

# PROCEDURES FOR PERSONNEL DECISIONS

Department of Mathematics  
University of California, Riverside  
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The following is a summary of standard practice within the Department of Mathematics for processing academic personnel actions including hiring of new faculty and the various reviews of faculty members as listed in The Call. There are several changes from last year that are mainly due to instructions from the Executive Vice Chancellor's Office. In all cases the departmental rules are subordinate to the corresponding Campus and University documents. *These procedures may be modified by standard methods for handling departmental business.*

## Outline of contents

### Part I. Review Procedures

1. *Timetables.*
2. *Eligibility for internal consideration.*
3. *Review criteria.*
4. *Before the assembly of the personnel files.*
5. *Before the departmental recommendation.*
6. *Voting eligibility.*
7. *During departmental review of a case.*
8. *After departmental review of a case.*

### Part II. Hiring Procedures

0. *Generalities.*
1. *Authorization of searches.*
2. *Eligibility.*
3. *Screening of applications.*
4. *Faculty recommendations.*
5. *Invitations for interviews.*
6. *Voting on visiting appointments.*
7. *Voting on regular appointments.*
8. *After the vote.*
9. *Communication with the candidate.*

## Part I. Review Procedures

1. *Timetables.* The review process for faculty members begins near the end of the preceding academic year with the annual meeting to discuss changes in The Call for the coming academic year and to announce the deadlines for submission of files. The Chair shall send the faculty a corresponding list of departmental deadlines and meeting dates that will allow timely handling of files in conformity with campus deadlines. These shall include a deadline for receipt of lists of extramural letter writers in cases where the latter are required (for example, promotion or advancement to Professor VI). The deadline for names of extramural letters shall be at least two months before the faculty meeting at which the case will be discussed, and potential letter writers shall be given at least one month to respond. As noted in Section II.2 of the Call, “The deans, the Committee on Academic Personnel, and the Executive Vice Chancellor feel no obligation to consider cases in which a faculty member does not supply documents and information by the deadlines that chairs might set.”

The following deadlines will normally be included in the departmental listing:

### *Regular Merit Increases*

Deadline for requesting nonrequired actions:  
Cutoff date for updating personnel information  
Cutoff date for additions to personnel files and candidates' self-statements  
Deadline for receipt of student letters  
Furnishing of redacted letters to candidates  
Deadline for candidate responses to redacted letters  
Faculty meeting for discussions and votes  
Completion of the draft of the Department letter  
Completion of the finalized Department letter  
Cutoff for submission of minority reports  
Cutoff for candidate responses and feedback on minority reports  
Deadline for receipt of cases in Dean's office

### *Promotions and Similar Actions*

*(including advancement to Professor VI or A/S and career review)*

Deadline for requesting nonrequired actions  
Deadline for submitting list of extramural letter writers  
Cutoff date for updating personnel information  
Cutoff date for additions to personnel files (except for promotion-to-tenure)  
Deadline for receipt of student letters  
Deadline for receipt of extramural letters  
Furnishing of redacted letters to candidates  
Deadline for candidate responses to redacted letters  
Faculty meeting for discussions and votes  
Completion of the draft of the Department letter  
Completion of final version of Department letter  
Cutoff for submission of minority reports  
Cutoff for candidate responses and feedback on minority reports for promotions cases, including advancement to Professor VI and A/S  
Deadline for receipt of cases in Dean's office for promotions cases, including advancement to Professor VI and A/S  
Cutoff for candidate responses and feedback on minority reports for career reviews  
Deadline for receipt of cases in Dean's office for career reviews  
Deadline for additions to promotion-to-tenure cases

**NONREQUIRED ACTIONS** include accelerated merit increases, previously deferred promotions cases, all advancements above Professor V and career reviews.

Note that there are two cutoff dates for updating personnel information in promotion-to-tenure cases. The first of these is a deadline for submitting all updated information on research, teaching and professional

activity through the end of the previous month, and the second is the cutoff date in The Call for inclusion of last minute additions such as new information on the status of publications.

