup>4</sup> 41 C.F.R. 60-2.10(a)(1)

<sup>5</sup> Id.

<sup>6</sup> Id.

<sup>7</sup> Id.

<sup>8</sup> 41 C.F.R. 60-2.10(b)(1) states that an affirmative action program must include the following quantitative analyses: (1) Organizational profile (41 C.F.R. 60-2.11), (ii) Job group analysis (41 C.F.R. 60-2.12), (iii) Placement of incumbents in job group (41 C.F.R. 60-2.13), (iv) Determining availability (41 C.F.R. 60-2.14), (v) Comparing incumbency to availability (41 C.F.R. 60-2.15), and (vi) Placement goals (41 C.F.R. 60-2.16).

<sup>9</sup> 41 C.F.R. 60-2.14(a)

<sup>10</sup> Id.

<sup>11</sup> 41 C.F.R. 60-2.14(c&d)

<sup>12</sup> 41 C.F.R. 60-2.10(b)(1)

<sup>13</sup> 41 C.F.R. 60-2.15(b), 41 C.F.R. 60-2.16(c)

<sup>14</sup> 41 C.F.R. 60-2.16(a)

<sup>15</sup> 41 C.F.R. 60-2.16(b)

<sup>16</sup> 41 C.F.R. 60-2.10(e)(1)

<sup>17</sup> 41 C.F.R. 60-2.10(e)(2)

<sup>18</sup> 41 C.F.R. 60-2.10(e)(3)

<sup>19</sup> 41 C.F.R. 60-2.10(e)(4)

<sup>20</sup> 41 C.F.R. 60-2.17(b)

<sup>21</sup> 41 C.F.R. 60-2.17(b)(2)

<sup>22</sup> 41 C.F.R. 60-2.17(b)(3)

<sup>23</sup> 41 C.F.R. 60-2.17(b)(4)

<sup>24</sup> 41 C.F.R. 60-2.17(c)

<sup>25</sup> Id.

<sup>26</sup> Id.

<sup>27</sup> 41 C.F.R. 60-2.17(d)

<sup>28</sup> 41 C.F.R. 60-2.17(d)(1-4)

<sup>29</sup> 41 C.F.R. 60-1.41

<sup>30</sup> 41 C.F.R. 60-2.17(b)

<sup>31</sup> 41 C.F.R. 60-2.17(b)(2)

<sup>32</sup> 41 C.F.R. 60-2.17(b)

<sup>33</sup> President Atkinson's letter to the Chancellors dated May 3, 2001

<sup>34</sup> 41 C.F.R. 60-2.17(d)(3-4)

<sup>35</sup> Academic Personnel Manual Section 035

<sup>36</sup> President Atkinson's letter to the Chancellors dated February 8, 2001

<sup>37</sup> President Atkinson's letter to the Chancellors dated January 3, 2001

<sup>38</sup> Id.



## UNIVERSITY OF CALIFORNIA

Published by  
Academic Advancement  
University of California  
Office of the President  
1111 Franklin Street, 11th Floor  
Oakland, CA 94607-5200

Layout & Design by  
Academic Personnel Office  
UCLA

Questions should be directed to the  
Campus Academic Affirmative Action Office  
or  
Executive Director Sheila O'Rourke  
Academic Advancement  
University of California  
Office of the President  
1111 Franklin Street, 11th Floor  
Oakland, CA 94607-5200  
Phone: (510) 987-9499  
E-Mail: [sheila.orourke@ucop.edu](mailto:sheila.orourke@ucop.edu)

This document is available on the Web at  
<http://www.ucop.edu/acadadv/fgsaa/affirmative.html>



## Assumptions Shape the Review Process

We all like to think that we are objective scholars who judge people based entirely on their experience and achievements, but copious research shows that every one of us brings a lifetime of experience and cultural history that shapes the review process.

The results from controlled studies in which people were asked to make judgments about subjects demonstrate the potentially prejudicial nature of the many implicit or unconscious assumptions we can make. Examples range from physical and social expectations or assumptions to those that have a clear connection to hiring, even for faculty positions.

It is important to note that in most of these studies, the gender of the evaluator was not significant, indicating that both men and women share and apply the same assumptions about gender.

Recognizing biases and other influences not related to the quality of candidates can help reduce their impact on your search and review of candidates. Spending sufficient time on evaluation (15-20 minutes per application) can also reduce the influence of assumptions.

## Individuals May Not Fit the Generalization

- When shown photographs of people of the same height, evaluators overestimated the heights of male subjects and underestimated the heights of female subjects, even though a reference point, such as a doorway, was provided (Biernat et al.).
- When shown photographs of men with similar athletic abilities, evaluators rated the athletic ability of African American men higher than that of white men (Biernat et al.).

These studies show how generalizations that may or may not be valid can be applied to the evaluation of individuals (Bielby and Baron). In the study on height, evaluators applied the statistically accu-

rate generalization that men are usually taller than women to their estimates of the height of individuals who did not necessarily conform to the generalization. If we can inaccurately apply generalizations to characteristics as objective and easily measured as height, what happens when the qualities we are evaluating are not as objective or as easily measured? What happens when the generalizations are not accurate?

## Evaluation Bias

- When rating the quality of verbal skills as indicated by vocabulary definitions, evaluators rated the skills lower if they were told an African American provided the definitions than if they were told that a white person provided them (Biernat et al.).
- When asked to assess the contribution of skill and luck to successful performance of a task, evaluators more frequently attributed success to skill for males and to luck for females, even though males and females succeeded equally. (Deaux and Emswiller).
- Evidence shows that perceived incongruities between the female gender role and leadership roles cause two types of disadvantage for women: (1) ideas about the female gender role cause women to be perceived as having less leadership ability than men and consequently diminish women's rise to leadership positions, and (2) women in leadership positions receive less favorable evaluations because they are perceived to be violating gender norms. These perceived incongruities lead to attitudes that are less positive toward female than male leaders (Eagly and Karau; Ridgeway).
- Evaluators who were busy, distracted by other tasks, and under time pressure gave women lower ratings than men for the same written evaluation of job performance. Sex bias decreased

when they were able to give all their time and attention to their judgments, which rarely occurs in actual work settings. **This study indicates that evaluators are more likely to**

*"... as we become aware of our hypotheses, we replace our belief in a just world with a view of the world in which bias plays a role. Since this is a state of affairs we wish were otherwise, we prefer not to acknowledge it. But we can learn."*

Virginia Valian

*"To evaluate other people more accurately we need to challenge our implicit hypotheses . . . we need to become explicitly aware of them . . ."*

Virginia Valian

**rely upon underlying assumptions and biases when they cannot/do not give sufficient time and attention to their evaluations (Martell).**

## Biases in Academic Contexts

- A study of postdoctoral fellowships awarded by the Medical Research Council in Sweden, found that women candidates needed substantially more publications (the equivalent of 3 more papers in *Nature* or *Science*, or 20 more papers in specialty journals such as *Infection and Immunity* or *Neuroscience*) to achieve the same rating as men, unless they personally knew someone on the panel (Wenneras and Wold).
- A study of over 300 recommendation letters for medical faculty at a large American medical school in the 1990s found that letters for female applicants differed systematically from those for males. Letters written for women were shorter, provided “minimal assurance” rather than solid recommendation, raised more doubts, and portrayed women as students and teachers while portraying men as researchers and professionals. All letters studied were written for successful candidates only. (Trix and Psenka).
- In a national study, 238 academic psychologists (118 male, 120 female) evaluated a résumé randomly assigned a male or a female name. Both male and female participants gave the male applicant better evaluations for teaching, research, and service experience and both were more likely to hire the male than the female applicant. (Steinpreis, et.al.) Another study showed that the preference for males was greater when women represented a small proportion of the pool of candidates, as is typical in many academic fields (Heilman).

## Assumptions and Biases in the Search Process

Biases and assumptions can influence your search in the following ways:

- Women and minority candidates may be subject to different expectations in areas such as numbers of publications, name recognition, or personal acquaintance with a committee member. (Recall the example of the Swedish Medical Research Council.)
- Candidates from institutions other than the major research universities that have trained

most of our faculty may be under-valued.

- The work, ideas, and findings of women or minorities may be undervalued or unfairly

*When assumptions “that cultural, racial, ethnic, and gender biases are simply nonexistent [in] screening and evaluation processes, there is grave danger that minority and female candidates will be rejected.”*

**Caroline S.V. Turner**

attributed to a research director or collaborators despite contrary evidence in publications or letters of reference. (Recall the biases seen in evaluations of written descriptions of

job performance, and the attribution of success to luck rather than skill.)

- The ability of females or minorities to run a research group, raise funds, and supervise students and staff of different gender or ethnicity may be underestimated. (Recall social assumptions about leadership abilities.)
- Assumptions about possible family responsibilities and their effect on the candidate's career path may negatively influence evaluation of a candidate's merit, despite evidence of productivity. (Recall studies of the influence of generalizations on evaluation.)
- Negative assumptions about whether female or minority candidates will “fit in” to the existing environment can influence evaluation.

## Practices to Enable Equity—Reviewing Applicants

- Learn about research on biases and assumptions. Consciously strive to minimize their influence on your evaluation of candidates.
- Develop criteria for evaluating candidates and apply them consistently to all applicants.
- Spend sufficient time (15-20 minutes) evaluating each applicant.
- Evaluate each candidate's entire application; don't depend too heavily on only one element such as the letters of recommendation, or the prestige of the degree-granting institution or post-doctoral program.
- Be able to defend every decision for rejecting or retaining a candidate.
- Periodically evaluate your decisions and consider whether qualified women and underrepresented minorities are included. If not, consider whether evaluation biases and assumptions are influencing your decisions.

## References

- Bielby, W.T. & Baron, J.N., "Sex segregation and statistical discrimination," *American Journal of Sociology* 91(1986): 759-799.
- Biernat, M., Manis, M., & Nelson, T., "Stereotypes and standards of judgment," *Journal of Personality and Social Psychology* 66(1991): 5-20.
- Deaux, K. & Emswiller, T., "Explanations of successful performance on sex-linked tasks: What is skill for the male is luck for the female," *Journal of Personality and Social Psychology* 29(1974): 80-85.
- Dovidio, J.F. & Gaertner, S.L., "Aversive racism and selection decisions: 1989 and 1999," *Psychological Science* 11(2000): 315-319.
- Eagly, A.H.; Karau, S.J., "Role congruity theory of prejudice toward female leaders," *Psychological Review* 109, no. 3 (July 2002): 573-597.
- Heilman, M. E., "The impact of situational factors on personnel decisions concerning women: varying the sex composition of the applicant pool," *Organizational Behavior and Human Performance* 26(1980): 386-395.
- Martell, R.F., "Sex bias at work: The effects of attentional and memory demands on performance ratings for men and women," *Journal of Applied Social Psychology* 21(1991): 1939-60.
- Ridgeway C.L., "Gender, status, and leadership," *Journal of Social Issues* 57(2001): 637-655.
- Steinpreis, R., Anders, K.A., & Ritzke, D., "The impact of gender on the review of the curricula vitae of job applicants and tenure candidates: A national empirical study," *Sex Roles* 41(1999): 509-528.
- Trix, F. & Psenka, C., "Exploring the color of glass: Letters of recommendation for female and male medical faculty," *Discourse & Society* 14(2003): 191-220.
- Turner, C.S.V., *Diversifying the Faculty: A Guidebook for Search Committees* (Washington, DC: AACU, 2002), 16.
- Valian, V., *Why So Slow? The Advancement of Women* (Cambridge, MA: MIT Press, 1999), 303-306.
- Wenneras, C. & Wold, A., "Nepotism and sexism in peer-review," *Nature* 387(1997): 341-43.