As noted in Section II.2 of The Call, it is necessary to follow this departmental schedule in order to guarantee that cases receive full consideration. Now that the deadlines in The Call are considerably later than they used to be, it is clear that the Higher Administration will be much less willing to grant extensions for these later deadlines.

Faculty meetings should be scheduled to allow adequate time within the externally stipulated constraints for finalization of the Department letter, submission of minority reports and faculty responses to all such documents.

2. *Eligibility for internal consideration.* A list of candidates for merit increases, promotions or other reviews is sent to the Department Administration in June or July. Faculty members on this list will normally be notified of the actions described, and in cases where actions are optional they may be given a deadline for indicating whether they wish to initiate action. The Chair shall also initiate cases for merit cases, promotion actions or other potential advancements if any of the official criteria in the personnel rules are met.

All notifications of faculty members regarding the possible review of their files shall include statements regarding their rights as specified in the Academic Personnel Manual and The Call, specifically including Sections 210–1, 220–80 and 160 of the latter. *Faculty members are responsible for reading this material and seeking clarifications if necessary.*

If the Chair believes that the case for a nonrequired action has significant weaknesses, then the Chair may suggest to the candidate that the case be withdrawn. However, a case must be presented to the faculty if the candidate does not request withdrawal.

3. *Review criteria.* All available teaching evaluations for the period under review shall be included in the evidence to be considered by the faculty. The same applies to all solicited letters.

4. *Before the assembly of the personnel files.* Normally a candidate for a promotion or advancement will be asked to submit a writeup describing the contents of items added to the publication list since the most recent successful case, and it is understood that faculty members have both rights and responsibilities in this direction even if no formal request is sent; in particular, it is expected that a candidate will forward copies of all new items. In cases where extramural letters are required, the rights of faculty members to submit names are stated in The Call. If the number of names exceeds the normal limits for letter solicitation, the Chair shall decide which names to eliminate. The criteria for selecting letter writers shall be consistent with the Department's obligation to give each candidate a fair but rigorous hearing. Candidates have a right to object to solicitation of letters from specific individuals under provisions of the Call, and in such cases the Chair must decide if solicitation is consistent with the obligations noted above. It is understood that the Chair should be prepared to supply reasons for acting contrary to a candidate's objection. Normally a candidate will be expected to submit names to whom he or she objects at the same time that he or she submits a list of potential extramural evaluations.

The Department may follow up on anticipated letters that have not arrived, but it has no responsibility for items lost or delayed in transit.

5. *Before the departmental recommendation.* The deadline for submission of self-statements is the same as the deadline for updating personnel information.

Candidates shall be given redacted copies of all confidential letters as soon as possible after the deadline for receipt of such letters. After the forwarding of these redacted letters, candidates shall have one week to submit written comments on the redacted letters.

6. *Voting eligibility.* The eligibility of faculty members to vote on specific cases is governed by Bylaw 55. The Department does not have any regulations expanding upon the latter. Faculty members who have responsibilities for handling cases after they have left the Department are not entitled to vote if University rules so stipulate.

*Faculty members have a fundamental responsibility to attend meetings at which personnel cases are decided unless serious problems prevent them from doing so.* In cases where such difficulties exist, absentee

ballots are an option to the extent mandated by University and Campus personnel rules. The deadline for absentee votes shall be the time at which the faculty meeting is scheduled to begin. Votes may be submitted to either the Chair, the Personnel Assistant or a person designated by one of the latter (each may delegate one individual within the Department). Persons who are authorized to receive votes have obligations not to divulge such information to unauthorized individuals and not to take actions based upon knowledge of such votes. A ballot box will also be available in the Department Office for faculty members to submit their votes.

The Executive Vice Chancellor has ruled that faculty members may not authorize a colleague to cast their votes for them as the colleague sees fit. The Department assumes no responsibility for absentee votes that are lost or delayed.

*7. During departmental review of a case.* Normally cases involving recommendations for an Assistant Professor level will be heard first, while those involving an Associate Professor level will be held second and those involving a Full Professor level will be held third.

The Department letter is required to contain information about reasons for negative votes and abstentions. Such votes may be discounted heavily if no reasons for them can be given.