*Diversity of experience, age, physical ability, religion, ethnicity, race, and gender contributes to the richness of the environment for teaching and research.*

**NOTE:** This information came from an informational packet developed by WISELI at the University of Wisconsin, Madison.





### Unconscious Bias in Faculty and Leadership Recruitment: A Literature Review

Although women and minorities have made significant strides in achieving equality in the workplace, they are still underrepresented in the upper strata of organizations, including senior faculty and leadership positions at medical schools and teaching hospitals.<sup>a,1,2</sup> Within the last decade, social science researchers have pursued the theory of “unconscious bias” as one barrier to workplace equality that may persist despite a general commitment to increase diversity across the academic medicine workforce and other organizations. This *Analysis in Brief* reviews the scientific literature on the theory of unconscious bias, explores the role of unconscious bias in job recruitment and evaluations, and offers suggestions for search committees and others involved in hiring decisions at medical schools and teaching hospitals.

#### Background and Method

Unconscious bias refers to social stereotypes about certain demographics or groups of people that individuals form outside of their own conscious awareness. Social scientists argue that most people have some degree of unconscious bias because it stems from our natural tendency to make associations to help us organize our social worlds.<sup>3</sup>

To analyze and present the most relevant studies on unconscious bias, I performed an extensive literature search and sorted articles by their research methodologies and focus.<sup>b</sup> The eight articles selected for this *Analysis in Brief* were specifically about career-related unconscious bias, except for those on the Implicit

**Table 1. Experimental Studies of Career-related Unconscious Bias\***

Method	Results
<b>Steinpres, Anders, &amp; Ritzke (1999)</b>	
Participants (238 academic psychologists) rated the <i>curriculum vitae</i> (CVs) of real-life psychologists: one CV from early career and one CV from later career. They received one of these CVs with either a male or female name on it, and were asked whether they would hire the job applicant (for those who received the early-career CV) or whether they would award the candidate tenure (for those who received the later-career CV).	<ul style="list-style-type: none"> <li>Both male and female participants were more likely to hire the male applicant than the female applicant and were more likely to report that the male applicant had adequate experience in research, teaching, and service.</li> <li>Participants were four times more likely to write comments of concern in the margins of their questionnaires for female tenure candidates than for male tenure candidates.</li> </ul>
<b>Heilman &amp; Okimoto (2007)</b>	
Given descriptions of fictitious male and female managers who were successful in male-dominated jobs, undergraduate students evaluated the managers on several measures, including likeability, interpersonal hostility, competence, and desirability as a boss.	Female managers were rated as less likeable, more interpersonally hostile, less competent, and less desirable as bosses than were male managers.
<b>King, Madera, Hebl, &amp; Knight (2006)</b>	
Participants (155 white males) viewed a fictitious resume of an Asian-American, Mexican-American, African-American, or Caucasian man that was either high or low quality. They gave the target of the resume an overall evaluation (based on intelligence, motivation, and likelihood to be hired) and a rating on suitability for various occupations (categorized as high- or low-status jobs).	<ul style="list-style-type: none"> <li>On the overall evaluation, African-American targets were rated the least positively and Asian-American targets were rated the most positively.</li> <li>Asian-American targets were rated as the most suitable for high-status jobs, whereas Mexican-American targets were rated as the least suitable for high-status jobs. Mexican-American targets were rated as the most suitable for low-status jobs, whereas Caucasian targets were rated as the least suitable for low-status jobs.</li> </ul>
<b>Biernat &amp; Manis (1994)</b>	
Participants (143 white undergraduates) viewed 40 photographs of black and white individuals, each paired with definitions of two words. The participants rated the verbal ability of the photographed individuals as if those individuals had provided the definitions.	Black individuals were rated as having lower verbal ability than were white individuals, suggesting that the participants had a bias that black people are less verbally skilled than white people.

\* For complete bibliographical information on the literature in this table, see [www.aamc.org/data/aib](http://www.aamc.org/data/aib).

Association Test (IAT), which were included as background material because of their prevalence in the literature and their direct illustration of unconscious bias. Articles on career-related unconscious bias included methodologies of two types: experimental studies involving artificial workplace situations and examinations of unconscious bias in actual hiring and review practices. The implications about recruitment practices in academic medicine drawn from this literature review are gener-

alized from the findings of unconscious bias in many fields.

#### Results and Discussion

##### *Implicit Association Test*

Though not directly connected to career-related unconscious bias, studies involving the IAT receive the most support for the theory of unconscious bias in general. The IAT has consistently demonstrated that people unconsciously prefer white over black, young over old, and thin over fat, and that people have stereotypic associations

<sup>a</sup> For the numbered list of references, see [www.aamc.org/data/aib](http://www.aamc.org/data/aib).

<sup>b</sup> For more information on the methodology of the literature search, see [www.aamc.org/data/aib](http://www.aamc.org/data/aib).

**Table 2. Real-life Examinations of Career-related Unconscious Bias\***

Method	Results
<b>Trix &amp; Psenka (2003)</b>	
The researchers analyzed 312 real letters of recommendation that helped medical school faculty receive their clinical and research positions. The letters were received by a large U.S. medical school from 1992 to 1995.	Compared with letters of recommendation for males, letters for females were shorter, were more likely to be "letters of minimal assurance" (e.g., lacking in specificity), were more likely to contain gender terms (e.g., "she is an intelligent young lady"), and were more likely to include "doubt raisers" (e.g., criticisms, hedges, faint praise).
<b>Wennerås &amp; Wold (1997)</b>	
The researchers evaluated whether the peer-review system of postdoctoral fellowships at the Swedish Medical Research Council was biased against women.	For peer-reviewers to equally rate men and women on scientific competency, women needed an equivalent of approximately three more articles in <i>Nature</i> or <i>Science</i> , or 20 more articles in a specialist journal, such as <i>Neuroscience</i> or <i>Radiology</i> .
<b>Goldin &amp; Rouse (2000)</b>	
To test for sex-biased hiring in symphony orchestras, the researchers compared two audition procedures: "blind" auditions (adopted in 1970—involves the use of screens to conceal candidates' identities) and "not-blind" auditions (no use of screens).	<ul style="list-style-type: none"> <li>• Blind auditions increases the likelihood that a female will be hired by 25 percent.</li> <li>• The switch to blind auditions in 1970 explains 30 percent of the increase in the proportion of females among new hires.</li> </ul>
<b>Bertrand &amp; Mullainathan (2003)</b>	
To examine the effect of race on receiving job callbacks, the researchers responded with fictitious resumes to help-wanted ads in Boston and Chicago newspapers. The resumes were altered from actual ones found on job search Web sites. The researchers categorized the new resumes as high or low quality and assigned them an equal number of traditionally black names (e.g., Lakisha) or traditionally white names (e.g., Greg).	<ul style="list-style-type: none"> <li>• Resumes with white names had a 50 percent greater chance of receiving a callback than did resumes with black names (10.08% vs. 6.70%, respectively).</li> <li>• Higher-quality resumes elicited 30 percent more callbacks for whites, whereas they only elicited 9 percent more callbacks for blacks.</li> <li>• Employers who listed "Equal Opportunity Employer" in their ad discriminated just as much as other employers.</li> </ul>

\* For complete bibliographical information on the literature in this table, see [www.aamc.org/data/aib](http://www.aamc.org/data/aib).

linking males with science and careers and females with liberal arts and family.<sup>4,5</sup> Typically, the IAT requires test-takers to rapidly match individuals of different demographics to words and pictures of varying pleasantness. The quick associations that the test-takers must make reveal their unconscious biases. Additionally, the test-takers often complete a measure of conscious bias. Correlations between scores on the pairing task and the conscious bias scale are generally weak, suggesting that participants have unconscious biases.<sup>6</sup>

#### *Career-related Unconscious Bias*

Experimental studies of career-related unconscious bias generally involve participants' rating the skills of equally experienced, fictitious job applicants who vary only by gender or race. As evidenced by the articles described in Table 1, studies of this type support the notion that, given equal weighting on all other variables, people prefer males over females, and white and Asian-American individuals over African-American and Mexican-American individuals in job positions. In contrast to these experi-

mental studies, research in real-life settings highlights the practical ramifications of career-related unconscious bias. Real-life examinations provide evidence that unconscious bias affects decisions in actual hiring and evaluation processes. The articles displayed in Table 2 suggest that unconscious bias negatively affects female and black individuals in search and selection processes. Therefore, employers may be more likely to hire white males over individuals of other demographics for job openings. In contrast to studies involving the IAT, the studies in Tables 1 and 2, which do not address the level of consciousness of the participants' biases, provide only indirect evidence of unconscious bias. However, most individuals believe that they hold fewer biases than the average person,<sup>7</sup> so the findings of bias in these studies very likely demonstrate unconscious bias.

#### **Implications for Faculty Recruitment Processes in Academic Medicine**

As evidenced by the preceding examples, unconscious biases may affect evaluations and decisions made in recruitment processes in academic medicine.

However, the literature suggests that those involved in hiring processes can take steps to mitigate some of the effects of unconscious bias in evaluating job candidates. These steps may include:

- Ask individuals involved in hiring processes to reflect on unconscious biases by taking the online version of the IAT (<https://implicit.harvard.edu/>).
- Create a more objective, structured interview process by (a) setting criteria or using objective measures to assess the skills needed for effective job performance; (b) administering training to all involved in the search and interview process on how to conduct structured interviews; and (c) using performance, satisfaction, and turnover rates of new hires to measure the effectiveness of the interview process.<sup>8</sup>
- Be aware that recommenders of applicants may hold unconscious biases, and therefore may present skewed representations of applicants in their letters of recommendation.<sup>9</sup>
- Consider that cultural differences can affect first impressions of candidates. For instance, the standard interview in the United States uses the criteria of self-confidence, goal orientation, enthusiasm, and leadership, even though these qualities may not be apparent in people of more reserved cultures.<sup>10</sup>
- Reserve ample time for the interviews and evaluations of candidates, as sex bias emerges more when evaluators are under time pressure.<sup>11</sup>

#### **Author:**

April Corrice, Research Analyst,  
Organizational and Management Studies,  
Office of the Executive Vice President,  
AAMC, [acorrice@aamc.org](mailto:acorrice@aamc.org), 202-741-0747.

#### **Association of American Medical Colleges**

2450 N Street, N.W.  
Washington, D.C. 20037-1127  
[analysis@aamc.org](mailto:analysis@aamc.org)  
[www.aamc.org/data/aib](http://www.aamc.org/data/aib)

APPOINTMENT AND PROMOTION  
Review and Appraisal Committees

APM - 210

**Index**

210-0 **Policy**

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

- a. Purpose and Responsibility of the Review Committees
- b. Maintenance of the Committee's Effectiveness
- c. Procedure
- d. Criteria for Appointment, Promotion, and Appraisal
- e. The Report

Appendix A, Statement on Professional Ethics, 1966 AAUP

210-2 **Instructions to Review Committees Which Advise on Actions Concerning the  
Professor of Clinical (e.g., *Medicine*) Series**

210-3 **Instructions to Review Committees Which Advise on Actions Concerning the  
Lecturer with Security of Employment Series**

210-4 **Instructions to Review Committees Which Advise on the Appointment, Merit  
Increase, Promotion, Career Status Actions for Members of Librarian Series**

- a. Definition of Review Committee
- b. Purpose and Responsibility of Review Committee
- c. Maintenance of the Committee's Effectiveness
- d. Procedure
- e. Criteria

**Index**

- 210-5    **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Supervisor of Physical Education Series**
- a.    Purpose and Responsibility of the Review Committee
  - b.    Maintenance of the Committee's Effectiveness
  - c.    Procedure
  - d.    Criteria for Appointment and Promotion
  - e.    The Report
- 210-6    **Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series**
- 210-24   **Authority**



210-0 **Policy**

In their deliberations and preparations of reports and recommendations, academic review and appraisal committees shall be guided by the policies and procedures set forth in the respective *Instructions* which appear below.

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

The following instructions apply to review committees for actions concerning appointees in the Professor series and the Professor in Residence series; and, with appropriate modifications, for appointees in the Adjunct Professor series.

a. **Purpose and Responsibility of the Review Committees**

The quality of the faculty of the University of California is maintained primarily through objective and thorough appraisal, by competent faculty members, of each candidate for appointment or promotion. Responsibility for this appraisal falls largely upon the review committees nominated by the Committee on Academic Personnel or equivalent Committee and appointed by the Chancellor or a designated representative. It is the duty of these committees to ascertain the present fitness of each candidate and the likelihood of the candidate's pursuing a productive career. In judging the fitness of the candidate, it is appropriate to consider professional integrity as evidenced by performance of duties. (A useful guide for such consideration is furnished by the *Statement on Professional Ethics* issued by the American Association of University Professors. A copy of this *Statement* is appended to these instructions of 210-1 for purposes of reference.) Implied in the committee's responsibility for building and maintaining a faculty of the highest excellence is also a responsibility to the candidate for just recognition and encouragement of achievement.

b. **Maintenance of the Committee's Effectiveness**

- (1) *The membership, deliberations, and recommendations of the review committee are strictly confidential.* The chair of each such committee should remind members of the committee of the confidential nature of the assignment. This should be kept in mind in arranging for all written or oral communications; and when recommendations with supporting documents have been forwarded, all copies or preliminary drafts should be destroyed. Under the provisions of Section 160 of the Academic Personnel Manual, the candidate is entitled to receive upon request from

the Chancellor a redacted copy of all confidential academic review records in the review file (without disclosure of the identities of members of the *ad hoc* review committee).

- (2) The whole system of academic review by committees depends for its effectiveness upon each committee's prompt attention to its assignment and its conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.
- (3) The chair of the review committee has the responsibility of making sure that each member of the committee has read and understands these instructions.

c. **Procedure**

- (1) **General** — Recommendations concerning appointment, promotion, and appraisal normally originate with the department chair. The letter of recommendation should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should also present a report of the department chair's consultation with the members of the department, including any dissenting opinions. The letter should not identify individuals who have provided confidential letters of evaluation except by code. In addition to the letter of recommendation, the department chair is expected to assemble and submit to the Chancellor an up-to-date biography and bibliography, together with copies of research publications or other scholarly or creative work.
- (2) **Appointments** — The department chair should include in the documentation opinions from colleagues in other institutions where the nominee has served and from other qualified persons having firsthand knowledge of the nominee's attainments. Extramural opinions are imperative in cases of proposed appointments to tenure status of persons from outside the University.
- (3) **Promotions** — Promotions are based on merit; they are not automatic. Achievement, as it is demonstrated, should be rewarded by promotion. Promotions to tenure positions should be based on consideration of comparable work in the candidate's own field or in closely related fields. The department and the review committee should consider how the candidate stands in relation to other people in the field outside the University who might be considered alternative candidates for the position. The department chair shall supplement the opinions of

colleagues within the department by letters from distinguished extramural informants. The identity of such letter writers should not be provided in the departmental letter except by code.

- (4) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted. If in the committee's judgment the evidence is insufficient to enable it to reach a clear recommendation, the committee chair, through the Chancellor, shall request amplification. In every case all obtainable evidence shall be carefully considered.

If in assessing all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-1-d below, the committee should recommend accordingly. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement. If there is evidence of sufficient achievement in a time frame that is extended due to a family accommodation as defined in APM - 760, the evidence should be treated procedurally in the same manner as evidence in personnel reviews conducted at the usual intervals. The file shall be evaluated without prejudice as if the work were done in the normal period of service and so stated in the department chair's letter.

d. **Criteria for Appointment, Promotion, and Appraisal**

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive. As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. *Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.* Insistence upon this standards for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and

transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career. The candidate may submit for the review file a presentation of his or her activity in all four areas.

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

The criteria set forth below are intended to serve as guides for minimum standards in judging the candidate, not to set boundaries to exclude other elements of performance that may be considered.

- (1) **Teaching** — Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will a tenure commitment be made unless there is clear documentation of ability and diligence in the teaching role. In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups. The committee should pay due attention to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of

evidence on which its appraisal of teaching competence has been based. In those exceptional cases when no such evidence is available, the candidate's potentialities as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that a redacted copy of its report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany each review file. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates who have achieved notable professional success since leaving the University; (d) number and caliber of students guided in research by the candidate and of those attracted to the campus by the candidate's repute as a teacher; and (e) development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction.

All cases for advancement and promotion normally will include: (a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review; (c) their level; (d) their enrollments; (e) the percentage of students represented by student course evaluations for each course; (f) brief explanations for abnormal course loads; (g) identification of any new courses taught or of old courses when there was substantial reorganization of approach or content; (h) notice of any awards or formal mentions for distinguished teaching; (i) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (j) evaluation by other faculty members of teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

- (2) **Research and Creative Work** — Evidence of a productive and creative mind should be sought in the candidate's published research or recognized artistic production in original architectural or engineering designs, or the like.

Publications in research and other creative accomplishment should be evaluated, not merely enumerated. There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance. Work in progress should be assessed whenever possible. When published work in joint authorship (or other product of joint effort) is presented as evidence, it is the responsibility of the department chair to establish as clearly as possible the role of the candidate in the joint effort. It should be recognized that special cases of collaboration occur in the performing arts and that the contribution of a particular collaborator may not be readily discernible by those viewing the finished work. When the candidate is such a collaborator, it is the responsibility of the department chair to make a separate evaluation of the candidate's contribution and to provide outside opinions based on observation of the work while in progress. Account should be taken of the type and quality of creative activity normally expected in the candidate's field. Appraisals of publications or other works in the scholarly and critical literature provide important testimony. Due consideration should be given to variations among fields and specialties and to new genres and fields of inquiry.

Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama, and dance, distinguished performance, including conducting and directing, is evidence of a candidate's creativity.

- (3) **Professional Competence and Activity** — In certain positions in the professional schools and colleges, such as architecture, business

administration, dentistry, engineering, law, medicine, etc., a demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the the candidate's field. It is responsibility of the department chair to provide evidence that the position in question is of the type described above and that the candidate is qualified to fill it.

- (4) **University and Public Service** — The faculty plays an important role in the administration of the University and in the formulation of its policies. Recognition should therefore be given to scholars who prove themselves to be able administrators and who participate effectively and imaginatively in faculty government and the formulation of departmental, college, and University policies. Services by members of the faculty to the community, State, and nation, both in their special capacities as scholars and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality, should likewise be recognized as evidence for promotion. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence, as should contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of the faculty.

e. **The Report**

- (1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel or its equivalent and for action by the Chancellor and by the President. Consequently, the report should include an appraisal of all significant evidence, favorable and unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of

the qualifications specified above. It should be adequately documented by reference to the supporting material. It should document the vote of the review committee but not identify the voters. It should not provide the identity of individuals who have provided confidential evaluations except by code.

- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

Appended for reference is the statement on professional ethics referred to in APM - 210-1-a of these instructions.



*American Association of University Professors  
Policy Documents & Reports  
Pages 75-76, 1990*

***Statement on Professional Ethics***  
(Endorsed by the Seventy-Third Annual Meeting, June 1987)

***The Statement***

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles of intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
- III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

- IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
  
- V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

210-2 **Instructions to Review Committees Which Advise on Actions Concerning the Professor of Clinical (*e.g.*, *Medicine*) Series**

- a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 275 for policies on the Professor of Clinical (*e.g.*, *Medicine*) series.
- b. The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) professional competence and activity, (3) creative work, and (4) University and public service.

The department chair is responsible for documenting the faculty member's division of effort among the four areas of activity. The chair should also indicate the appropriateness of this division to the position that the individual fills in the department, school, or clinical teaching faculty.

Appointees in the Professor of Clinical (*e.g.*, *Medicine*) series are to be evaluated in relation to the nature and time commitments of their University assignments.

The criteria set forth below are intended to serve as guides for the review committee in judging the candidate, not to set boundaries to the elements of performance that may be considered.

Clinical teaching, professional activity, and creative work may differ from standard professorial activities in the University, but can be judged on the basis of professional competence, intellectual contribution, and originality.

- (1) **Teaching** — Excellent teaching is an essential criterion for appointment or advancement. Clinical teaching is intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by pressure on the teacher to cope with unpredictably varied problems, by patient-centered immediacy of the subject matter, and by the necessity of preparing the student to take action as a result of the interchange.

Nevertheless, the criteria suggested in the instructions for the regular Professor series (see APM - 210-1) are applicable:

. . . the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; . . . spirit and enthusiasm which vitalize the

candidate's learning and teaching; ability to arouse curiosity in beginning students and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; the extent and skill of the candidate's participation in the general guidance and advising of students . . . .

In addition, the clinical teacher should be successful in applying knowledge of basic health science and clinical procedures to the diagnosis, treatment, and care of a patient in a manner that will not only assure the best educational opportunity for the student, but also provide high quality care for the patient.