The Higher Administration has recommended that opinions submitted with absentee ballots or by electronic mail be effectively ignored, and similar considerations should apply to other means of communication to the entire eligible faculty before the scheduled meeting to review the case. Furthermore, the Executive Vice Chancellor has stated that such communications “should not be read at the departmental meeting because discussion regarding the candidate’s file should be conducted in an open forum, with all voting-eligible faculty members present. A person expressing an opinion on a candidate’s file should be present to defend and/or clarify his or her statement to other faculty members. As the departmental letter is to reflect the discussion at the departmental meeting, comments expressed solely on absentee ballots or electronic mail exchanges should not be included.”

Faculty members who participate in reviews of colleagues’ files have the responsibility to exercise high standards of professional ethics and to act with the respect for their colleagues that they would expect to receive themselves. One particularly important point is the need to maintain the confidentiality of discussions. In particular, the solicitation of professional opinions from outside the Department without formal authorization is a serious violation of confidentiality, and the gathering of information about the teaching of others within the Department without such authorization is a potential violation of confidentiality; unauthorized actions of this sort are done at a faculty member’s own risk. Furthermore, attribution of statements made during the discussion to outside parties (*i.e.*, those not eligible to vote on the case) is potentially a major violation of professional ethics. The Chair has the power to report violations to the appropriate University or Academic Senate officials.

*8. After departmental review of a case.* The results of the ballot will normally be announced within 24 hours of the conclusion of the faculty meeting. A list of faculty members not participating in a vote may be forwarded by the Chair to the Dean’s Office ; if nonparticipating faculty members give reasons (or are not eligible as noted above), this information will be included without attribution in the Department letter. The draft of the Department letter, the finalized letter, and any further reports as permitted by The Call shall be made available to eligible faculty members in accordance with the rules.

The same high standards of professional ethics that apply during departmental review are also applicable to subsequent actions on the case. In particular, the Executive Vice Chancellor has stated that “the use of minority reports to attack a candidate or another faculty member is inappropriate,” and minority reports and candidates’ responses containing statements outside the parameters defined in The Call are subject to the attachment of notes at higher levels instructing reviewers to disregard inappropriate statements.

## Part II. Hiring Procedures

*0. Generalities.* It is understood that the basic rules for faculty discussion and voting on review procedures also apply to hiring procedures. However, the rights of candidates as stated in The Call do not apply to outside applicants, although they may have other rights as stipulated by appropriate laws, rules and regulations.

*1. Authorization of searches.* The Department must have formal administrative approval to initiate searches for faculty positions. This includes the submission of a request to begin a search, a notification of allocation of a position, and a recruiting plan in which the membership for the Search Committee is specified, the proposed advertisement is included, and the position is described. The Chair has the basic responsibility for submitting these documents with the help of the office staff and for appointing this committee, and the Chair also has the option of seeking faculty input to fill one or more seats on the committee. It is also the Chair's responsibility to decide on the deadline for applications or the date when review of applications will commence. These deadlines should take into account the April 1 deadline for hiring faculty from other UC campuses and the April 30 deadline for hiring faculty from institutions belonging to the Association of American Universities. It is necessary to contact the Executive Vice Chancellor if these deadlines will not be met so that the latter can request an extension from the appropriate institution.

A precise description of information that must be included in a recruitment plan is contained in the "Recruitment Plan Checklist" in the "Handbook for Academic Hiring." The plan must be prepared in accordance with affirmative action recruitment guidelines and submitted to the Dean, through the Office of Affirmative Action, to the Executive Vice Chancellor for review and approval.

*2. Eligibility.* For searches to fill regular faculty positions, eligibility is determined by Bylaw 55; there are no departmental extensions of the latter. For searches to fill visiting assistant professorships, the tenure track assistant professors are also eligible to participate in the discussion and the vote.

*3. Screening of applications.* The chairman of the Search Committee has the initial responsibility to choose files for further consideration and to assign them to faculty members for evaluation. However, all eligible faculty members are entitled to view the list of all applicants, to examine all the files and to make recommendations that other candidates also receive further consideration.