For appointment to a title in this series, the appointee should have a record of active participation and excellence in teaching, whether for health professional students, graduate students, residents, postdoctoral fellows, or continuing education students.

For promotion to or appointment at the Professor rank, the appointee should be recognized as an outstanding clinical teacher. Most candidates will have designed educational programs at a local level, and some will have designed such programs at a national level.

- (2) **Professional Competence and Activity** — There must be appropriate recognition and evaluation of professional activity. Exemplary professional practice, organization of training programs for health professionals, and supervision of health care facilities and operations comprise a substantial proportion of the academic effort of many health sciences faculty. In decisions on academic advancement, these are essential contributions to the mission of the University and deserve critical consideration and weighting comparable to those of teaching and creative activity.

(a) Standards for Appointment or Promotion

For entry level positions, the individual should have three or more years of training and/or experience post M.D., Ph.D. or equivalent terminal professional degree. In addition, an appointee should show evidence of a high level of competence in a clinical specialty.

For promotion to or appointment at the Associate Professor rank, an appointee should be recognized at least in the local metropolitan health care community as an authority within a clinical specialty. A physician normally will have a regional reputation as a referral

physician; another health professional normally will have a regional reputation as evidenced in such work as that of a consultant.

For promotion to or appointment at the Professor rank, the appointee will have a national reputation for superior accomplishments within a clinical specialty and may have a leadership role in a department or hospital. Appointees may receive patients on referral from considerable distances, serve as consultants on a nationwide basis, serve on specialty boards, or be members or officers of clinical and/or professional societies.

(b) Evaluation of Clinical Achievement

Evaluation of clinical achievement is both difficult and sensitive. In many cases, evidence will be testimonial in nature and, therefore, its validity should be subject to critical scrutiny. The specificity and analytic nature of such evidence should be examined; the expertise and sincerity of the informant should be weighed.

Overly enthusiastic endorsements and cliché-ridden praise should be disregarded.

Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. Letters from outside authorities, when based on adequate knowledge of the individual and written to conform to the requirements cited above, are valuable contributions. Evaluation or review by peers within the institution is necessary. The chair should also seek evaluations from advanced clinical students and former students in academic positions or clinical practice.

If adequate information is not included in the materials sent forward by the chair, it is the review committee's responsibility to request such information through the Chancellor.

- (3) **Creative work** — Many faculty in the health sciences devote a great proportion of their time to the inseparable activities of teaching and clinical service and, therefore, have less time for formal creative work than most other scholars in the University. Some clinical faculty devote this limited time to academic research activities; others utilize their clinical experience as the basis of their creative work.

An appointee is expected to participate in investigation in basic, applied, or clinical sciences. In order to be appointed or promoted to the Associate or full Professor rank, an appointee shall have made a significant contribution to knowledge and/or practice in the field. The appointee's creative work shall have been disseminated, for example, in a body of publications, in teaching materials used in other institutions, or in improvements or innovations in professional practice which have been adopted elsewhere.

Evidence of achievement in this area may include clinical case reports. Clinical observations are an important contribution to the advancement of knowledge in the health sciences and should be judged by their accuracy, scholarship, and utility. Improvements in the practice of health care result from the development and evaluation of techniques and procedures by clinical investigators. In addition, creative achievement may be demonstrated by the development of innovative programs in health care itself or in transmitting knowledge associated with new fields or other professions.

Textbooks and similar publications, or contributions by candidates to the professional literature and the advancement of professional practice or of professional education, should be judged as creative work when they represent new ideas or incorporate scholarly research. The development of new or better ways of teaching the basic knowledge and skills required by students in the health sciences may be considered evidence of creative work.

The quantitative productivity level achieved by a faculty member should be assessed realistically, with knowledge of the time and institutional resources allotted to the individual for creative work.

- (4) **University and Public Service** — The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. The department chair should provide both a list of service activities and an analysis of the quality of this service.

**210-3 Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment Series**

- a. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e, shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 285 both for policies and procedures on appointments in the Lecturer with Security of Employment series.
- b. The review committee shall judge the candidate with respect to the proposed rank and duties considering the record of the candidate's performance in (1) teaching, (2) professional achievement and activity, and (3) University and public service.
- c. The criteria set forth below are intended to serve as guides for minimum standards by which to judge the candidate, not to set boundaries to exclude other elements of performance that may be considered, as agreed upon by the candidate and the department.

**(1) Teaching**

Clearly demonstrated evidence of excellent teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will security of employment be conferred unless there is clear documentation of outstanding teaching.

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; ability to arouse curiosity in students and to encourage high standards; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; and effectiveness in creating an academic environment that is open and encouraging to all students. The committee should pay due attention to the variety of demands placed on Lecturers by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching competence has been based. In those exceptional cases of an

initial appointment where no such evidence is available, the candidate's potential as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that the report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates; and (d) development of new and effective techniques of instruction.

All cases for advancement and promotion normally will include: (a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review which includes (i) the level of courses and tutorials taught, (ii) the enrollments of courses and tutorials taught, and (iii) for each course, the percentage of student course evaluations in relation to the total number of students in the course; (c) brief explanations for abnormal course loads; (d) identification of any new courses taught or of old courses which the candidate has substantially reorganized in approach or content; (e) notice of any awards or other acknowledgments of distinguished teaching; (f) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (g) commentary by other faculty on teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

## **(2) Professional Achievement and Activity**

A demonstrated distinction in the special competencies appropriate to teaching the particular subject is one of the criteria for appointment or promotion. The candidate's professional activities should be scrutinized



for evidence of achievement and leadership. Intellectual leadership must be documented by materials demonstrating that the candidate has, through publication (either in traditional forms or in electronic format), creative accomplishments, or other professional activity, made outstanding and recognized contributions to the development of his or her special field and/or of pedagogy.

**(3) University and Public Service**

The review committee should evaluate both the quantity and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. Evidence of suitability for promotion may be demonstrated in services to the community, state, and nation, both in the candidate's special capacities as a teacher and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence. The department chair should provide both a list of service activities and an analysis of the quality of this service.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions.

**210-4 Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series**

- a. The committees here referred to, either standing or *ad hoc* or both, are designated as review committees in what follows. Authorization for their appointment is described in APM - 360-6-b and -c.
- b. The quality of the librarian series at the University of California is maintained primarily through objective and thorough review by peers and administrators of each candidate for appointment, merit increase, promotion, and career status action. Responsibility for this review falls, in part, upon the review committee(s). For purposes of appointments, it is the duty of these committees to assess the present qualifications of the candidates and their potential as productive members of the library staffs. For purposes of merit increases, promotions, and career status actions, it is the duty of these committees to assess an individual's performance during a given review period to determine if a merit, promotion, or career status action should be recommended. Review committees should refer to APM - 360 for information concerning appointment, merit increase, promotion, and career status actions.

In conducting its review and arriving at its judgment concerning a candidate, each review committee shall be guided by the criteria as mentioned in APM - 360-10 and described in APM - 210-4-e.

**c. Maintenance of the Committees' Effectiveness**

- (1) *The deliberations and recommendations of the review committees are to be strictly confidential. The membership and report of each ad hoc review committee are confidential.* The chair of each committee shall remind members of the confidential nature of the assignment. This requirement must be kept in mind when arrangements are made through the Chancellor or designee for written or oral communications. When recommendations with supporting documents have been forwarded to the Chancellor or designee, all copies or preliminary drafts shall be destroyed. Under the provisions of APM - 360-80-l, the candidate is entitled to receive from the Chancellor or designee a redacted copy of the confidential documents in the academic review record (without disclosure of the identities of members of the *ad hoc* review committee and without separate identification of the evaluation and recommendation made by the *ad hoc* review committee).
- (2) The entire system of review by such committees depends for its effectiveness upon each committee's prompt attention to its assignment

and its conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.

- (3) The chair of the review committee has the responsibility for making sure that each member of the committee has read and understands these instructions.

d. **Procedures**

- (1) **General** — Recommendations for appointments, merit increases, promotions, and career status actions normally originate with the department or unit head, herein called the review initiator. (See APM - 360-80-e.) The letter of recommendation shall provide a comprehensive assessment of the candidate's qualifications, together with detailed evidence to support the evaluation, including an up-to-date biography and bibliography. The letter should also present a report of consultation with appropriate members of the professional library staff and others in a position to evaluate performance and should include any dissenting opinions.

In the case of an appointment, opinions from colleagues in other institutions where the candidate has served and from other qualified persons having firsthand knowledge of the candidate's attainments are to be included, if feasible.

In the review of a proposed merit increase, promotion or career status action (the general procedure for all shall normally be the same, subject to any special campus procedures), extramural evidence, when it can be obtained, is highly desirable although not required.

- (2) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted. If, in the committee's judgment, the evidence is incomplete or inadequate to enable it to reach a clear recommendation, the committee shall solicit additional information through the Chancellor or designee and request amplification or new material. In every case, all obtainable evidence shall be carefully considered.

If, according to such evidence, the candidate fails to meet the criteria set forth in APM - 210-4-e, the committee should recommend against the proposed action.

If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse or propose a recommendation for higher rank or higher step within rank which would constitute an accelerated advancement of an appointee.

e. **Criteria**

- (1) **Appointments** — A candidate for appointment to this series shall normally be required to have a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

Selection of an individual to be appointed to the rank of Assistant Librarian is based upon the requirements of the position with due attention to the candidate's demonstrated competence, knowledge and experience. A person appointed as Assistant Librarian without previous professional library experience should normally be appointed at Step I. A person who has had previous experience relevant to the position may be appointed to one of the higher salary levels in this rank, depending on the candidate's aptitude, the extent of prior experience, and/or the requirements of the position.

A candidate with extensive previous relevant experience and superior qualifications who is being considered for a highly demanding and responsible position should be appointed to one of the two higher ranks in the series. The criteria for the appointment to either of these levels will be the same as those for promotion as outlined below.

- (2) **Merit Increases and Promotions** — At the time of original appointment to a title in this series, each appointee shall be informed that continuation or advancement is justified only by demonstrated skills and achievement which will be determined after objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for continuation or advancement, there is no obligation on the part of the University to continue or to promote. On the other hand, accelerated promotion is possible if achievement has been exceptional. An appointee will be eligible for promotion only if there are demonstrated superior professional skills and achievement. For some, promotion may involve a position change; for others, promotion may not necessarily involve position change but will depend upon increased responsibility as well as

growing competence and contribution in the same position. The assumption of administrative responsibilities is not a necessary condition for promotion.

A candidate for merit increase or promotion in this series shall be judged on the basis of professional competence and quality of service rendered within the library and, to the extent they are relevant, one or more of the following: professional activity outside the library; University and public service; and research and other creative activity. (See APM - 360-10.)

- (3) The criteria as set forth in detail below are intended to serve as general guidelines and do not preclude consideration of other unique service to the University. In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of these criteria.
  - (a) **Professional Competence and Quality of Service Within the Library** — Although contribution in each of the following areas will vary considerably from person to person depending on each person's primary functions as a librarian, performance and potential shall be reviewed and evaluated in any or all of the five major areas of librarianship: selection and development of resources; bibliographic control of collections and their organization for use; reference and advisory service; development and application of specialized information systems; and library administration and management. Additionally, librarians should be judged on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.

Evidence of effective service may include the opinions of professional colleagues, particularly those who work closely or continuously with the appointee; the opinions of faculty members, students, or other members of the University community as to the quality of a collection developed, for example, or the technical or public service provided by the candidate; the opinions of librarians outside the University who function in the same specialty as the candidate; the effectiveness of the techniques applied or procedures developed by the candidate; and relevant additional educational achievement, including programs of advanced study or courses taken toward improvement of language or subject knowledge.

- (b) **Professional Activity Outside the Library** — A candidate's professional commitment and contribution to the library profession should be evaluated by taking account of such activities as the following: membership and activity in professional and scholarly organizations; participation in library and other professional meetings and conferences; consulting or similar service; outstanding achievement or promise as evidenced by awards, fellowships, grants; teaching and lecturing; and editorial activity.
- (c) **University and Public Service** — Recognition should be given to those who participate effectively and imaginatively in library-wide and University service (including serving on campus or University-wide administrative or academic committees), and in professional librarian services to the community, state, and nation.
- (d) **Research and Other Creative Activity** — Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. It is therefore appropriate to take it into account in measuring a librarian's professional development. The evaluation of such research or other creative activity should be qualitative and not merely quantitative and should be made in comparison with the activity and quality appropriate to the candidate's specialty. Note should be taken of continued and effective endeavor. Reports, handbooks, manuals, and similar documents may be considered under this heading only if they present new ideas or incorporate research; otherwise, they should be regarded solely as evidence of professional service.

f. **The Report**

- (1) The report of the review committee(s) forms the basis for further administrative review and action by the Chancellor or designee. Consequently, the report should include an assessment of all significant evidence, favorable and unfavorable. It should be specific and analytical, should include the review committee's evaluation of the candidate with respect to the qualifications specified, and should be adequately documented by reference to the supporting material.
- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a

unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

**210-5 Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Supervisor of Physical Education Series**

The following instructions apply to review committees for actions concerning appointees in the Supervisor of Physical Education series (see APM - 300).

The Supervisor of Physical Education series has been designated for those members of a Department of Physical Education or Physical Activities who teach, promote and/or supervise physical activities, intercollegiate athletics, or intramural sports programs; teach courses and establish curricula in physical education; coordinate or administer campus intercollegiate athletics or recreation programs.

The titles Assistant Supervisor, Associate Supervisor, and Supervisor of Physical Education have been granted limited equivalency with the corresponding titles in the Professor series. The equivalency extends to leave of absence privileges (including sabbatical leave) and tenure at the two higher ranks. The supervisor series is not used for those members of a Department of Physical Education or Physical Activities of whom research is required and thus properly belong in the Professor series.

**a. Purpose and Responsibility of the Review Committees**

While the review criteria differ in the supervisor series from the requirements of the Professor series, the quality of the faculty in both series is maintained through objective and thorough appraisal of each candidate for appointment and promotion. Significant responsibility for this appraisal falls to the review committees nominated by the Committee on Academic Personnel (or other appropriate committee) and appointed by the Chancellor. It is the duty of the review committee to ascertain the present fitness of each candidate and the likelihood of a continuing productive career. Implicit in the committee's responsibility for maintenance of a quality faculty is just recognition and encouragement of achievement on the part of the candidate.

**b. Maintenance of the Committee's Effectiveness**

The chair of the review committee has the responsibility of assuring that these instructions have been read and understood by the members, that *strict confidentiality* is maintained by the committee, and that committee actions are carried out with as much dispatch as is consistent with thoughtful consideration. These requirements are presented in greater detail in Section 210-1-b.



c. **Procedure**

- (1) **General** — Recommendations for appointment and promotion normally originate with the department chair who should include in the letter of recommendation a comprehensive assessment of the candidate's qualifications and detailed related evidence, and a report of the appropriate consultation with departmental colleagues, recording the vote and the nature of any dissenting opinions. In addition, the department chair is expected to assemble and submit with the recommendation teaching evaluations, updated biographical information, evidence of the candidate's effectiveness, leadership, and professional growth in all assigned areas of responsibility, and any other items pertinent to the review.
- (2) **Appointments** — The documentation provided with the department chair's recommendation should include opinions from colleagues in other institutions where the candidate has served, and from other qualified persons having direct knowledge of the candidate's attainments. Extramural opinions are imperative in the case of proposed tenured appointments.
- (3) **Promotions** — Promotions are based on merit, and should be recommended only when achievement and the promise of future contributions warrant such action. Both the department and the review committee should consider the candidate's teaching, leadership, professional development and standing in relation to others who might be considered alternative candidates for the position. The department chair should supplement the opinions of departmental colleagues with letters from qualified extramural informants.
- (4) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted and if deemed inadequate to reach a clear recommendation, the committee chair shall request, through the Chancellor, additional evidence or amplification. All obtainable evidence shall be carefully considered.

If, according to all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-5-d below, the committee should recommend against appointment or promotion. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement.

d. **Criteria for Appointment and Promotion**

The review committee shall judge the candidate for the proposed rank and duties, considering the record of performance in (a) teaching, (b) professional achievement and leadership in one or more of the following: physical activities, campus intramural or recreation programs, extramural sports, or intercollegiate sports programs; and (c) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing heavier commitments and responsibilities in one area against lighter responsibilities in another. Although published research is *not* required of those in the supervisor of physical education series, such research or other creative activity should be given appropriate recognition as adding to the knowledge in the field. However, neither the flexibility noted above nor the absence of a research requirement should entail a relaxation of the University's high standards for appointment and promotion. *Superior attainment and the promise of future growth, as evidenced in teaching, program leadership, professional development, and University and public service, are indispensable qualifications for appointment and promotions to tenure positions.*

The criteria outlined below are intended to guide reviewing agencies in judging the candidate, not to set boundaries to the elements of performance that may be considered.

- (1) **Teaching** — Effective teaching is an essential criterion to appointment or advancement. Under no circumstances will a tenure commitment be made unless there is a clear evidence of ability and diligence in the teaching role. In assessing performance in this area, the committee should consider the candidate's command of the subject; continued growth; mastering of new topics to improve effective service to the University; ability to organize and present course materials; grasp of general objectives; ability to awaken in students an awareness of the importance of subject matter to the growth of the individual; extent and quality of participation; achievements of students in their field.

It is the responsibility of the department chair to provide meaningful statements, accompanied by evidence, including student evaluations, regarding the candidate's effectiveness in teaching.

If the information provided is deemed inadequate, it is the responsibility of the chair of the committee to request additional material, through the Chancellor.

- (2) **Professional Achievement and Activity** — Although published research is not required of those in the supervisor series, any pertinent activity or creative work in this area shall be given due consideration as evidence of professional achievement or leadership.

In reviewing the candidate's suitability for appointment or promotion, the committee should evaluate the evidence for professional achievement as shown by educational attainment, record of accomplishment, and promise of future growth. No recommendation for tenure should be made unless this evidence clearly demonstrates that the candidate has superior leadership qualities in one or more of the areas of supervising, coaching, or administering programs in physical education, physical activities, recreation or sports. For appointment or promotion to the rank of Supervisor, significant and extramurally recognized distinction is required. It is the responsibility of the department chair to provide evidence that bears on the questions of leadership and of professional achievement and activity. This may include evidence related to educational accomplishment; the institution of effective and innovative programs; competitive sports records; activity in professional organizations; supervision of personnel; administration of activities, sports, or recreation programs; and other appropriate information.

- (3) **University and Public Service** — The committee should evaluate both the amount and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. The department chair should provide both a listing of service aspects and an analysis of the quality of this service.
- (4) The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of faculty members.

e. **The Report**

- (1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel (or equivalent) and for action by the Chancellor and by the President. Consequently, it should include an appraisal of all significant evidence, favorable or unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of the qualifications

specified above. It should be adequately documented by reference to the supporting material.

- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reason therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

**210-6 Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series**

- a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The instructions below apply to review committees for actions concerning appointees in the Health Sciences Clinical Professor series. The committee should refer to APM - 278 for policies on the Health Sciences Clinical Professor series.
- b. The review committee shall evaluate the candidate with respect to proposed rank and duties, considering the record of the candidate's performance in (1) professional competence and activity, (2) teaching, (3) University and public service, and (4) research and creative work. Activities in items (3) and (4) are desirable and encouraged to the extent required by campus guidelines. See APM - 278-10-c and -d.

For appointments, the chair shall provide a description of the proposed allocation of the candidate's time in the areas of activity. For advancement, the chair shall document the faculty member's allocation of effort among the areas of activity. The chair should also indicate the appropriateness of this allocation to the position that the individual holds in the department, school, or clinical teaching faculty.

Appointees in the Health Sciences Clinical Professor series shall be evaluated in relation to the nature and the allocation of time of their University assignments. Faculty with part-time appointments are expected to show the same quality of performance as full-time appointees, but the amount of activity may be less.

The criteria set forth below are intended to serve as guidelines for the review committee in judging the candidate, not as boundaries for the elements of performance that may be considered.

**(1) Professional Competence and Activity**

The evaluation of professional competence and activity generally focuses on the quality of patient care.

A demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be reviewed for evidence of achievement, leadership, or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems.

**a. Professional Practice**

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate and the likelihood that the candidate will be a competent teacher and develop an excellent professional practice.

In addition to proven competence in teaching, a candidate for appointment or promotion to the rank of Health Sciences Associate Clinical Professor or Health Sciences Clinical Professor in this series should show evidence of excellence in professional practice. Such evidence may include, but is not limited to, evaluations that demonstrate:

- provision of high-quality patient care;
- a high level of competence in a clinical specialty;
- expanded breadth of clinical responsibilities;
- significant participation in the activities of clinical and/or professional groups;
- effective development, expansion, or administration of a clinical service; or
- recognition or certification by a professional group.

The review committee should judge the significance and quantity of clinical achievement and contribution to the profession. In many cases, evidence of clinical achievement will be testimonial in nature.

(b) Professional Activity

An individual's role in the organization of training programs for health professionals and the supervision of health care facilities and operations may provide evidence of exemplary professional activity. In decisions bearing on academic advancement, these activities should be recognized as important contributions to the mission of the University.