The Search Committee shall consider the files of candidates who have been recommended for further consideration, and it shall determine how to narrow this pool of candidates down to a manageable short list. As before, eligible faculty members may offer recommendations for further consideration. Such faculty members may also request an opportunity to present their views in person at a meeting of the Search Committee.

All completed files shall be read and reviewed in writing by at least two eligible faculty members.

In situations where a tenured appointment seems most appropriate, the Search Committee will normally solicit additional extramural letters regarding a candidate in a manner consistent with the standards for internal promotions cases.

At each step in the Search Committee's deliberations where candidates are temporarily or permanently eliminated from further consideration, a written statement describing the reason(s) for elimination shall be included in the file.

*4. Faculty recommendations.* The Search Committee shall send the faculty a recommended short list of candidates, and the faculty may add names to this list if there is adequate support (for example, someone seconds a nomination); deletions from the list are not allowed unless the candidates have withdrawn or accepted offers that make them ineligible for further consideration.

At this point there is a divergence in procedures, depending upon whether the search is for regular or visiting faculty. In the former case, decisions on invitations for interviews are necessary, while in the latter case no such decisions are needed.

*5. Invitations for interviews.* A faculty vote will be taken to determine which candidates will be invited for interviews. The Chair may place an upper limit on the number of candidates who can be invited provided the number is at least three and this is necessary to guarantee a timely conclusion to the search. It is understood that at least two fifths of the participants in the vote must support a candidate in order

to recommend an interview. A voice vote is a potential substitute for a formal ballot if faculty sentiment indicates this is appropriate.

The list of candidates to be interviewed must be received and approved by the Office of Affirmative Action.

After all interviews have been concluded the Search Committee or the Chair may make recommendations to the faculty. These recommendations may include options for procedures in reaching decisions, restriction of consideration to a subset of the candidates or rankings of some or all candidates. If there are urgent reasons for considering a specific case before all interviews are concluded, the search committee may make an earlier recommendation provided it is consistent with the underlying rules governing the search.

*6. Voting on visiting appointments.* The faculty shall rank all candidates on the short list and vote on each candidate. Offers are to be made in order of ranking to those candidates who receive affirmative votes. The Chair retains the right to state his or her own view of each case to the Dean's office.

Provisional absentee votes on possible motions related to a hiring discussion meeting may be submitted to the Chair with the understanding that they are subject to the Chair's interpretation and are received in a timely manner, but otherwise there are no provisions for voting on issues for which a formal ballot is not specifically announced in advance.

*7. Voting on regular appointments.* The faculty shall determine the extent to which any recommendations from the Chair or Search Committee will be adopted. Issues for consideration by the eligible faculty normally include the determination of which candidates (if any) should be voted upon for the various positions or groups of positions, the rankings of such candidates and the required votes on recommending offers. The Chair retains the right to state his or her own view of each case to the Dean's office.

Provisional absentee votes on possible motions related to a hiring discussion meeting may be submitted to the Chair with the understanding that they are subject to the Chair's interpretation and are received in a timely manner, but otherwise there are no provisions for voting on issues for which a formal ballot is not specifically announced in advance.

*8. After the vote.* If no recommendation for hiring is forthcoming, the Chair shall notify the faculty and the Dean's office of this. If there is a recommendation for hiring, the Chair shall notify the the faculty of the results, contact the Dean's office and the top candidate(s), and proceed in accordance with the APM and The Call. If a recommended candidate withdraws and a backup candidate has been recommended, then the same process shall repeat with this new candidate. The Chair may solicit faculty assistance in preparing the appointment letter for a candidate.

*9. Communication with the candidate.* Formal approval by the Chancellor is needed before an appointment is legally binding, and no verbal or written statements prior to such approval can contain any such commitments. The Chair will deal directly with the candidate on negotiations about terms of a potential offer, and the Associate Dean should be kept informed of the situation and should approve any startup arrangements; the Chair shall prepare a draft of the Initial Complement letter and forward it to the Dean's office as soon as the startup package has been approved. The Department must provide the candidate with a copy of UCR Policy/Procedure 650-31 and a copy of the UCR information sheet on removal expenses in order to protect the interests of the candidate.