(2) **Teaching**

Teaching is a required duty of clinical faculty. Before making an initial appointment to this series, the review committee should evaluate the candidate's potential to be an effective teacher. Evidence of excellence in clinical teaching is essential for advancement in this series. Teaching may involve registered University of California students, housestaff, fellows, and postdoctoral scholars. Normally teaching in the clinical setting comprises intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by multiple demands on the teacher to cope with unpredictably varied problems, patient needs, and the necessity of preparing the students to exercise judgment and/or take action. Nevertheless, the criteria suggested for evaluating teaching in the regular Professor series are applicable:

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; . . . fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. (APM - 210-1-d(1))

In addition, the clinical teacher should be successful in applying knowledge of basic health science and clinical procedures to the diagnosis, treatment, and care of a patient that will not only assure the best educational opportunity for the student, but will also provide the highest quality care for the patient.

Dossiers for advancement and promotion normally will include evaluations and comments solicited from students.

**(3) University and Public Service**

The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for various schools or departments.

**(4) Research and Creative Work**

The review committee should evaluate research and creative work, to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for different schools or departments.

Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. As a general rule, for appointment and promotion at the level of Health Sciences Associate Clinical Professor, faculty may demonstrate local or regional recognition for their clinical and teaching activities. For advancement to the Health Sciences Clinical Professor rank, faculty may demonstrate a regional or national reputation and should demonstrate highly distinguished clinical expertise, highly meritorious service, and excellence in teaching.

Extramural referee letters may be requested for new appointments and promotions if required by campus procedures. For reviews at Health Sciences Clinical Professor, Step VI, and for above-scale salaries, the chair should request letters from authorities and should also seek evaluations from advanced clinical students and former students now in academic positions or clinical practice. If adequate information is not included in the materials sent forward by the chair, it is the review committee's responsibility to request such information through the Chancellor.

**210-24 Authority**

The responsibility to nominate and the authority to appoint review committees shall be in accordance with the stipulations set forth in the Manual Sections concerning the respective title series.



APPOINTMENT AND PROMOTION  
Deans

APM - 240

240-4 **Definitions**

- a. An academic Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. This assignment includes fiscal responsibility for the unit; responsibility for ensuring diversity of the faculty, students and staff, including maintaining an affirmative action recruitment and retention program consistent with University affirmative action policies, Regental policy and applicable law; and responsibility for ensuring that systemwide and local policies, including Academic Senate regulations, are observed.
- b. As academic heads of their units, Deans are persons of scholarly and professional accomplishment. The University encourages their continued engagement as academicians in scholarly, professional, teaching, and University service activities, consistent with, but distinct from, their decanal responsibilities. Therefore, it is appropriate for time to be allotted to them to engage in these activities.

240-10 **Criteria for Appointment**

Each Chancellor shall develop criteria for appointment of a Dean.<sup>1</sup>

240-14 **Eligibility**

- a. Except as specified in APM - 240, Deans are subject to all Academic Personnel policies.
- b. Acting and Interim Deans are subject to APM - 240 and to all Academic Personnel policies.
- c. A Dean with a concurrent title of Vice Chancellor and/or a Dean who reports solely to the Chancellor are governed by Senior Management Group policies.
- d. University Extension Deans and Student Affairs Deans are not covered by this policy.

---

<sup>1</sup> In accordance with APM - 100-6-d, the Chancellor may redelegate to a designee authority for implementing APM - 240.

**240-16 Restrictions**

- a. A Dean shall hold a concurrent University appointment in an Academic Senate faculty title or an equivalent title (see APM - 115, "Equivalent" Titles and Ranks).
- b. An appointment to the position of Dean shall be full time.

**240-17 Terms of Service**

- a. Subject to APM - 240-20-a, appointments to the position of Dean shall normally be for a period of five years, subject to reappointment. The Chancellor may approve a shorter service period. Appointments shall be made on a fiscal-year basis.
- b. Appointment as Acting or Interim Dean may be made either on an academic-year or fiscal-year basis, as determined by campus need.

**240-18 Salary**

Deans are positioned uniquely within the University system to serve as senior scholarly and professional leaders, thus, a fair and competitive salary structure must acknowledge this duality of purpose, and attempt to achieve a balanced approach to decanal compensation. The full scope of decanal responsibilities must be considered in the context of the senior leader who bridges the University's academic mission and administrative enterprise.

The Office of the President will publish a Deans Salary Structure, consisting of salary bands, each with established minimum and maximum ranges. The Chancellor will assign a unit salary to an individual Dean aligned with competitive market-based pay, and based on compensable factors.

During the salary-setting process, the Chancellor shall review the matrix of compensable factors included with the Deans Salary Structure. Compensable factors to consider and weigh to determine salary are: academic discipline; core functions of the job (size, scope, and complexity); market-based benchmarks; University faculty salary rank and step; strategic prioritization of the Campus, Division, College, School, or similar academic unit; and challenges unique to the history of the Campus, Division, College, School, or similar academic unit.

a. **Determination of Salary**

- (1) **Dean Salary Range.** A salary range for Deans established and maintained by the Office of the President shall serve as a baseline for determining appointment salary. Adjustments to the salary range shall not automatically result in corresponding increases in individual salaries.
- (2) **Prior administrative experience.** Prior relevant administrative experience may be considered in determining appropriate salary.
- (3) **Market conditions and comparability.** To pay competitive total compensation in regional and national marketplaces, the Chancellor may consider external market comparability and other market-based conditions in determining an appropriate salary. Comparison institutions selected to address the needs of individual schools and/or disciplines shall be comparable in rank and stature to the University of California.
- (4) **Equity within the University of California System.** Comparisons with equivalent Dean positions and responsibilities within the University may be considered in determining an appropriate salary.
- (5) **Professorial salary.** To encourage service as Dean, the Dean's administrative salary shall at all times remain greater than his or her University of California professorial salary.

b. **Merit Increases**

- (1) **Basis for Merit Increase.** A Dean shall be eligible for consideration of an annual merit increase associated with the administrative salary in accordance with campus procedures and the availability of funding. The decanal administrative merit review criteria and procedure are separate and distinct from the academic merit review criteria and procedure established under APM - 615, Salary Increases/Merit.

Eligibility to offer administrative merit increases will be determined annually through the University of California budget process.

- (2) **Eligibility.** The Dean's appointment must take effect no later than April 1 to be eligible for an administrative merit increase during the subsequent merit cycle.

- (3) **Amount of Merit Increase.** The amount of a Dean's administrative merit increase shall be based upon the following factors:
  - (a) The Dean's annual assessment (see APM - 240-80).
  - (b) The Dean's current position within the salary range and his or her salary relative to comparable internal positions.
  - (c) The availability of approved merit increase funding.

c. **Equity or Retention Increases**

- (1) The Chancellor may approve a salary increase to correct a significant salary inequity in individual circumstances based on factors such as rapidly changing external market conditions or a disparity created by new appointees in the same or substantially similar Dean positions, either at the campus or within the University, who have comparable levels of skills and experience.
- (2) The Chancellor may approve a salary increase when a five-year review has resulted in a recommendation to reappoint the Dean and has identified significant achievements and/or sustained excellent administrative performance beyond that which can be recognized in the annual merit review process. A salary increase also may be justified at the time of reappointment if market conditions or internal equity factors have changed since appointment, or if necessary to retain the Dean following a successful five-year review.
- (3) An equity or retention increase shall be effective on the same date as the administrative merit (normally October 1), to the extent possible. The merit increase shall be applied first, and any additional equity or retention increase shall be determined after applying the merit adjustment. An additional increase beyond the merit adjustment shall be provided only if the applied merit increase does not resolve the inequity or retention issue.
- (4) If a Dean receives an equity or retention increase in a fiscal year prior to the commitment of merit funding, the subsequent merit shall be calculated based upon the salary prior to any adjustment. A merit increase will only be applied if the merit calculation is more than the equity or retention increase.

d. **Compensation for Appointment as Acting or Interim Dean**

- (1) Administrative compensation shall be paid to an Acting Dean for assuming the responsibilities of an appointed Dean who is on an approved leave of absence or sabbatical leave for at least one academic term.
- (2) Administrative compensation shall be paid to an Interim Dean when the individual is serving as Dean on an interim basis when a new permanent Dean has not yet been named.
- (3) Compensation for an Acting or Interim Dean shall be set in accordance with normal campus practice.

e. **Additional University Compensation**

A Dean is compensated for full-time University service. Payment of additional University compensation is appropriate only in the following circumstances:

- (1) **Summer Research.** Deans may receive up to 1/12th payment for summer research based on their annual decanal salary. In such instances, accrued vacation shall be used in proportion to the research days worked.
- (2) **Summer Session Teaching.** Deans may receive up to 1/12th payment for summer session teaching. In such instances, accrued vacation shall be used in proportion to the teaching days worked.
- (3) **Additional Administrative Duties.** In exceptional circumstances, the Chancellor may assign a Dean to additional and temporary administrative duties within the University. In such cases, the campus may provide a stipend for the additional temporary administrative responsibilities.
- (4) **Acting or Interim Dean Appointments.** Academic-year Acting or Interim Dean appointees may receive administrative compensation for duties during the summer period. In combination with other University compensation for teaching and/or research duties, the total summer compensation may not exceed 3/9ths, exclusive of any stipends.

**240-20 Conditions of Employment**

- a. Individuals appointed to the titles of Dean, Acting Dean, or Interim Dean serve at the discretion of the Chancellor. The Chancellor may terminate the appointment of a Dean at will at any time, after discussion with an appropriate group of the faculty as determined by the Chancellor and after consultation with the Academic Senate. Once the Chancellor terminates the appointment of a Dean, the action is not subject to grievance unless the reasons for the termination are unlawful or in violation of University policy.
- b. Termination of a Dean appointment does not affect the underlying faculty appointment.
- c. Conflict of Commitment and Outside Professional Activities

A Dean may engage in outside activities as defined by and in accordance with APM - 025, Conflict of Commitment and Outside Activities of Faculty Members, with the following additional provisions:

- (1) A Dean may serve on no more than three for-profit external boards (not entities of the University of California) for which he or she receives compensation and for which he or she has governance responsibilities.
- (2) All outside professional activities, including compensated consulting activity, shall be reported annually to the Chancellor.
- (3) In accordance with APM - 025, Conflict of Commitment and Outside Activities of Faculty Members, a Dean may in each fiscal year engage in a maximum of forty-eight (48) calendar days of compensated outside professional activity, which includes the twelve days cited in (4) below.
- (4) A Dean may engage in compensated outside professional activity up to twelve (12) University workdays per fiscal year without deducting from vacation leave balances. In excess of twelve (12) days, a Dean shall use accrued vacation leave for performing compensated outside professional activities.

**240-24 Authority**

- a. The Chancellor has the authority to appoint and reappoint a Dean including those serving in an interim or acting capacity, and to approve the Dean's appointment salary and appropriate salary increases up to the established

maximum published in the Deans Salary Structure and in accordance with campus procedures.

- b. For initial appointments and five-year reviews, the Chancellor, after consultation with the Academic Senate, shall appoint a committee to advise him or her. In all cases, the Academic Senate and the faculty of the respective Division, College, School, or other similar academic unit will be consulted.
- c. The Chancellor shall report monthly and annually to the Provost any new appointees to the title of Dean or salary increases to existing appointees.
- d. Deans and acting and interim appointees to this title serve at the discretion of the Chancellor. The Chancellor may end the appointment of a Dean at will and at any time, after discussion with an appropriate group of the faculty as determined by the Chancellor and after consultation with the Academic Senate.

**240-60 Benefits and Privileges**

**a. Vacation Accrual**

- (1) Deans accrue and use vacation leave in accordance with APM - 730, Leaves of Absence/Vacation.
- (2) The Chancellor shall develop campus procedures for reporting vacation usage.
- (3) The Chancellor shall grant a Dean no more than thirty (30) days in any academic year for the purpose of attending international conferences and related scholarly activities. For additional time off beyond thirty (30) days, a Dean shall be required to use accrued vacation. The Chancellor may approve the additional time off as leave without pay once vacation leave has been exhausted.

**b. Medical Leave**

Deans do not accrue sick leave. However, Deans shall be granted paid medical leave for periods of personal illness, injury, or disability. See APM - 710-11, Paid Medical Leave for Academic Appointees Who Do Not Accrue Sick Leave.

**c. Sabbatical Leave Accrual**

- (1) Deans accrue sabbatical leave credit based on their underlying faculty administrative appointment in accordance with APM - 740, Leaves of Absence/Sabbatical Leaves.
- (2) Deans shall continue to accrue sabbatical leave credit beyond the established limits set forth in APM - 740-16-a for the duration of the Dean appointment.

**d. Administrative Leave**

The Chancellor may approve an administrative leave during appointment as Dean in accordance with APM - 758, Leaves of Absence/Other Leaves With Pay.

**e. Transition Leave**

- (1) A Dean may be eligible to take a transition leave immediately following the conclusion of the appointment to provide an opportunity to redirect his or her primary efforts to scholarly activities.
- (2) Paid transition leave shall result in corresponding deduction of sabbatical leave credits and is subject to the terms and conditions described in APM - 740, Leaves of Absence/Sabbatical Leaves.
- (3) Transition leave shall be paid at either the current administrative or faculty rate contingent upon when sabbatical leave credits were accrued. The salary rate for that portion of the leave compensated at the administrative salary rate is ineligible for any increase. The faculty salary rate is subject to any change that may result from salary scale adjustments or academic personnel review during the period of the leave.

If sabbatical leave credits are exhausted before the conclusion of a transition leave period, the Chancellor may approve a leave with pay at the faculty salary rate through the conclusion of the transition leave period. The individual is required to fulfill a return to active University service requirement (as stated in APM - 740-16-d) equal to the total period of the transition leave.



Sabbatical leave credits do not accrue during transition leave periods. Sabbatical leave credit accrual resumes upon return to University faculty service.

- (4) The combined total of transition leave and sabbatical leave taken during administrative service within the last five years may not exceed one year (12 months).

**240-80 Review Procedures for Decanal Duties**

This section of policy formalizes review procedures for the administrative portion of a Dean's duties. The administrative review procedures are separate and distinct from the formal academic review procedures governing the underlying faculty appointment as described in APM - 210, Review and Appraisal Committees, and APM - 220, Professor Series.

**a. Annual Assessment**

The Chancellor shall conduct an annual assessment for each Dean. The Chancellor shall communicate the key components of the assessment to each Dean.

**b. Five-Year Review and Reappointment**

- (1) The Chancellor shall conduct a five-year review for each Dean to determine whether reappointment to another term is warranted. In each case involving the five-year review of a Dean, the Chancellor, after consultation with the Academic Senate, shall appoint an advisory committee to review the Dean's performance and accomplishments. The advisory committee shall report its findings to the Chancellor.
- (2) The Chancellor shall develop the criteria and procedures for conducting five-year Dean reviews.
- (3) A Dean's overall performance should be judged as distinguished or highly meritorious in order to be reappointed.

APPOINTMENT AND PROMOTION  
Department Chairs

APM - 245

245-4 Definition

A department chair is a faculty member (as defined in APM - 110-4(15)) who serves as the academic leader and administrative head of a department of instruction or research, or a clinical service.

245-6 Responsibility

The duties of department chairs (or equivalent officers) are described in Appendix A to APM - 245.

245-10 Criteria for Appointment

Criteria for appointment of a department chair shall be developed by each Chancellor.

245-11 Criteria for Evaluating Leadership and Service in the Academic Personnel Process

Academic leadership is, in itself, a significant academic activity. Therefore, distinguished leadership and effective discharge of administrative duties by a department chair shall be considered as appropriate criteria in evaluating the performance of a department chair for a merit increase, accelerated increase, or promotion. It is expected that a department chair will remain active in both teaching and research in order to maintain his or her capabilities in the appropriate field of scholarship. However, a chair who discharges his or her duties as a chair effectively may have reduced time for teaching and research. Reduced activity in these areas that results from active service as a department chair should be recognized as a shift in the type of academic activity pursued by the department chair rather than a shift away from academic pursuits altogether. Therefore, it is entirely appropriate to award a merit increase, or, if performance warrants it, an accelerated increase, primarily for demonstrated excellence in service in the chair appointment when accompanied by evidence of continued productive involvement in scholarly activities.

Promotions in rank and advancement up to Step V of the Professor rank should be considered with these criteria in mind. However, advancement beyond Step V of the Professor rank or to an above-scale salary are advancements of greater significance than promotion and merit increases up to Professor Step V and should require substantial justification beyond excellence of administrative service.

Department chairs being considered for academic advancement are subject to regular review procedures, including review by the Committee on Academic Personnel or the equivalent committee.

245-16 Restrictions

Department chairs are subject to all Academic Personnel policies (APM).

Department chairs with concurrent appointments that are covered by the Health Sciences Compensation Plan are subject to APM - 670, Health Sciences Compensation Plan.

245-17 Terms of Service

Subject to APM - 245-20, department chairs shall be appointed for a period of up to five years, subject to reappointment.

245-18 Salary

Department chairs normally are compensated with stipends and/or additional summer compensation, when appropriate. Stipends shall be paid in accordance with APM - 633, Stipends/Academic Appointees. Stipend ranges shall be developed by each campus.

245-20 Conditions of Employment

A department chair serves at the discretion of the Chancellor. The Chancellor may terminate the appointment at any time, with or without cause.

Termination of a department chair appointment does not terminate the underlying faculty appointment.

A department chair may engage in outside activities as defined by, and in accordance with, APM - 025, Conflict of Commitment and Outside Activities of Faculty Members, and, if a department chair has a concurrent Health Sciences Compensation Plan appointment, in accordance with APM - 670, Health Sciences Compensation Plan and Guidelines on Occasional Outside Professional Activities by Health Sciences Compensation Plan Participants.

245-24 Authority

The Chancellor has authority to appoint and reappoint department chairs, including those serving in an Interim or Acting capacity, and to approve administrative compensation up to the established Indexed Compensation Level (ICL)<sup>1</sup> in accordance with campus procedures and upon the recommendation of the Dean or equivalent officer and after consultation with the tenured faculty in the department. In accordance with APM - 100-6-d, the Chancellor may redelegate to a designee authority for implementing APM - 245.

245-80 Review Procedures

A department chair shall serve no longer than five consecutive years without review. Each campus shall develop criteria and procedures for conducting department chair reviews.

---

<sup>1</sup> As stated in Regents Standing Order 100.3(b).

### Duties of Department Chairs (or Equivalent Officers)

The chair of a department of instruction and research is its leader and administrative head. Appointed by the Chancellor, the chair is responsible to the Chancellor through the Dean of the college or school.

As leader of the department, the chair has the following duties:

1. The appointee is in charge of planning the programs of the department in teaching, research, and other functions. The chair is expected to keep the curriculum of the department under review, and to maintain a climate that is hospitable to creativity, diversity, and innovation.
2. The appointee is responsible for the recruitment, selection, and evaluation of both the faculty and the staff personnel of the department. In consultation with colleagues, the chair recommends appointments, promotions, merit advances, and terminations. The appointee is responsible for maintaining a departmental affirmative action program for faculty and staff personnel, consistent with University affirmative action goals. The appointee 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 Appointment and Promotion Committees.
3. The appointee 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's administrative duties include the following (special assignments may be added from time to time, and the Chancellor or Dean may specify additional duties):

1. To make teaching assignments in accordance with the policy described in Academic Senate Regulation 750 and to assign other duties to members of the department staff.
2. To prepare the schedule of courses and of times and places for class meetings.
3. To establish and supervise procedures for compliance with University policy on the use of guest lecturers and Academic Senate Regulation 546 on special studies courses.

4. To 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, subject to the terms of any pertinent Memorandum of Understanding.
5. To prepare the budget and administer the financial affairs of the department, in accord with University procedures.
6. To schedule and recommend to the Chancellor sabbatical leaves and other leaves of absence for members of the department. (The chair may approve a leave of absence with pay for seven calendar days or less for attendance at a professional meeting or for the conduct of University business without submitting a leave of absence form.)
7. To report promptly the resignation or death of any member of the department.
8. To be responsible for the custody and authorized use of University property assigned to the department, and for assigning departmental space and facilities to authorized activities in accordance with University policy and campus rules and regulations.
9. To be responsible for departmental observance of proper health and safety regulations, in coordination with the campus health and safety officer.
10. To maintain records and prepare reports in accord with University procedures.
11. To report any failure of a faculty or staff member to carry out responsibilities and to recommend appropriate disciplinary action.
12. To report annually on the department's affirmative action program, including a description of good faith efforts undertaken to ensure equal opportunity in appointment, promotion, and merit activities, as well as a report on affirmative action goals and results in accordance with campus policy.

In performing these 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 also is expected to seek student advice on matters of concern to students enrolled in the department's programs. In large departments, the chair may be assisted in the tasks involved in carrying out the responsibilities of the chair by a vice chair or other colleagues, and, when desired, by an executive committee chosen in an appropriate manner; however, the responsibilities themselves may not be delegated.

# Campus*Life*Services

## the guide



University of California  
San Francisco

# here to help you

Wherever you find yourself at UCSF, you will find **Campus Life Services**. Comfort. Balance. Peace of mind. We're finding ways to make it easier for you to grow, learn, and discover.

A place to live, a spot to hear music, a ride to work, a cup of coffee—these are just a few of the hundreds of ways Campus Life Services enriches the daily lives of everyone who comes to work, visit, or study at the University of California, San Francisco.

Through our many services and business lines, we help build community, making UCSF the institution of choice for discovering, working, and learning.

UCSF is a multi-campus university. This guide will take you on a trip to the five main UCSF locations. Keep in mind, this is just a summary; if we covered all of our services, at every location, you'd need to bring your sleeping bag and pitch a tent. Since we have to keep this trip short and sweet, we've provided a list of phone numbers on the tear-out to your left. The nice folks on the other end of the phones can tell you more about each service unit.

So, ready to take our tour? Let us help you get oriented...we have a lot to show you.

## Highlights Include:

- UCSF location map 1
- Parnassus 2
- Mission Bay 4
- Laurel Heights 6
- Mount Zion 7
- Mission Center 8



# Welcome CampusLifeServices



For detailed maps of our campuses please visit:  
[www.ucsf.edu/maps](http://www.ucsf.edu/maps)

- 1 **Parnassus**
- 2 **Mission Bay**
- 3 **Laurel Heights**
- 4 **Mount Zion**
- 5 **Mission Center**
  - Buchanan Dental Clinic
  - Harrison Street Building
  - San Francisco General
  - Minnesota Street Building
  - China Basin Building
  - Hunters Point Facility (not shown)
  - San Francisco Executive Park (not shown)
  - Veterans Affairs Medical (not shown)
  - Oyster Point Facility (not shown)



# Welcome to Parnassus

Perched above Golden Gate Park, the 107-acre Parnassus campus is home to graduate professionals, postdoctoral scientists, the UCSF Medical Center, UCSF Children's Hospital, and more.

## Get around here.

Transportation Services was recognized in 2006 by the EPA for making UCSF "One of the Best Workplaces for Commuters." In addition to free shuttles, you'll find parking, a vanpool, bus club, and pre-tax programs to help cushion the ride. Look around for shuttle stops, or visit the office in Millberry Union (MU, Level G) for schedules, transit passes, and more.

## Eat here.

The eateries at UCSF are more than just places to have a quick bite or cup of coffee, they are destinations where the entire community can meet and relax. Visit Millberry Union and enjoy the variety of the food court.

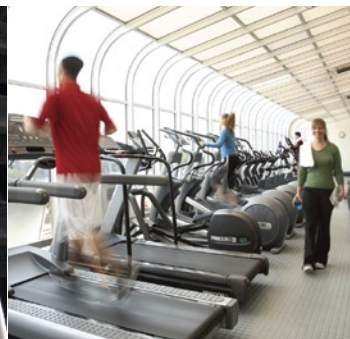
## Play here.

Arts & Events ensures that you have a good time, with concerts, discounted movie tickets, family activities, and more. Cole Hall Cinema is the movie theater of choice for the campus community for over 40 years. Millberry Fitness & Recreation Center (MU, Level I) features state-of-the-art equipment, classes and programs, and outstanding personal trainers. Get a massage or have a swim, it's all right here.



## Live here.

Let us help you get comfortable. Our Child Care Centers and child care referral service will help assure that the little ones are taken care of. Slated to open in 2009, Kirkham Child Care Center will serve 72 children, ages two to five. Shortly after opening the Kirkham Center, the Lucia Center will be renovated to accommodate 24 additional infants/toddlers. Housing Services is proud to be the UCSF provider of modern, competitively priced housing for students, post-docs, faculty, resident interns, and their families. Moving in? Make sure to take a tour of Parnassus Housing on the website.

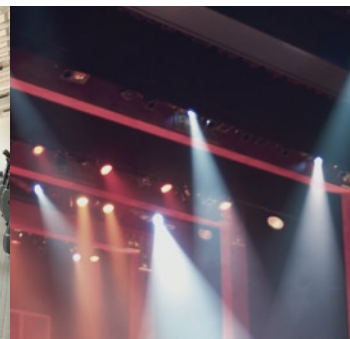


## Meet here.

Millberry Union Event & Meeting Center offers newly renovated facilities that can be combined in multiple ways to meet your needs. Break out rooms, teleconferencing capabilities, and flexible floor plans—Conference Services brings the campus together.

## Get it done here.

Buy a computer, high-tech tools, and accessories. Try on a UCSF hoodie, find greeting cards, pick up your commuter pass, and get your copies made and mailing lists merged—Retail Services and Documents, Media & Mail will help you get through the day and get your work done.



*Tip: Get on a treadmill at the Fitness Center or visit the Event & Meeting Center to see breathtaking views of the San Francisco Golden Gate passage and Marin Headlands.*



# Welcome to Mission Bay

UCSF Mission Bay, located just south of downtown San Francisco, is UCSF's 43-acre life sciences campus for teaching and research. Opened in 2002, Mission Bay is UCSF's newest campus, and upon completion will contain more than 20 structures and 2.65 million square feet of program space.

## Get around here.

Frequent UCSF shuttles connect to Parnassus, Mt. Zion, San Francisco General Hospital, and even BART. You'll also find two parking garages. The campus is easily accessible by the T-Third streetcar and is walking distance to San Francisco's Potrero Hill neighborhood.

## Eat here.

A hearty meal, a sub sandwich, a healthy hand-held pie—what are you hungry for today? You can find a variety of eateries along Gene Friend Way, as well as in the William J. Rutter Center and Genentech Hall.

## Play here.

The William J. Rutter Center is the hub for campus recreational, cultural, educational and social activities. Inside you'll find Bakar Fitness & Recreation Center, with racquetball courts, a rooftop pool, an outdoor climbing wall, and much more. And, on some days, make sure to catch live noontime music at the Pub or Genentech Hall, courtesy of Arts & Events.



## Live here.

In a sunny part of the city, the new 431-apartment complex is home to the majority of UCSF Housing tenants. Within walking distance are Genentech Hall, Gladstone Institute, Bakar Fitness & Recreation Center, and China Basin. The University Child Care Center at Mission Bay is the newest addition to child care services sponsored by UCSF. This center serves approximately 80 children daily, ages three months to five years.

## Meet here.

The Mission Bay Conference Center, designed by award-winning architect Ricardo Legoretta, offers a dynamic and state-of-the-art space to welcome great minds from across the world.

## Get it done here.

Get your computer supplies, books, parking passes, gifts and more at the Mission Bay University Store. Need to make copies? Visit Documents, Media & Mail's satellite office on the 4th floor of the William J. Rutter Center.

*Tip: Visit the climbing wall on the roof of the fitness center for an amazing view of Downtown San Francisco.*





## Welcome to Laurel Heights

Laurel Heights is one of UCSF's administrative and academic centers.

### Get around here.

Free shuttles connect Laurel Heights to other UCSF campus locations. In addition, City CarShare vehicles are conveniently located at this pod site and are available for both UCSF departmental use and for personal use by individual CarShare members.

### Eat here.

Open for breakfast and lunch, The View offers an international variety of lunchtime specials, plus fresh sandwiches, a full salad bar, soups, coffee, and breakfast items. True to its name, the view is fantastic, and outdoor seating offers a nice option on sunny days.

### Live here.

UCSF sponsors the University Child Care Center at Laurel Heights, which opened in 1999 and serves over 115 children daily, ages three months to five years.

### Get it done here.

Documents, Media & Mail can assist you with copying, graphic and web design services, and print planning & estimates. Though their services are available at all campus locations, at Laurel Heights you'll find their satellite office on the 2nd floor.



*Tip: Word has it to arrive early to the View on Thursdays for amazing won ton soup.*

## Welcome to Mount Zion



UCSF Medical Center at Mount Zion is home to the nationally designated UCSF Comprehensive Cancer Center, Women's Health Care Center, and other clinical services.

### Eat here.

The LunchStop is a full-service, cafeteria-style restaurant with made-to-order breakfast, hot lunches, daily specials, sandwiches, soups, salads, and desserts.

### Get around here.

Five different shuttle lines connect Mount Zion to other UCSF campus locations. City CarShare vehicles are located here as well, available for both UCSF departmental use and for personal use by CarShare members.

### Get it done here.

Store your documents and furnish your office, thanks to Distribution & Storage. Based at our Oyster Point Facility, They move, store, sell, and recycle the big stuff. They service all UCSF locations, so look them up when you need some heavy lifting.



# Welcome to Mission Center

You'll find a lot going on at Mission Center Building, site of administrative offices, audit services, and a limited amount of research labs.

**Get around here.**  
In addition to parking and shuttle services, City CarShare vehicles are located at MCB as well, available for both departmental use and personal use by CarShare members.

**Eat here.**  
Carmelina's Café is the quaint indoor/outdoor café in the lobby of the Mission Center Building. Specialty salads, toasted sandwiches, and daily hot lunch specials are just a few of the offerings.










**Get it done here.**  
Let the experts at Documents, Media & Mail (DMM) be your print, copy, media, and mail partners, and watch how your job suddenly seems a little easier. Visit the retail space in the lobby operated by DMM, and you can buy a candybar, transit pass, or UCSF sweatshirt while you place your copy order.

*Tip: The new third floor lounge offers a nice place to sit, read, and enjoy the quiet.*



# CampusLifeServices

For current information, visit our website at [campuslifeservices.ucsf.edu](http://campuslifeservices.ucsf.edu).

	<b>Arts &amp; Events</b>	415.476.2675
	<b>Conference Services</b> Parnassus Mission Bay	415.476.2019 415.514.1608
	<b>Child Care</b>	415.476.1469
	<b>Distribution &amp; Storage</b> Distribution Storage	415.476.5908 415.476.5907
	<b>Documents, Media &amp; Mail</b> Documents & Media Mail	415.514.2054 415.502.6245
	<b>Fitness &amp; Recreation</b> Parnassus Mission Bay	415.476.1115 415.514.4545
	<b>Housing</b> Parnassus Office Mission Bay Office	415.476.2231 415.514.4550
	<b>Retail</b> University Store (Parnassus) University Store (Mission Bay) University Express Technology Store Dining, Personal Services, Vendor Management	415.476.1666 415.476.8262 415.502.2327 415.476.5062 415.514.1395
	<b>Transportation</b> Parnassus Office Mission Center Office	415.476.2566 415.476.1511

# Campus*Life*Services

Campus Life Services can help enrich your time at UCSF. For current information on how we serve your location, visit our website: **[campuslifeservices.ucsf.edu](http://campuslifeservices.ucsf.edu)**.

## UCSF Locations

Parnassus Campus  
500 Parnassus Avenue

Mission Bay Campus  
1675 Owens Street

Mount Zion Campus  
1600 Divisadero

Laurel Heights Campus  
3333 California Street

Buchanan Dental Clinic  
100 Buchanan Street

Mission Center Building  
1855 Folsom Street

Harrison Street Building  
3130 20th Street

San Francisco General Hospital (Affiliation)  
1001 Potrero Avenue

Minnesota Street Building  
654 Minnesota Street

Hunters Point Facility  
830 Palou Avenue

San Francisco Executive Park  
250 Executive Park Boulevard

Veterans Affairs Medical Center (Affiliation)  
4150 Clement Street

China Basin Building  
185 Berry Street

Oyster Point Facility  
612 Forbes Boulevard  
South San Francisco

Printed by Campus Life Services Documents, Media & Mail on 100% post consumer recycled paper.

